



**MANUAL FOR EVALUATING  
TRAINING'S IMPACT ON  
HUMAN SETTLEMENTS**

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## FOREWORD

Scarcity of qualified human resources and the relative weakness of urban management institutions are universally recognized as being among the principal obstacles of improvement in our cities, towns and villages.

Responding to this situation, the Habitat Agenda, which is the main result of the 1996 Habitat II Conference, identifies capacity-building as the key instrument for implementation of the Global Plan of Action towards Shelter for All and Sustainable Human Settlements Development. Training and institution-building are also being recognized as key development strategies by governments and external support agencies.

As the demand for training in developing and transition countries rises each year, so does the need to demonstrate training's contributions to the management of human settlements organizations in the communities served by these organizations. Despite its importance, training evaluation often comes too little and too late in the training process to be of much use as a true measure of training impact.

This publication, *Manual for Evaluating Training's Impact on Human Settlements*, is intended to provide trainers and managers with a direct, simple and innovative approach to evaluating training's impact. It can be used in a variety of ways depending upon the needs and interests of those affected by training results. Its main purpose is to support the implementation of capacity-building components of National Habitat II Plans of Action. The manual's emphasis is on evaluating the impact of training, not delivery of training, although training delivery cannot be ignored entirely in any discussion of training evaluation.

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## HOW TO USE THIS MANUAL

This *Manual on Evaluating Training's Impact on Human Settlements* is designed as a practical guidebook for using evaluation techniques to determine the extent to which training, carried out as intended, has improved the performance of individuals, organizations and human settlements. In writing the manual, its authors hope its contents will facilitate the transfer of evaluation skills to trainers, training managers and interested users of training primarily in human settlements organizations. In its current form, the manual can be used as a self-study guide or as the basis for a "how to do it" workshop. For the convenience of its users, the manual comes in four parts.

Part I introduces a concept model for evaluating the impact of training events. The first six chapters that make up Part I provide the reader with useful information for evaluating training's impact on participant reaction, learning, job performance and organizational effectiveness. A realistic situation is used in each chapter to dramatize the practical value of using systematic evaluation to assess the impact of training on improved performance in a human settlements organization. Also included in these six chapters are sample performance indicators. The seventh chapter will be of particular value to readers with an interest in managing the evaluation process. Part I ends with two appendices: (1) a sample learning improvement plan and (2) a sample action plan for implementing performance improvement strategies.

Part II provides the reader with two examples of successful experiences with TIE. The two incidents are meant to demonstrate the practical value of TIE in verifying the extent to which a specific training event contributes to improved performance.

Part III is a set of workshop components drawn from the contents of Part I. As described in the introduction to Part III, these materials are intended to be used to sharpen the skills of experienced trainers, training managers and other interested human settlements officials in the actual conduct of a training impact evaluation (TIE). The workshop design is flexible and can be altered for differing time requirements and audiences.

Part IV provides the reader with references to the UNCHS (Habitat) publications on various aspects of training and human settlements management.

## PART I: THE TIE CONCEPT

### CHAPTER 1

### INTRODUCTION TO TRAINING IMPACT EVALUATION

Training Impact Evaluation, or TIE, as it will be referred to most frequently in this manual, is the process of determining what impact the training has had on a training participant's job performance and how that impact translates into human settlements effectiveness. To put it another way, TIE is an effort to track:

1. Whether or not and how much training has changed a participant's behaviour on the job;
2. Whether or not and how much changes in the person's behaviour are reflected in his/her job performance; and,
3. Whether or not and how much the person's improved job performance leads to better service or products to the client. (We are using the word *client* to mean a user of the organization's products or service.)
4. In addition to these global justifications for systematically evaluating the impact of training, there are many more specific reasons on which most authorities would agree. Some are listed in *Figure 1*.

We will assume that *human settlements management and development* will be the primary focus of these products and services. *Clients* are those who benefit from improvements in this broadly defined arena.

<i>Figure 1</i> <i>Reasons for Conducting Training Evaluations</i>
1. Cost analysis of activities
2. Table the training programme
3. Provide feedback to programme planners or management
4. Gain knowledge of employees skill levels
5. Identify future organizational leaders
6. Provide information for performance appraisal
7. Placement of employees in organizational units where they can contribute most to the organization's goals

8. Provide feedback to programme participants
9. Study employee effectiveness
10. Build status or prestige for the training unit

One issue needs clarification before we go any further. We used the word *behaviour* deliberately in the opening paragraph; yet, we know that some readers may have problems with defining “behaviour change” as a training objective. Our belief is simply this: if there is no change in a person’s behaviour after being trained, then the training has not been effective. For example, if you learn from training how to make better building bricks, but you continue to make them as you did before being trained, your *behaviour* hasn’t changed and the training investment has been wasted.

This line of thinking is crucial to the TIE process. The whole point of the TIE investigation is to find evidence that training has made an *impact* on performance and output, and to determine what that impact has been. If the person trained doesn’t perform his or her job differently, the training has had no impact. In other words, TIE seeks to answer this fundamental question: Has training changed the person’s behaviour on the job, and what have been the performance and outcome consequences of that change in behaviour?

### **Enter the critics**

One of the authors was involved in a training impact evaluation many years ago. It cost more than the training. It was so complex that few understood what the evaluator was trying to prove. After months of interviews, document review and work place observations, there were absolutely no conclusive results about the training’s impact on performance. Unfortunately, experiences like this are not uncommon. That is why we believe it’s important to be candid about this thing we’re calling Training Impact Evaluation or what will be referred to as TIE in this manual.

Evaluating training impact is not something trainers and training clients do with regularity or commitment. And yet, the future of training as a management strategy may depend on the trainer and manager being able to demonstrate the positive impact and contribution training is making on job and organizational performance. It is almost a cliché of public budgeting that training is “the first to go” during tight budget times. If we believe training is important, then we need to recognize that evaluating it’s impact on performance is the most effective way we can prove it to cost conscious public managers and their clients.

Easier said than done. Even we, as trainers and managers, have been negligent when it comes to *evaluating the impact of training interventions and investments*. And, of course, we, like many of you, have used all the standard excuses for not doing impact evaluations.

*It’s too time consuming ... It wasn’t in our contract ... The client wasn’t interested ... It’s too difficult and costly ... It’s not a high priority ...*

*We evaluated the training event; isn’t that enough?*

*What’s the point? We all know it’s impossible to isolate the impact of training from all the other things happening in the life of the trainee and his or her organization.*

Unfortunately, these excuses are all legitimate. They make writing this manual both difficult and challenging. What we don’t want to do is write a manual that gives trainers and managers another excuse to avoid responsibility for evaluating training impact. In other words, we have no intention of leaving the impression that TIE is too complicated, too impractical, too time consuming, and too costly, even though it can be and often is.

So far, this sounds like a series of arguments about why you shouldn’t waste your time reading this manual, or worse yet, using it. That’s not our intent. On the other hand, we believe it is only fair to approach this subject with respect for the barriers that often discourage trainers and managers from engaging in training impact evaluation.

### **In defense of TIE**

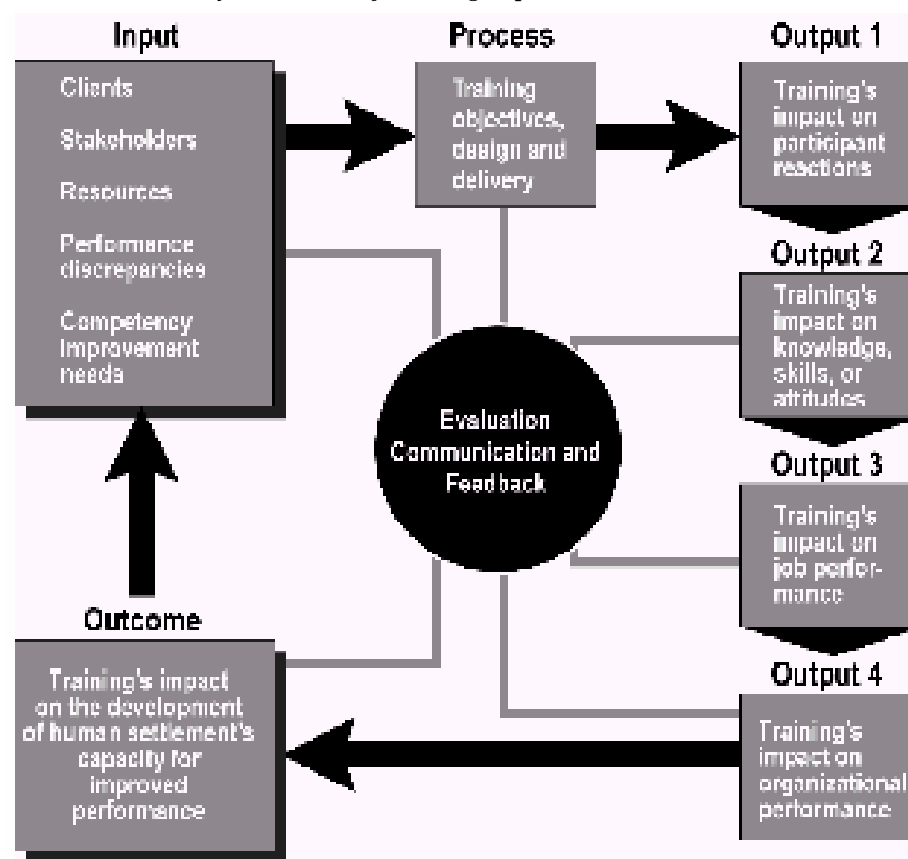
We believe TIE is so critical to training these days that it must not be ignored. Training has become a *major management strategy* in many organizations around the world. This is reflected in the importance that various new management trends (Total Quality Management and Re-engineering to name only two) have assumed in recent years and the increasing number of books and articles being written about *the learning organization* as an operational model for the present and future. Systematic and continuous training is the driving force behind these contemporary concepts and strategies. With learning being increasingly recognized as an important influence on organizational performance, there is increasing need for trainers and managers to understand the close relationship between training investments and performance improvements.

Training interventions are not complete if we don't know the impact they are having on the training client's performance. Impact evaluation is the key. Once the impact of training is known, and if the results meet or exceed expectations, a new cycle of intervention may be undertaken leading to further improvements in client performance.

Our purpose for writing this manual is to position training impact evaluation where it belongs as an integral and essential part of the training process (see Figure 2). Admittedly, TIE is often overlooked in the training business. Managers do not see the value of spending time and money on it and, consequently, it is an under-developed skill among trainers. Without it, however, managers and trainers deprive themselves of a valuable tool for finding out whether or not and to what extent investments in training are having an organizational payoff.

Given these realities, our intent in this manual is to: (a) lay out a strategy for doing training impact evaluation that is affordable, in terms of cost and time; and (b) benefit both trainers and managers by showing them how to determine the impact their training is having on individual and organizational performance. It is not a document to be embraced by the academic researcher who is seeking concrete validation of training impact within a field of influencing variables. It is a tool for managing the training process more effectively. And to help managers determine what training works best within their organizations and to increase their assurance that these investments are justified.

**FIGURE 2**  
*Systems model of Training Impact Evaluation*



### **Seven underlying assumptions**

This manual has been written with seven underlying assumptions firmly in mind. These assumptions will help you understand the rationale behind TIE and the approach we are taking in presenting the concepts and strategies of TIE.

1. Training impact evaluation (TIE) is of interest to several audiences: (a) the trainer who designs and delivers training interventions; (b) the training manager (e.g., one who manages training investments); (c) the leadership of training institutions (those responsible for providing relevant and useful services); (d) managers who use training as one of the strategies for improving and sustaining performance at all levels of the organization; (e) the clients of training clients (i.e., the beneficiaries of programmes and services provided by those who are recipients of training, donors and other institutions funding the training); and, of course, (f) those individuals being trained.

2. Most of these potential TIE users are not willing to invest in a rigorous research approach to evaluation that is costly and time consuming. This is not to suggest that TIE, as dealt with in this manual, will not be disciplined. It simply recognizes the reality that training evaluation is not a high priority in most training and operational budgets. Given this reality, the proposed strategies for doing TIE will be direct and simple.
3. The impact of training cannot be evaluated in isolation from the planning and implementation activities that precede the application of training results in the work setting. If TIE is to be effective, planning for the evaluation of training impact must run concurrently with training needs assessment and design. Inasmuch as it operates as part of a complex system, a systems perspective will be taken to the task of planning and implementing TIE.
4. A modest effort to evaluate training impact is better than no effort at all. Therefore, the manual is written so the tools of TIE can be used in different ways by a variety of users. On the other hand, we also must assume that not every user of this manual will be thorough and systematic in efforts to evaluate training impact.
5. Many trainers seem to believe the training cycle ends when the “happiness” survey has been administered at the end of the training event, or their actions suggest that it does. We want to dissuade them from this belief. The emphasis of TIE is on evaluating the impact of training, not on evaluating the delivery of training, although the latter can’t be ignored in any discussion of training evaluation.
5. Training, or institutionalized workplace learning, is becoming a norm in private and public organizations around the world. We believe this trend will continue because the benefits are significant and the pressures to do so are enormous. For private sector firms, a major incentive is to maintain a competitive edge and, therefore, the potential to thrive and sometimes just to survive. For public organizations, the incentive is not too different. They are finding it increasingly difficult to find enough resources to perform the services they are expected to deliver, and to deliver them better than they presently do. In other words, public agencies *must* learn how to do more, and do it better, with less. These incentives suggest a greater role for training; but, training, as a cost of doing business, must be cost effective. Thus, the need for TIE.
7. Finally, we will be assuming throughout the manual that the training to be evaluated for impact on the workplace and environment will be client centered, demand driven and performance based. This concept of training is described in depth in earlier manuals from this series: *Designing Human Settlements Training in African Countries, Vols. 1&2*; *Designing Human Settlements Training in European Countries, Vols. 1&2*; and *Designing Human Settlements Training in Asian Countries, Vols. 1 & 2*.

*(We will refer to other UNCHS (Habitat) publications from time to time (i.e., see Part IV) when they provide detail on specific aspects of training that would be difficult to include in this manual. We encourage you to use these companion publications to enrich your understanding of the total training and development process.)*

### **Major tie stakeholders and why they should invest in TIE**

The major TIE stakeholder is, or should be, the *client* who invests in the training. Has the training investment made a positive impact on the performance of the individual, or work group, who received the training? Based on the results of TIE, where should future training investments be made? Was the training worth the investment? Will it help the client be more effective in competing for scarce resources?

The *trainer* who plans, designs and delivers the training is the next most obvious stakeholder. The trainer probably will make greatest use of TIE and seek to persuade the client that TIE is important. TIE is the trainer’s principal source of information about the contributions of training to improvements in the quality and relevancy of their products. It can tell them what works and what doesn’t from the client’s perspective.

*Training institutions*, and their leadership, are important stakeholders. Their interest is providing training that is useful for their clients. TIE can help them determine what training activities are most relevant and beneficial for their clients and to identify trainers who are most competent in designing and delivering training interventions that lead to improvement in client performance.

*Training managers*, those individuals responsible for managing training resources, or matching training needs with available resources, could and should be among the major stakeholders in the TIE process. Sometimes the impact of training on organization performance is immediate and dramatic. For example, the only civil engineer in an organization responsible for road construction and maintenance on an Indian Ocean island with a population of 300,000 was sent to Australia for two years to get a masters degree. The impact of that particular training decision proved to be devastating for the department since no replacement was planned. Moreover, one could speculate that a masters degree in civil engineering may not be the best use of training resources for the department. It is an example of “donor driven training” which may have little to do with the training needs of the client and can produce unintended consequences.



Other important stakeholders in the process of training impact evaluation are *funding agencies*. These agencies expect improved job or organizational performance to result from their financial investments in training. Evaluations that produce evidence of improved performance resulting from training can increase funding agency confidence in training providers and create a climate of support for their future investments in training.

Stakeholders who are rarely considered in the planning, delivery and evaluation of training interventions are **the recipients (beneficiaries) of the services and programmes** delivered by those who have been trained. In many training interventions, these stakeholders are the most important. If, for example, the training is designed to improve the maintenance of street surfaces, drivers may be the best judge of whether the training is having any *impact* on those who are responsible for maintenance. On the other hand, training is only one of many variables that can influence the quality of a service like street maintenance.

And finally, the *participants* involved directly in the training experience are major stakeholders. Their contribution to TIE is valuable throughout the training process. They have intimate knowledge of the need for training; can assist in defining the training objectives; provide valuable insights and feedback on the design and delivery of the learning experience; and become the key source of information on results - showing a cause-effect relationship between training and job performance or capacity building.

### **Pitfalls to TIE**

There are many pitfalls to avoid on the way to evaluating the impact of training.

1. The first pitfall is becoming the victim of supply-driven training. Every week, managers receive colourful training brochures on trendy new topics promising spectacular results backed with glowing testimonials from former participants. On the surface, offers like these seem “too good to pass up.” Be careful! If an offer of training is “too good to pass up,” yet doesn’t coincide with a well documented need for training within the organization or society generally, then its impact may be minimal or even negative. Compare this *supply driven approach* to training with what might be called *impact driven training* - an organizational strategy for the development and use of training to expand human competency or correct known discrepancies in performance. Few would deny the obvious advantages of this approach for organizations desiring to make the most effective use of their investments in training. (*Figure 3* is a comparison of characteristics usually associated with these strongly contrasted approaches to training.)
2. The second pitfall is believing that evaluating the impact of training is something you do *after* the training is complete. Technically, this is true. But, the impact of training on individual, team and organizational performance depends on many training-related tasks that are carried out long before the training has an opportunity to have an impact on performance. For example, if an organization invests in training for its supervisors but does not have a clear picture in advance of the improvements in supervisory performance it expects from the training, there is no way for the organization to know, after the fact, if the training has been worthwhile.

**Figure 3. Comparison of supply-driven and impact-driven approaches to training**

<b>Supply-driven Training</b>	<b>Impact-driven Training</b>
No client	Collaboration with the client to maximize training’s organizational performance
No relationship to the mission or goals of an organization	Training designed for maximum impact on the organization’s mission or goals
No assessment of performance or cause of discrepancies	Systematic assessment of discrepancies in performance that are training related
No performance-based learning objectives	Development of measurable, performance-based learning objectives
No systematic collection of data on training results	Planned, continuous collection of data on training results
No effort to prepare the workplace for job application of learning	Advance preparation of the workplace to encourage application of learning to job performance
No evaluation of training’s impact on job or organizational performance	Measurement and evaluation of changes in performance attributable to job and organization level training

3. The third pitfall is confining the focus of any impact inquiry only to the training intervention. In the example of street maintenance training mentioned earlier, it might be very difficult to isolate the impact of training on worker performance without looking at the bigger picture. For example, the training might have been excellent, but other variables intervened to render the training ineffective. These could include the lack of

proper equipment, poor supervision, policy decisions about the choice of materials, and more. The quality of training is only one factor in determining the impact of training on performance in the workplace.

4. The fourth pitfall is getting too sophisticated and complicated in determining the impact of training; hence, too costly. Evaluation is often driven by the need to demonstrate a high level of validity in the results achieved. As might be expected, evaluation can become an intellectual exercise, a subject of endless debate over matters of methodology and rigour. This is not what TIE is really about. TIE is a management tool. It should be driven by the need to provide enough information for managers to make good decisions about training investments. And it should provide information for later design and delivery decisions by those who are managing and conducting the training.

### ***TIE ties and the need for systems thinking***

Training impact evaluation is one of those events that rarely stands alone. For a better understanding of the *systemic nature* of TIE, let's spend a few moments looking at something managers and trainers call "*systems thinking*." The ability to engage in systems thinking stems from the realization that everything is connected to everything else. Furthermore, these interconnected elements continually affect each other over time and are directed toward a common purpose. Some other characteristics of "*systems*," systems dynamics, and the interdependent nature of complex systems, like organizations, is the fact that there are rarely single right answers to any question, or problem, and that things we want to happen do not always happen when we expect them to.

### ***Different perspectives: different perceived results***

Let's look at these characteristics from the perspective of TIE. If, for example, you were trying to determine the impact of training on an individual's work performance, you might get very different perceptions (answers), depending upon who you ask. Imagine the person being trained is a first line supervisor who has received training in coaching skills. Her immediate boss was not in favour of the training - he thinks it makes supervisors "too soft" and reluctant to discipline workers who must be "kept in line." His reaction to the training's impact will be negative since he believes it has produced a result he didn't want in the first place.

The workers in her unit might have an entirely different reaction. They might say their supervisor is now more willing to consult with them, to seek out their ideas and to help them on tasks where they are uncertain about what to do. Same supervisor, same training, but very different perceptions about the impact or results of the training.

### ***Timeliness is not always timely***

Time delay - things happen but not necessarily when they are expected to happen. This can cause managers to believe training has failed when the truth is that not enough time has passed since the training for the wanted results to emerge. A simple example may help to explain. A human settlements organization invests in a customer service training programme for employees who regularly meet the public. The intent of the training is to produce a more favourable client image for the organization. Following the training, a poll of customers is taken. It shows little or no change in customer reaction to the organization. Based on these results, management concludes the training has failed when, in fact, the training may have succeeded. Management has overlooked time delay, not recognizing that more time must pass to assess the training's true impact on the organization's customers.

The incident described below (*in the box*) illustrates the danger of drawing conclusions too quickly and narrowly about the value of a learning experience. It also points out how unwanted results blamed on training often have nothing whatever to do with the training.

#### ***The manager as trainer***

We once experienced a situation where a training officer in a national ministry attended a training of trainers (TOT) course in Europe and shortly after returning to his job was promoted to be the airport manager. When we asked about the impact of the training, his previous supervisor (when then trainee was a training officer) said it was minimal. His frame of reference about the person in question was a training officer and not airport manager. Obviously, the TOT didn't produce the results his supervisor wanted because the person receiving the training was transferred out of his supervisor's jurisdiction.

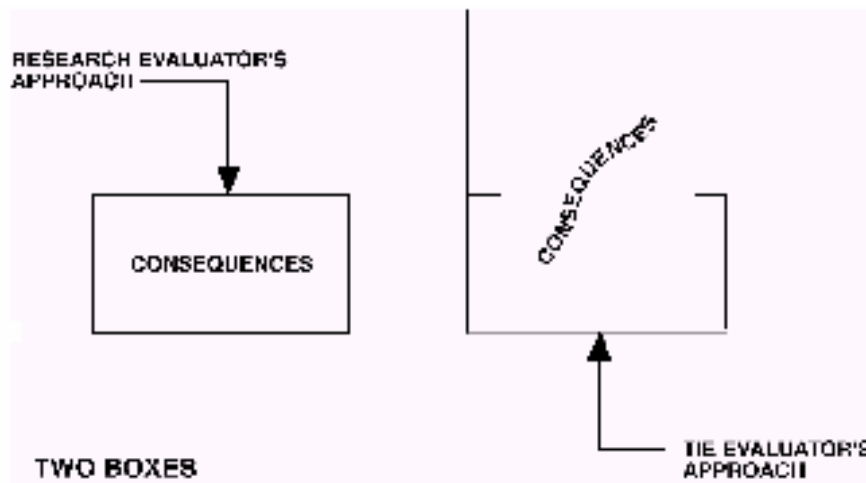
Without looking any further into this situation, one might conclude that the training had little if any impact on the organization. Would you, therefore, fault the training? No. Why? Because the person trained didn't have an opportunity to put his new knowledge and skills to use in the position he held before and immediately after the training. But, what about his performance in the new role as airport manager? In discussions with him, we learned that he had used his TOT experience to design and conduct supervisory/team building workshops with his subordinates at the airport. The subordinates were enthusiastic about the training and felt it had helped to develop a strong positive working relationship with their boss. The airlines operating from the airport reported better relationships with the airport staff since the new airport manager took over. Was the TOT training successful? What was its impact? How would you

evaluate the results? Do you assess the relationship between the TOT training and the recipient's job performance since his return from the training? Or, do you ignore it since the training was linked so closely to the person's previous position and job responsibilities? Tough questions, aren't they? But, they are representative of the kinds of inter-related, inter-twined situations that one frequently encounters in trying to conduct training impact evaluations.

### **Unintended consequences**

When evaluating the impact of a training programme, there will almost always be unintended consequences in addition to the intended ones. Unintended consequences are most likely to occur if the organizational rationale for providing the training is undermined, or disappears, between the time the person goes off for training and returns home from training. Unintended consequences can be positive as well, adding unexpected value to an organization (e.g., a new organizational commitment to investments in training based on the obvious impact of a training programme on the performance of an employee). The evaluator must decide if he or she is: (a) going to pursue the unintended consequences of the training investment; or (b) ignore these consequences by building a box around the task and refusing to go outside it.

The academic researcher who is pursuing a *pure* style of inquiry may very well decide to stay in the box. But, the researcher's rationale for doing the evaluation may be quite different (i.e., to prove or disprove a theory about the results of the training based on measurable and verifiable objectives and indicators determined prior to the training) from the trainer's. For the trainer, impact evaluation starts from the same set of objectives and indicators but may turn into a *voyage of discovery*. This voyage provides insights about the participant's training experience and resulting consequences (both intended and unintended) that can only be obtained by stepping out of the "box".



### **The explorer side of TIE research**

As you can see, our bias is for the evaluator to be more of an explorer than a rigorous researcher when trying to determine the impact of training. As stated earlier, systems thinking isn't constrained with the need to find the "right answer." Sometimes it's more important to find the right question to ask. But, there is another systems factor that we want to pursue before we move on. It's the systemic nature of the evaluation process and the need to think *impact evaluation* even as we make the first client contact and begin the training needs assessment phase of the training cycle.

There is a tendency to believe evaluation happens *after* whatever it is that's being evaluated happens. Theoretically, this is true. In practice, any attempt to follow this logic will get the impact evaluator in trouble. More importantly, the process of *thinking impact evaluation*, as one begins the training cycle with the client, will pay dividends in each step of the overall training process. For example, in the initial contact and reconnaissance work with the training client it is important to find out why there is a need for training by understanding what problem, or opportunity, the client wants to address. When you get close to understanding the performance problem (or what we prefer to call a *performance discrepancy*) and whether training might be an appropriate intervention strategy, then you can also begin to explore what impact (or results) the client expects from the training.

This *end results/impact* type thinking, from the very beginning of the training intervention with the client, is like an aircraft compass. It will guide the training process toward the impact the client wants from the training investment. This all sounds very concrete and definitive (that is, the client's clarity about what he or she wants from the investment). But, expected outcomes, results and impact can, and often do, change as the client and the trainer explore the rich field of possibilities for development. This, again, is part of the *system dynamics* we mentioned earlier. As the client, the trainer(s) and other stakeholders bring their various perspectives to the training and development challenge, the

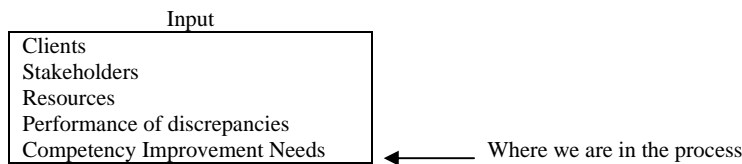
definition of the problem may change. So may the need for intervention, the design of that intervention, and the impact the client and others want to achieve through the intervention.

We will be exploring in more depth, later in the manual, the role of TIE in each of the steps in the training process. For now, we want to re-emphasize the need to think *systemically* when you think TIE. The challenge of evaluating the impact of training on the performance of the training participant and his or her organization is to recognize the complexity and inter-relatedness of events of this kind, and to act accordingly.

### **Looking ahead**

Now that we have provided an introduction to TIE, we want to describe what you can expect as you explore the remaining chapters. To the extent possible, we hope to include in each of these chapters the following information and materials: (a) an overview of the chapter and its contents; (b) assumptions made in developing material for the chapter; (c) a graphic that shows how the content of each chapter fits into the bigger picture of TIE; (d) descriptive information that explains the key concepts and ideas covered in the chapter; (e) models and diagrams, when appropriate; (f) worksheets and tools to aid in planning and implementing the TIE process; and (g) a summary of the materials covered. We don't promise to touch all these bases in every chapter; but, generally, this format will be followed.

## **CHAPTER 2 GETTING READY FOR TIE**



This chapter will explore, in more depth, some of the issues and ideas raised in Chapter One to help the reader make the decision to get involved in TIE. Here are the key points to be covered in this chapter:

- A description of TIE's relationship to the organizational training process;
- Focal points for using training interventions and how they influence the TIE process;
- Types of training interventions and how to evaluate their impact on work performance;
- Who should serve on a TIE team;
- How to decide what and when to do an impact evaluation;
- Linking TIE to other training tasks;
- How to work with clients and beneficiaries in evaluating training impact;
- Performing reality checks before proceeding with TIE; and,
- Considering the "yes, but" – factors: Will the benefits justify the costs?

### **The saga of the "ill mannered" finance clerks**

#### **A case study**

The following case study (about some "rude" finance clerks) will be used to illustrate the various steps in the TIE process, starting with a possible training need, identified by the mayor, and the initial contact with a local training institution. In order to make the case situation more relevant to the materials in each chapter of this manual, it is divided into short scenarios that are presented after the introductory paragraphs of each chapter.

#### **The situation**

#### **Looking for solutions to a sticky personnel problem**

The incident of the "Ill-mannered Finance Clerks" took place in one of those partly privatized estates with which no one seems to be happy. The citizens had come to the council complaining about the *poor attitude* of the clerks who administer the monthly rental and housing payments. One citizen in the block, who was also a councillor, called the staff *downright rude!* When the mayor spoke with the Director of Housing and Community Affairs, they agreed the problem was serious, that something should be done to, as the mayor put it, "get these people off my back!" None of the options, according to the director, was promising. He had transferred officers, disciplined them, and posted signs warning the clerks to BE NICE TO THE CUSTOMER. Nothing he had tried seemed to work.

The mayor responded, "Did you ever consider training them to be a little more helpful and friendly with our citizens?" Not one to disagree with the mayor, the director contacted a local training institute and asked for help to resolve the

*problem*. One of the institute’s trainers had just returned from a workshop on “*customer service*”, and the local institute was eager to be of service.

Adina, the trainer who was assigned to work with the director and his staff, raised several issues in their first meeting. First, she said she would want to collect information about the situation (to better understand the *problem*) before she decided if training was an appropriate response. As she said, “training may not be the answer, or at least the only answer to your problem.” Adina also raised the possibility of documenting the *impact* of any training that might result from her involvement. As she told the director, “We should be able to substantiate any impact the training has had on *customer relations* if we collect data and information on the situation before hand.”

Since this issue was so important to the mayor and some members of council, the director agreed. He also thought to himself, “If it works out, I’ll have *real proof* that I solved the problem.”

Given the *go-ahead* by the director, Adina did several things so she could understand the problem better. First, she interviewed a number of customers and clerks to comprehend more clearly the nature of the *problem*. Secondly, she developed a short questionnaire to administer to customers and clerks, based on the responses to her interviews. The form listed a number of the statements that had been made to her by both clerks and customers. The trainer had also spent some time observing the interactions of clerks and customers at the counter where the payments were received. From these observations, Adina was able to add several key questions to her survey.

<b>Customer Questionnaire</b>	
On a scale of 1-5, indicate your level of agreement with each of these statements about service quality:	
1. Information was correct?	[5]
2. Supplied promptly?	[1]
3. Provided courteously?	[4]
Explain your concern. { <i>Had to stand in the rain on my last three visits.</i> }	

Those who completed the form were asked to (1) state whether or not they agreed with the statements the trainer had included on the questionnaire and (2) how strongly they either agreed or disagreed, using a simple scale of one to five (one = strongly disagree and five = strongly agree). Adina also included several open-ended questions based on her observations of the physical environment and the interactions that took place between the clerks and the customers (*see insert*).

From her field research, Adina was able to identify several factors that appeared to be contributing to the *performance gap* between the expectations of the customers and the service being delivered by the clerks. Not all the gaps were the kind you could *fix* through training. The trainer discovered in her interviews and her observations that the physical layout of the workspace was not conducive to good customer relations. For example, the verandah where customers had to stand while waiting to be served had a narrow roof. When it rained (often in this part of the world) the customers got wet, and frequently their payment books got wet as well. This made the books hard to read (which didn’t make the clerks very happy).

The trainer soon discovered that some of the requirements regarding *late payments* were unduly punitive, thus adding to the potential for conflict between the actors in this monthly melodrama. The roof deficiency and the payment policy were not the kinds of problems that could be addressed through training. They required management actions, and maybe the involvement of council in changing the payment policies. Adina reported them to the director with her recommendations on how they could be resolved.

Adina also discovered an *attitude* problem. Three of the clerks appeared not to be very cooperative and, on the surface, somewhat hostile to customers. In discussions with the clerks, and on-site observations, she discovered two of the three had not been trained in the procedures to be followed and were making frequent mistakes. Overall, there was a lack of understanding about the importance and potential benefits in providing quality customer service. Most clerks, the trainer discovered, lacked the necessary knowledge and skills required to serve the public on a personal, one-to-one basis.

To be continued ...

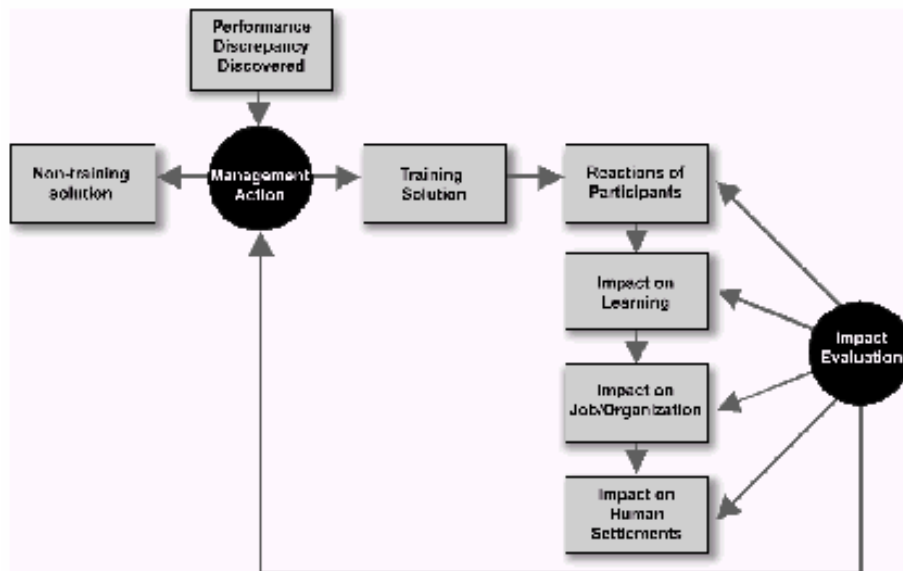
### **The tie between training and impact evaluation**

As a way of getting started with TIE, *Figure 4* introduces a diagram intended to help you visualize the key components of training impact. You will note that the diagram doesn’t elaborate on the *training programme* itself, although everything that happens in the process of planning and implementing training is integral to the performance changes resulting from the training. TIE cannot ignore the training experience, nor will we do so in this discussion. But, the

focus in this manual is on training impact. And impact begins with individual growth and learning, as shown in the diagram.

In the diagram, training is shown to arise as a response to an observed or reported performance discrepancy in an organization. Impact evaluation is undertaken with management sanction to verify training's impact on the performance discrepancy. Depending on the extent of the discrepancy, impact evaluation can be carried out at various stages of the learning process (individual, job, organization). In due course, evaluation results are reported to management. Based on the results, management has the information it needs to act, either to continue, revise or expand the training or, if more appropriate, to pursue a non-training solution to the performance discrepancy. In our opinion, imperfect evaluation of training impact at the learning, job improvement, and organizational levels, with all its measurement problems, intervening variables, and other chances for error, is better than no evaluation at all. Trainers and managers of human settlements organizations would do well to heed the advice of the ancient sage: *Anything worth doing is worth doing poorly - until you have learned to do it well.*

**Figure 4**  
**Diagram showing the relationship of Impact Evaluation to the Organizational Training Process**



### **Training focus and technology**

Training has become more interesting and relevant in recent years. Not too long ago, training was associated largely with residential/classroom settings. The bias was toward presenting lectures and content-oriented material. The clients for training were, more often than not, individuals who came from different organizations, resulting in what is known in the training business as *stranger group* training. Today, the pendulum has swung from this limited picture of training to one that also includes hands-on, work oriented strategies for team and organization development. The emphasis of this training has shifted from cognitive learning to behavioural change and experiential learning.

Of course, these characterizations of the training scene, past and present, are subject to question. There are places in the world where the lecture-oriented, stranger group motif still dominates. It is also unfair to suggest that work place training is new. On-the-job training (OJT) has been a fixture in many organizations for decades and plays a key role in employee development and performance. But, it is fair to say that OJT has taken on a new meaning and significance in recent years as more and more organizations realize their future depends on being more competitive and see training as an important strategy for achieving that goal.

And being competitive means a greater capacity to adapt to new technology, to integrate new social norms of behaviour into the workplace, and to alter the patterns of power and influence over how the organization operates and what it produces. These trends have merged into a process of on-going development that some are referring to as the *learning organization*. According to author Peter Senge, learning organizations are significantly different from conventional organizations. They are:

*“ ... organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together.”<sup>(1)</sup>*

As you and others think about incorporating TIE into your activities, it is important to think about the emergent concept of the organization and the variety of learning opportunities that have led to this conceptual framework. You may discover that thinking about *how to evaluate training impact* can lead to thinking about *how to design or re-design training so as to produce more impact*. Some people would say this kind of thinking is *systems thinking*, and it probably is.

Training associated with organizational objectives - helping work teams be more productive; increasing the overall performance of clusters of concerned with management and policy; and building organizational capacity - are certain to produce greater and more measurable results (impact) than residential programmes for individuals. If your institution is concerned about the impact of training (whether you are a trainer or operating manager) then you may want to think about the kinds of training investments and interventions that will produce the results you want to achieve.

### **The TIE team**

Who to involve on the evaluation team depends on what you want to accomplish and how important the evaluation is to both the supply of the relationship and the client - *Figure 5*. Keep in mind that not every training programme or intervention should be evaluated for its impact on behaviour and organizational performance. It doesn't make sense, for example, to spend resources on impact evaluation if you already know nothing will be done with the results.

TIE is a process that produces information to accomplish two basic goals:

*Goal 1:* to improve the performance of those who receive training (and, as a result, the performance of the organization).

*Goal 2:* to improve the performance of those who provide the training.

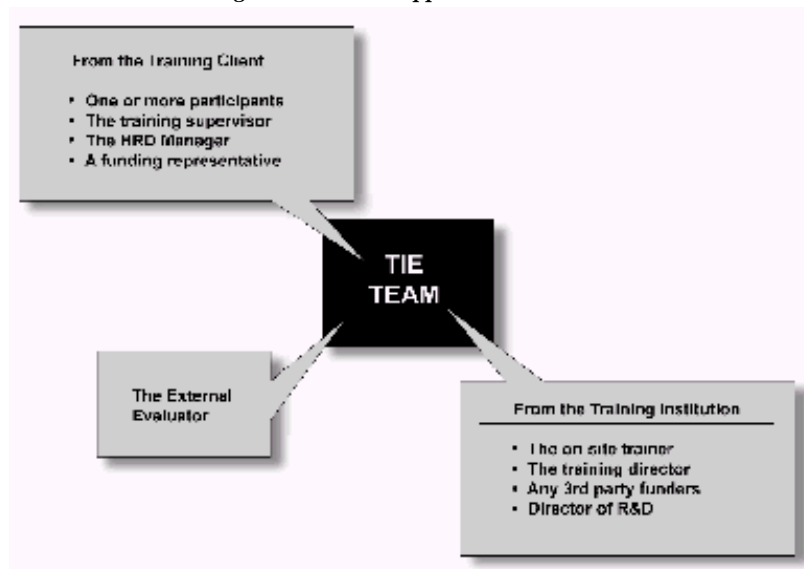
While these goals are intertwined in the final decision to engage impact evaluation, different strategies of inquiry maybe needed to satisfy the sets of primary stakeholders. And, they may require different actors in the process. Let's look at this challenge, first from the client's perspective.

### **Client identification**

Determining the *real* client of training may not be easy. If the training is directed at a group of participants from many organizations, and perhaps many countries, the client will, in most cases, be the training participants themselves unless there is significant outside funding. If this is so, the primary client may be the funding agency. Then the training institution will need to understand about the motives behind the agency's support for the training.

The impact of the training may be seen differently by various clients based on their own vested interests. Doing a stakeholder analysis <sup>(2)</sup> in the early stages of the planning process will be helpful in determining who wants, or expects, what impact from the training investment. If the training client is an organization, such as a municipal government, then the question of identifying the intended results (or impact) of the training intervention should be easier.

**Figure 5 - Who to appoint to the TIE team**

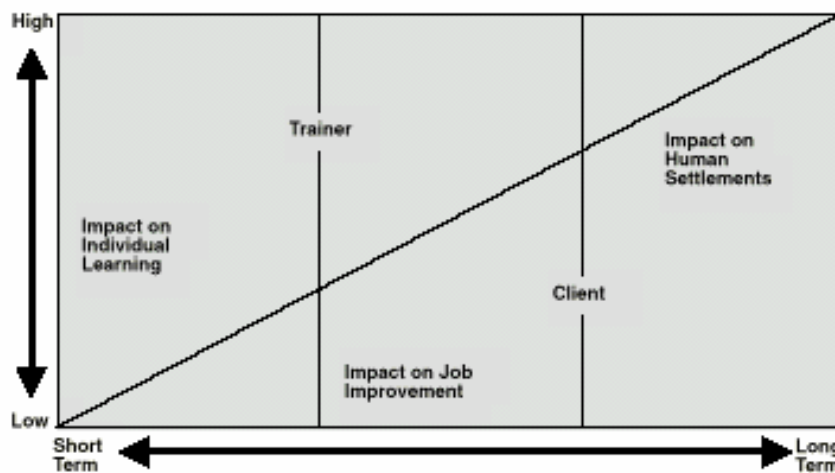


Whatever the situation, the client should be involved in TIE efforts, at least in the beginning phases of training needs assessment and goal setting. Once the training is completed, the client should, once again, play a dominant role in the evaluation process (see Figure 6). But, who should serve on the TIE team from the client side of the relationship? It all depends on the circumstances surrounding the training and how, and why, the decision was made to conduct an impact evaluation.

**It all depends**

If the training is intended to prepare employees to pass a civil service examination, then the impact is relatively easy to assess and the need for involvement of the client on the TIE team is minimal. On the other hand, if training is to improve the communication skills of community development workers assigned to a low income housing project, it may be important to include a representative of the community on the TIE team as well as someone who is responsible for supervising the workers. If that same project is funded by an outside agency, the agency may have a vested interest in a representative on the team. If the director of the housing project is “coming under fire” from her board of directors because of the *conduct* of the community development workers, she may have considerable interest in being involved. Hopefully her motivation is to develop more competent and caring workers and not merely to preserve her job.

**Figure 6**  
*Change in the Influence of Trainers and Clients on Learning Impact at Different Stages of the TIE Process*



Let’s take another example. The client is a city having problems in generating enough revenue through the efforts of its fees and bureau. Someone decides that the problem is the revenue collectors. They don’t understand their roles and responsibilities. They aren’t motivated to do an adequate job. They lack basic skills in keeping records which slows them down and affects the amount they can collect in any given period.

Who do you want on the TIE team if a decision is made to do a training impact study and you are the trainer? Would it be the immediate supervisor of the collectors? Would it be the finance director? Would it be the chairperson of the council finance committee? Or, would it be the head of financial support services from the finance or local government ministry? Inclusion of the ministry person could be important if the problem is country wide and the outcome of the training is important to a larger audience.

And, what about having one or more of the persons who were involved directly in the training as members of the TIE team? Violates objectivity you say? Yes, but who is really objective, when it comes to evaluating impact? As Edward Suchman observes in his book *Evaluative Research*, “...evaluation is inherently a normative, subjective process.” (3)

**Supply side involvement**

From the supply side of the training relationship, there are several persons who may have a role to perform on the TIE team. And we can be less ambiguous about who should be involved from this side of the relationship. Involvement of the trainer, or a representative of the training institute or team conducting the training, is important for a number of reasons. First, the trainers have, or should have, information and insights that span the full history of the intervention, from initial contact with the client to the final report of training impact. More importantly, the TIE experience is one of the most important professional development tools available to trainers. TIE is an opportunity to diagnose what went well, and what didn’t, from initial client contact to the application of new learning in the workplace. TIE engages



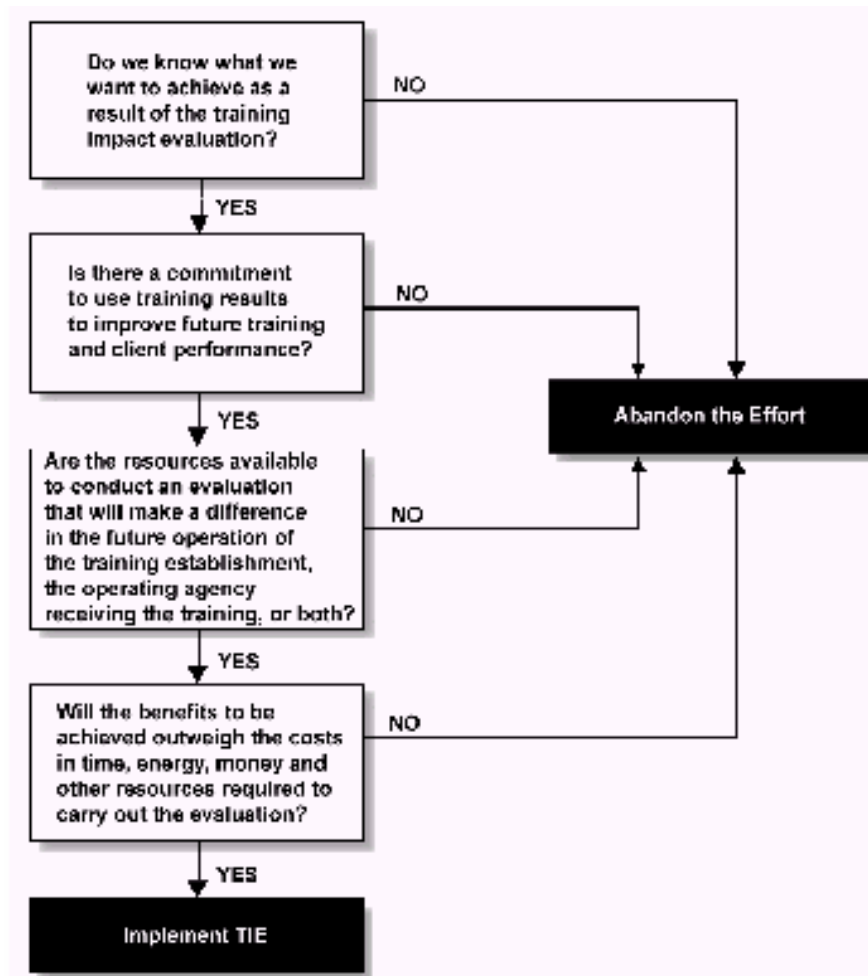
trainers in all aspects of the training cycle, giving them the *systems perspective* that is so important to developing a full range of training competencies.

To summarize, the TIE team should involve: (a) the trainer, or a member of the training team who will be planning, designing and conducting the training; (b) one or more members of what we have defined as the training client (and, perhaps, a training participant); and, (c) other interested parties who have an interest in results of the training. The initial team task is a well thought out plan that answers the following questions - *see Figure 7*.

### The reality check

1. What do we want to achieve as a result of the training impact evaluation?
2. Is there a commitment to use the results to improve future training and client performance?
3. Are the resources available to conduct an evaluation that will make a difference in the future operation of the training establishment, the operating agency receiving the training, or both?
4. Will the benefits to be achieved outweigh the costs in time, energy, money and other resources required to carry out the evaluation outweigh the benefits to be achieved?

**Figure 7**  
*Checklist for Deciding Whether to Implement TIE or Abandon the Effort*



### Summary

We have looked at various issues facing trainers and managers as they consider committing themselves to training impact evaluation. TIE is a strategy for improving the performance of institutions by assessing and reporting what happens when trained individuals have an opportunity to apply new knowledge, skills, and attitudes. These issues include: the expanding focal points for planning and implementing training interventions; the increased range of

training tools and strategies that are available to the trainer and manager; who should serve on the TIE team; and, things to consider before making a commitment to carry out the TIE process the “reality check”.

**Performance indicators**

*Author’s Note.* At the end of each chapter in Part I of this manual we have included sample performance indicators. The indicators that end this chapter, for example, are related to getting started with the TIE process. We hope that including sample indicators like these will help you think about how you might measure the success of your performance, the performance of those who are being trained, and the performance of the training participants’ organizations.

<b>Performance Indicators, <i>Getting Ready for TIE</i></b>
1. Direct contact with the client.
2. Data collection on performance discrepancy (training “problem”) from different sources and perspectives.
3. Separation of management responses to performance discrepancy from potential training responses.
4. Early identification of training impact evaluation criteria.

**REFERENCES**

<sup>1</sup> Senge, Peter M., *The Fifth Discipline: The Art and Practice of the Learning Organization* (New York: Doubleday/Currency, 1990), p. 3. In addition, for readers seeking a wide range of practical ideas, exercises, and other resources on learning organizations, see Senge, Peter M., *The Fifth Discipline Fieldbook* (New York: Doubleday/Currency, 1994), pp. 48-64.

<sup>2</sup> A stakeholder analysis is an inventory of persons, groups, or organizations affected by the causes or consequences of a local authority’s programmes and who can assist in getting necessary resources for programme implementation or enrichment.

<sup>3</sup> Suchman, Edward A., *Evaluative Research: Principles and Practice in Public Service and Social Action Programs* (New York: Russell Sage Foundation, 1967), p.11.

<sup>4</sup> Bloom, Benjamin, (ed.), *Taxonomy of Educational Objectives, Handbook I: The Cognitive Domain* (New York: Longmans, Green).

**CHAPTER 3  
EVALUATING TRAINING EVENTS**

Output 1



The process of evaluating training impact, as stated earlier, begins early in the training process with initial client contact and the identification of training needs. The question of evaluation needs to be addressed early in the client relationship since TIE will require additional time and resources from both the client and the training institution. Needs assessment, which defines why the training is needed and what it is intended to produce, should be considered as the starting point for an assessment of training impact.

Once there is agreement on the need for training and the results to be obtained from the training, the trainer should be ready to begin the design phase. In this chapter, we will focus on evaluation of the training event itself and discuss the link between the training event and evaluation of the training’s impact.

Hundreds of books and articles have been written about *training evaluation*. From the literature and our own experience we have extracted those ideas and techniques we believe are important to know about the type of training evaluation being discussed in this manual. In other words, we will take a TIE perspective to training evaluation, leaving out those aspects of evaluation that have little relationship to training impact.

***The ill-mannered finance clerks saga continues ...***

**Designing the Training Intervention**

Based on her findings regarding the training related performance discrepancies that existed at the collection counter in the Department of Housing and Community Affairs, Adina designed a training program to: (1) increase the finance clerks’ knowledge of the procedures required in carrying out specific financial transactions with citizens; (2) improve their skills in conducting these transactions with citizens; and, (3) increase participant awareness and understanding of the importance of providing quality customer service to the residents of the city.

Adina also decided to hold the training in three, four-hour sessions on consecutive Saturdays when the offices were closed (to allow all the finance clerks to attend). The mayor agreed to pay the clerks for their time while attending the training and Adina made arrangements to hold the training in a local hotel where lunch could be served at the end of each session. As one clerk commented, “We haven’t been treated this way for years!”

to be continued ...

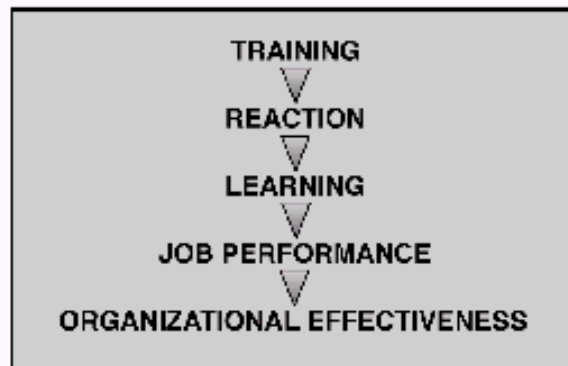
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### ***The Kirkpatrick contribution***

It is difficult to discuss training evaluation without mentioning the contributions of Donald Kirkpatrick. In the late 1950s, Kirkpatrick developed the *hierarchy of learning*, a model which continues to be used as a starting point by most training evaluators (see *Figure 8*). Kirkpatrick’s model poses a fundamental hierarchy of learning with important implications for evaluating training, starting with training and progressing through four stages in sequence.

According to Kirkpatrick, every training intervention is followed by a participant reaction. If the reaction is negative, learning is unlikely to occur. Consequently, improvements in job performance are highly unlikely and improved organizational effectiveness even more remote. There is also no guarantee that learning *will take place* because someone reacts positively to the training. It may be they liked the trainer, found the venue pleasant and the evening social events stimulating, but learned little. Even when individual learning occurs (in accordance with training objectives), there is no firm assurance the participant will transfer the learning into improved job and organizational performance. Sounds a bit problematic, doesn’t it? In spite of all the possible breaks in the chain of learning events proposed by Kirkpatrick, his model is conceptually valuable. *Figure 9* shows Kirkpatrick’s model with the addition of several performance statements at each stage of the learning process to illustrate what an evaluator might look for as evidence of positive training impact.

**Figure 8**  
***Kirkpatrick’s hierarchy of learning (5)***



### ***Focusing on the training intervention***

Using the Kirkpatrick model, we will look at training evaluation as a way to assess the training experience itself. After all, the relevance of training content and quality of training delivery will ultimately influence the impact training has on job performance and organizational effectiveness (or what we are calling *human settlements capacity building*).

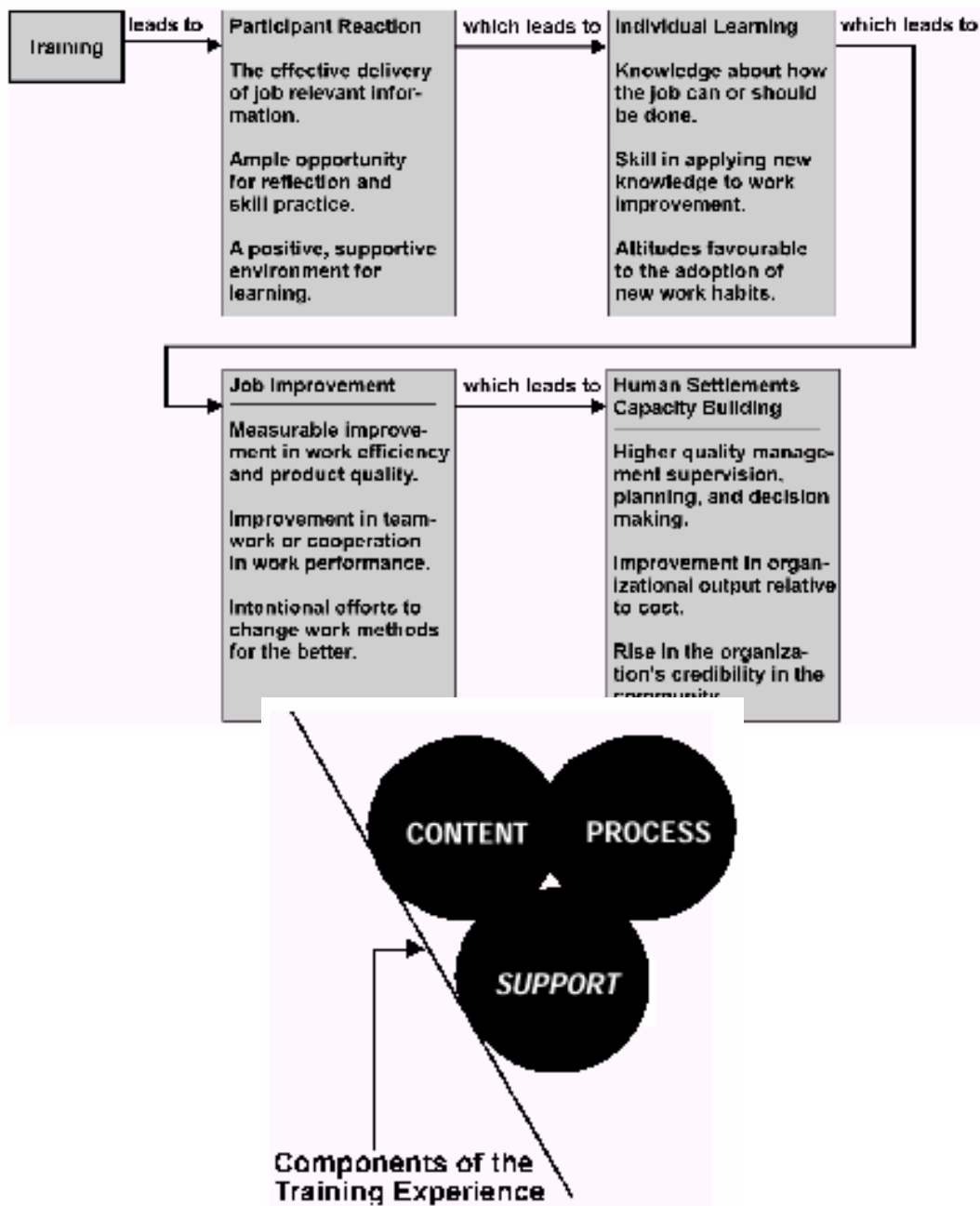
Assuming the training proposed is client-centered, the needs are known, and the decision is made to authorize the training, then what? At this point, the trainer is ready to determine the goals to be achieved through training. This is the critical juncture for the training impact evaluator. It is also the critical point in training evaluation. Three issues are central to training evaluation. Did we achieve the training objectives, and how well did we achieve them? Was the process of training (what some call the mechanics of training) congruent with the objectives to be achieved? Finally, was the environment supportive? The first set of issues concerns the *what* and *why* of training purposes; the latter focus on the *how* of training planning and delivery.

In other words, training evaluation should look at three fundamental issues, or components, of the training experience:

1. The content of the training (linked directly to the learning objectives to be achieved).
2. The process, techniques, and mechanics of the training (how it was conducted).

- The administrative and logistical support provided to facilitate the training experience (how the training delivery was supported).

*Figure 9*  
*Expanded learning hierarchy based on Kirkpatrick's model*



### 1. Training content

Training content is or should be driven by *what* the training is expected to achieve which, in turn, is defined by the training or learning objectives. Content is also directly associated with what is possible to achieve through training. Training can: (a) increase knowledge and understanding; (b) improve skills (technical and relational); (c) change attitudes and values; and, (d) promote engagement in creative acts which can result in concrete products. The sequence of possible training outcomes, as just listed, reflects, in many ways, the historical development of training interventions and the maturation of the training profession.

Until the late 1940s, training resembled a scaled down version of academia, focusing largely on the business of increasing knowledge and understanding and improving technical skills. With the advent of laboratory training (the T-

group), training outputs – objectives - expanded to include interpersonal skill development and attitudinal change. Once the *attitudinal* barrier was broken, it was only a short move to include *value change* as a legitimate learning objective (More about value changes as training objectives in a moment). Finally, training interventions have become vehicles for helping participants, individually or in work groups, engage in creative acts, such as team building, action planning, and organization and operational assessments.

Learning objectives related to knowledge enhancement can be the easiest to evaluate by pre- and post- testing of participants. Technical skill development is the next least difficult. Interpersonal skill improvements is more challenging to assess requiring such methods as behaviour observation and comparison with non-trained people doing similar work. Training interventions involving creative acts usually have products that can be pointed to as evidence of goal achievement, but evaluating the quality of these results is more problematic. Finally, attitudinal and value changes are the most difficult training results to assess. This doesn't make the training objectives and results any less important, but it does increase the difficulty of the evaluation task. Not only is the task of evaluating attitudinal and value changes difficult, the time frame in which these changes take place can be very long, as was evident in one of the experiences related earlier.

We promised to return to the issue of *value changes* as a focus of training. Gender training is an example of efforts to change the values that individuals hold toward women and their role in the workplace. Training strategies might include exposure to new information and ideas (knowledge-based learning) and feedback about one's interpersonal style of job related communication and decision making that can be attributed to sexist beliefs and values. (The latter are examples of interpersonal skill development and awareness raising training interventions.)

## 2. The training process

The second component to be addressed in evaluating training experiences is the process of training. Process and content are equally important in determining whether a training event will have an impact on the participant's job performance and consequently on human settlements capacity building, within the mission of her work organization. *How* the training is conducted will influence the level of learning and affect the participant's reaction to the experience. According to Kirkpatrick and others, *participant reaction* to the experience (*see Figure 9*) is an important precedent step in the hierarchy of learning that leads to individual learning and to training impact on the job and in the organization.

It is not unusual to learn that some training institutions still conduct most of their training using the lecture/discussion method, even though it has proven to be less effective in working with adults than other methods. There are dozens of ways to design training events to engage participants in *learning by doing*. These experiential learning strategies and tactics are important to include in all training designs and will have an impact at all levels of the learning hierarchy, as defined by Kirkpatrick.

Evaluating the training process, in isolation from the content of training, is never easy but essential if we want to be more certain about what has contributed to the learning results. Here are some ways to determine the level of satisfaction with the training process:

- simply ask and provide opportunities for participants to respond, either anonymously (if the level of trust and openness seems low, which could be a clue that the process is not working), or openly;
- by tracking tardiness or absenteeism which is not tied to some legitimate excuse;
- disruptive and other resistant behaviour; and,
- post session critiques

## 3. Training support

Administrative and logistical support is the third component of the training experience to be evaluated. These managerial responsibilities have little to do with the design and delivery of effective training activities, and everything to do with successful participant reaction and learning. Do you remember Frederick Herzberg's motivation theory? Herzberg said there are a number of factors that contribute to job dissatisfaction that, when eliminated, don't necessarily result in job satisfaction. Their absence just diminishes job dissatisfaction.

The same thing may be true of administrative and logistical barriers that foster dissatisfaction among training participants. Removing them doesn't enhance learning; but, not removing them adversely affects participant ability to learn. Certainly, these barriers have an effect on the participant's *reaction* to the training experience and therefore affect the quality of learning. With these thoughts in mind, let's look at some useful tactics for the TIE practitioner involved in training design and evaluation.

- **Tactic 1: Help identify the right participants for training.** Training impact is sacrificed when the wrong people are sent for training (e.g., the mayor's son-in-law, who works as a bookkeeper in the finance department, shows up for a training programme designed to improve water plant maintenance).

- **Tactic 2: Seek assurance that training objectives are targeted on performance-based, client-centered training needs.** In other words, the objectives which are to be attained by those who are taking part in the training should reflect real gaps in performance within the organization that is making the training investment for its employees.
- **Tactic 3: Insist on training objectives being written to reflect verifiable results.** This means the behaviour that training is supposed to produce must be described with sufficient precision in the objective that the intended behaviour can be shown either to exist or not exist after the training. Otherwise, the link between training and job impact gets fuzzy.
- **Tactic 4: Review training objectives from the perspective of increasing knowledge, developing skills, and changing attitudes for the purpose of improving job performance.** The omission of specific learning outcomes designed to close a critical performance gap might jeopardize the success of a training programme.
- **Tactic 5: Encourage evaluation during the training.** Be sure the content of the training is still on target, based on training objectives, that are based on training needs, that are based on performance discrepancies. Course corrections after a training programme is underway may be necessary or desirable to compensate for oversights in the planning process.
- **Tactic 6: Review the training process to assure it involves exercises that provide information about, and feedback on, participant learning performance.** Waiting until training is over can deprive the training staff and evaluator of insights and reactions from participants that are fresh and meaningful when obtained while the training is in progress.
- **Tactic 7: Use the participant’s experience in the workplace for theory building and skill development** (e.g., decision making concepts and problem solving skills). Adult learners bring a lifetime of experience into any training event. Tapping this experience will vastly enrich the training content, test the relevance of training concepts being presented and heighten the programme’s learning potential for all participants.
- **Tactic 8: Use training impact evaluation sparingly.** It can be costly and time consuming. Not all training ventures are worth such attention. To help decide whether or not to invest in impact evaluation, choose programmes where the consequences of successful training for the client are high and where conditions are favourable for the successful measurement of impact.

### Summary

Involvement of the TIE evaluator in evaluating the training experience should be limited to those issues that will help determine whether the training had the intended impact, or results, in the participant’s work setting. We’ve taken the position that the TIE evaluator should help the trainer, who is designing and delivering the training, to be more concerned with impact in the workplace. Obviously, not all training events are geared to have a direct impact on job performance, nor will there be opportunities to conduct follow-up impact studies on all training events. These situations call for judicious use of the TIE methodology.

The most productive focal points for the TIE evaluator during the planning and implementation of training are assessing needs and setting objectives. These two activities will determine the extent to which the training will be oriented toward impact on job performance and organizational effectiveness.

**Figure 10**  
*Abbreviated participant reaction sheet*<sup>(6)</sup>  
*[based on operation and maintenance (O&M) workshop]*

<b>Learning Objectives</b>			
<b>Circle the response that best describes how much the workshop helped achieve these objectives</b>			
	<b>Little Extent</b>	<b>Some Extent</b>	<b>Large Extent</b>
1. Increased my knowledge about the management of local government O&M functions.	1	2	3
2. Increased my skill as a problem solver based on my O&M responsibilities.	1	2	3
3. Assisted my team to carry out a detailed examination of one specific O&M function from out local government’s experience	1	2	3
4. Assisted my team prepare an action plan to help improve the management of O&M in our local government.	1	2	3

Training Content							
Circle the response that best describes how effective the training materials were in helping you achieve workshop objectives							
	Not effective			Very effective			
	1	2	3	4	5	6	7
5. Pre-workshop assignment							
6. Group discussions							
7. Trainer presentations							
8. Reader on concepts & strategies							

Training Process & Administration					
Circle the response that best describes your reaction to the following workshop components					
	Poor	Fair	Good	Very Good	Excellent
9. Overall design and organization of the workshop	1	2	3	4	5
10. Relevance of the workshop to back-home needs	1	2	3	4	5
11. Quality of workshop facilities and arrangements	1	2	3	4	5
12. Quality of instructions and trainer assistance to participants	1	2	3	4	5

### Performance Indicators

**Author's Note.** At the end of this chapter, as at the end of Chapter 2, we provide examples of *performance indicators*. In this case, the indicators shown in the box illustrate sources of information about the value of a training experience from the reactions of participants during or after the training. As mentioned previously, these indicators can help you think about how to measure the success of your performance, the performance of those who are trained, and the performance of the training participant's organization.

Performance Indicators Evaluating Training Events
1. Level of attendance at the training events
2. Efforts to complete assignments
3. Self initiated efforts to learn
4. Rating on feedback questionnaires assessing the training event.

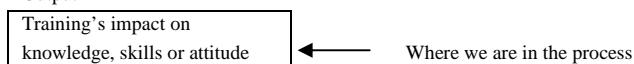
### REFERENCES

<sup>5</sup> This figure is adapted from material in Kirkpatrick, Donald L., "Techniques for Evaluating Training Programs," *Training and Development Journal*, June 1979, pp. 78 - 92.

<sup>6</sup> This participant reaction sheet was adapted from one used by the authors at the conclusion of a recent workshop on the management of operations and maintenance functions in local government.

## CHAPTER 4 EVALUATING TRAINING'S IMPACT ON INDIVIDUAL LEARNING

Output 2



This chapter will look at the issues involved in evaluating training's impact on individual learning. You may be saying to yourself, "This sounds like what was just covered in the last chapter." If so, we can sympathize with your confusion. But, the evaluation of training is different from the evaluation of training's impact on individual learning. The dilemma in thinking and writing about training impact evaluation is inherent in the systemic nature of the training experience. When there is no urgency to track training's impact on individual learning, job performance, organizational effectiveness, and finally, human settlements capacity building, the evaluation task becomes easy. In these situations you can just evaluate *participant reactions* to the training experience and plan for your next training assignment!

When you decide to figure out whether training investments are really paying off, the task becomes much more challenging and difficult. This chapter will explore training's impact at the beginning of the "consequences" cycle, that is, the impact it has on *individual learning*. Included are discussions about:

- The range of outcome possibilities when we engage in training to enhance individual learning (including increased knowledge, improved skills, and changes in attitudes);
- Some of the intangible elements of individual learning (e.g., will, commitment and personal resolve);
- The role that training venues play in fostering individual learning;
- The importance of personal disclosure and feedback in helping individuals translate learning into behavioural change; and,
- Methods for determining whether individual learning has been achieved as a result of some training investment.

### ***The ill-mannered finance clerks saga continues ...***

#### ***Designing for learning impact***

Adina was determined to assure that the training would meet the needs of the mayor, the department director, and more importantly, the training participants. Near the end of the training, she conducted a quiz on the departmental procedures the clerks were required to follow in dealing with citizens. Those participants who scored less than 100% on the quiz were required to repeat it until they did. Adina provided individual coaching between the tests.

Of course, knowing the procedures and applying them are very different learning concerns. To assure that each of the clerks was able to apply them in a competent and friendly manner, Adina designed into the workshops a series of role plays between finance clerks and customers. Those who played the role of customers were instructed to be “difficult.” The clerks were instructed on how to deal effectively with a variety of difficult situations. Participants were given individual coaching by the instructor and feedback from peers on their performance.

On the topic of providing quality customer service to the citizens, Adina invited the mayor of a neighboring city that had just won a national award for its customer service programme to attend the last day of the workshop series. The mayor discussed with participants the many ideas put into practice in his city and lead a brainstorming session with the clerks to determine how they might improve their own operations to be more customer friendly. The finance clerks told the visiting mayor at the end of the workshop that they were going to compete with his city to win the award the following year. Adina just smiled, knowing that her workshops had been successful in having an impact on individual and team learning.

*To be continued ...*

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#### ***Learning is not behavioural change!***

The link between learning and improved job performance is behavioural change. Behavioural change is dependent upon some kind of stimulation, inputs that motivate individuals to do something differently than they have been doing in the past. In other words, they *behave differently*. Behavioural change results from a wide range of stimulations, not all of them positive, but individual learning is one of the most positive and enduring motivators of behavioural change. The Kirkpatrick evaluation model, which continues to be the standard bearer for training assessment, makes clear distinctions between reaction, learning and behaviour.

We all hope our training activities will result in specific learnings by participants. But, more often than not, we have little or no concrete evidence that individual learning has actually occurred. An exception is training designed to prepare participants to pass examinations for achieving higher levels of “certified” competency. But most in-service training and development efforts are not that rigorous in their application or follow-up.

Learning, as a training product or output, is related directly to one or more of the following:

- ✓ Increased knowledge and understanding;
- ✓ Improved mental, physical or relational (social) skills; and
- ✓ Changes in attitudes or values.

While learning - as an event - is concerned with changing attitudes and improving skills and knowledge, it *does not* reflect their use on-the-job. That’s another matter altogether.

Sometimes there are creative acts that emerge as training outputs (such as the development of an action plan toward the end of a training workshop). These acts represent what is known as the *transfer of training*. Training transfer begins to cross that ambiguous line between learning and improved job performance or behavioural change. We will be addressing this later on in the manual. For now, let’s look more closely at the learning products that can be anticipated as the result of effective training interventions.



## ***Learning as an output of training***

There are three general categories of learning objectives: (1) knowledge; (2) skill and (3) attitudinal change. They are general and broadly defined because each category can be appreciated fully only by further elaboration. Incidentally, these categories have very porous boundaries. Some argue that any attempt to fit each *learning output* into some tightly bound definition is folly. We could not agree more. The only defense for such action is the need for trainers and others to be specific when they write learning objectives. And this defense is a compelling one.

If there is one central task that brings focus and rigour to TIE, it is the definition of learning objectives as specific, realistic, and measurable. Defined this way, learning objectives reflect back to the training needs assessment and client contracting stages of training preparation. They also point ahead to the design and delivery of training that is grounded in job performance and human settlements capacity building (outcomes) - see *Figure 11*.

Let's look at these broadly defined categories more closely. They are the training designer's best friends and invaluable to the training impact evaluator.

- ✓ **Knowledge objectives** include enlarging a training participant's mental storehouse of *information, data, and ideas*. Examples:
  - Facts
  - formulas
  - rules
  - concepts
  - names
  - principles and strategies
  - places
  
- ✓ **Skill objectives** include improving the training participant's *mental, physical (technical), and relational* skills. Examples:
  - decision making
  - active listening
  - problem solving
  - counseling employees
  - detecting differences
  - disclosing personal information
  - using principles and rules
  - operating equipment

*Figure 11*  
*Learning objectives focus training by linking needs with outcomes*



- ✓ **Attitude and value objectives** are concerned with helping training participants alter the way they perceive and respond *emotionally, physically, verbally and intellectually* to others. Examples:
  - gender sensitivity
  - being considerate of other people's needs
  - ethical judgements
  - sharing of power and influence

These three categories are the only learning results you can help others achieve through training. If you approach the training responsibility with these concepts in mind, it will help you determine what is required to address the performance discrepancies that were identified in the training needs assessment process.

### **Performance-based learning objectives**

TIE depends on the trainer's ability to translate performance discrepancies in the work place and the organization into performance-based learning objectives. These are statements that clearly communicate the instructional intentions to be achieved. They describe, in precise terms, the desired changes in behaviour that are expected when the training participant returns to the job. Robert Mager has identified three essential characteristics of performance based learning objectives:

1. **They identify terminal behaviour** - what training participants will be able to do, by the completion of training, to demonstrate they have learned the desired knowledge or skills or modified their attitudes and values.
2. **They describe the conditions of performance** - the circumstances under which participants are expected to apply the learning (e.g., available tools and equipment, supervision, physical environment).
3. **They establish acceptable performance criteria** - how well participants must be able to perform. These criteria include: *quality* (accuracy, completeness, clarity); *quantity* (numbers); and *time* (to complete the task); or, a combination of the three.<sup>(7)</sup>

In other words, performance-based learning objectives establish precisely what the training participant is expected to do when she returns to her job responsibilities; under what conditions she will be expected to apply the newly acquired learning; and what standards of performance she will be expected to meet, given the training investment.

**Author's Note:** This is where the concept of learning, as different from *behaviour*, begins to break down a bit. Once again we want to remind you of the systemic nature of the TIE process. Everything is intertwined with everything else. While there is a sequence of events that must take place to accomplish TIE, it may be more useful to describe some things out of sequence. A case in point is this description of how to write performance-based learning objectives. Logically, the discussion should come earlier (because the task must occur sooner) but the description is so important to understanding training's impact on *learning*, that it is better to discuss it now.

### **How to write performance-based objectives**

Writing performance-based objectives is a skill that can be reduced to three simple tasks. Each of these tasks is explained in some detail below.

- ✓ **Task No. 1 - Identify the desired behaviour.** Behavioural objectives (performance-based) begin with a verb (see *Figure 12 for a list of useful action verbs*) and other words forming a sentence that describes completely the performance required. Included in the description is a realistic time frame. The words used are chosen to be relevant to the participant's job responsibilities, accurate in detail and precise in meaning. Descriptions of desired performance are worded to avoid overlapping with other behaviours that might be required to achieve the intended performance.

The desired behaviour for a participant at a workshop on improving listening skills, for instance, might be described as follows:

*After the training, the participant will be able to ask open-ended questions at appropriate times...*

- ✓ **Task No. 2 - State the criteria (standards) for acceptable performance.** In other words, *how well* is the training participant expected to perform as a result of newly acquired learning? These criteria include words to describe the minimum level of acceptable performance. The criteria provide realistic time frames (if appropriate to the task). They stipulate how many of what and within what tolerances of quality assurance (or similar quality/quantity verifiable indicators of behaviour the person is expected to achieve to meet acceptable performance standards).

If we return again to our objective for a training programme, on being an effective listener, we might find quality criteria such as the following being used:

*... which can't be answered yes or no or with facts alone ...*

**Figure 12**  
*Useful verbs for writing learning objectives*

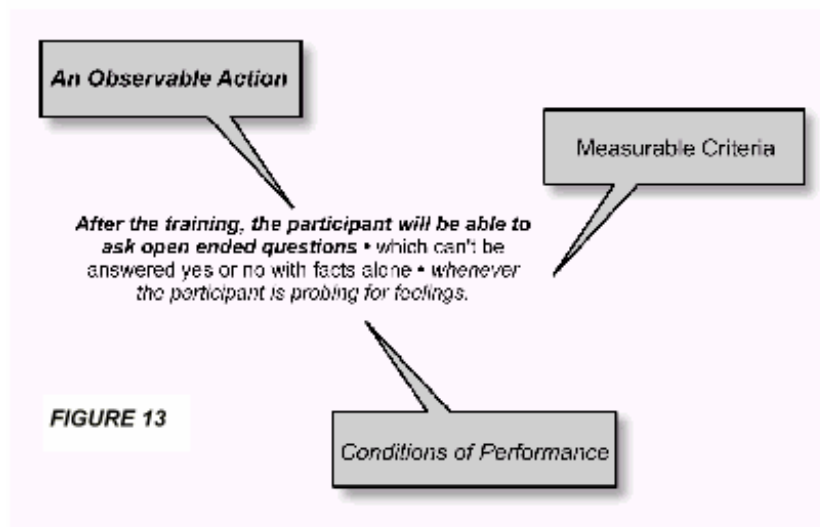
Ask	Find	Order
Classify	Identify	Place
Collect	Isolate	Provide
Copy	Label	Quote
Count	Listen	Rank
Define	Locate	Repeat
Describe	Mark	Score
Differentiate	Match	Select
Distinguish	Name	Trace
Document	Note	Underline

- ✓ **Task No. 3 - State the conditions under which the desired behaviour will be performed.** For example, we might be training housing inspectors to determine discrepancies in the fire codes that are associated with high-rise, multi-family housing units. Given these parameters, the inspector might be expected to conduct inspections in any type of weather, climbing steps to the highest level of habitation, and, carrying inspection equipment that weighs a maximum of 14 kilograms. The certification based on the training might require the person to demonstrate her ability to complete inspections under these conditions.

If we return to our objective on improved listening skills, the conditions under which the new behaviour will be performed might be stated as follows:

*... whenever the participant is probing for feelings.*

Putting it all together, a complete performance-based learning objective related to improved listening skills might read as shown in the diagram (Figure 13) below.



### ***The intangible elements of learning***

Learning is more than variables to be manipulated by the trainer. While all the elements we have discussed are important to developing training opportunities that result in individual learning, we can't make others learn. The recipient of training must have the will to learn, the commitment to self-development, and the resolve to achieve increasing levels of competency, on and off the job.

While these attributes of human endeavor are intrinsic and largely under the control of the individual who harbours them deep within, there are some tactics we can employ to help individual learners tap these underground reservoirs.

The first has to do with the training participant's ability to "see" himself or herself as clearly as possible, often as others see him/her, in order to have a benchmark from which to measure individual learning and growth. One of the most insightful concepts for defining the potential for self-awareness is something called the *Johari Window*.

## The Johari Window

The four quadrants of the *Johari Window* (portrayed graphically in *Figure 14*) represent one's interpersonal styles of communication. These descriptions are relevant as a way for individual learners to think about how they communicate with their subordinates and supervisors as well as other work colleagues. They are useful for evaluating the *impact* of these patterns of communication on their overall job performance. Each quadrant or area of the four-celled *Johari Window* is explained below.

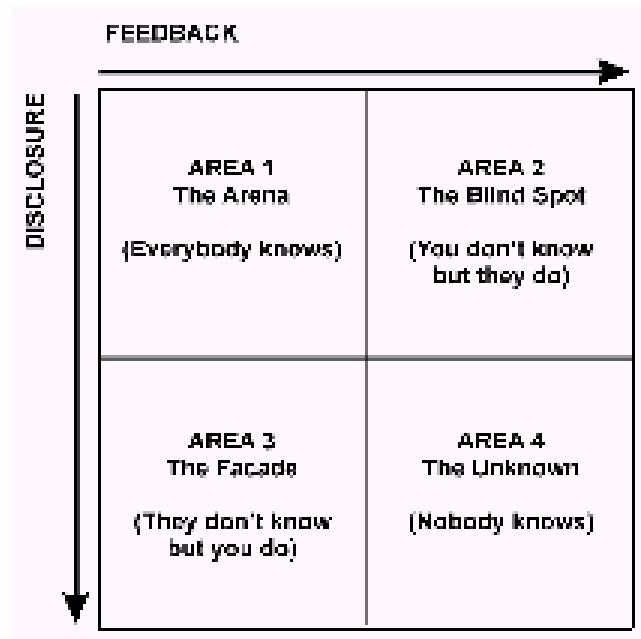
**Area 1 (the Arena)** is the behaviour and motivation known to self and to others. It shows the extent to which two or more persons can give and take, work together, and enjoy experiences together. The larger this area, the greater is the individual's contact with the real world and the more available are his/her abilities and needs to self and others.

**Area 2 (the Blind Spot)** represents behaviour and motivation not known to self but apparent to others. The simplest illustration is a mannerism in speech or gesture of which the person is unaware (such as repeated reliance in presentation on a phrase like "you know?") but which is quite obvious to other people. Similarly a person may demonstrate a need to dominate others and not be as aware of this as others are.

**Area 3 (the Facade)** is behaviour and motivation open to self but kept away – hidden - from others. With a new acquaintance this is a large quadrant because we don't feel safe in revealing our true selves and feelings. For example, we may resent a particular remark, but keep our feelings about it to ourselves.

**Area 4 (the Unknown)** represents the inner sphere of behaviours or motives that were likely there all the time. For example, an individual may surprise himself/herself and others by showing abilities in bringing warring factions together although he/she was never previously thought to be a peacemaker.

*Figure 14*  
*A model of interpersonal communications based on the Johari window*



There are several "principles of change", related to the four areas, that are relevant to helping individuals tap their potential will and resolve to learn. They are also useful for improving opportunities in the workplace to foster greater *training impact* on job performance.

1. It takes energy to hide, deny, or be blind to behaviour which is involved in interaction.
2. Threat tends to decrease awareness; mutual trust tends to increase awareness.

3. Forced awareness (exposure) is undesirable and usually ineffective.
4. Interpersonal learning means a change has taken place so that Q1 [The Arena] is larger and one or more of the other quadrants has grown smaller.
5. An increased Q1 [The Arena] means more of the resources and skills of the work team can be applied to a task.
6. There is universal curiosity about Q4 [The Unknown] area, but this is held in check by custom, social training, and diverse fears.
7. Sensitivity means appreciating the personal aspects of behaviour [Q2, Q3 and Q4] and respecting the desire of others to keep them so. <sup>(8)</sup>

We have been talking about personal disclosure and feedback as communication strategies to increase learning and subsequently job performance. We believe these *behaviours* (the application of learning) are important for improving the potential for training to have *impact* on job performance and organizational effectiveness.

### ***The learning contract***

A technique that is frequently used to increase the commitment to learning and make more explicit those things that are important to learn in a training programme is *the learning contract*. This is a simple document, most often drawn up by the employee being trained and the trainee's supervisor. It includes a signed statement by each person that describes certain behaviours they commit themselves to in regard to the forthcoming training opportunity.

For example, a "contract" might spell out the *trainee's commitment* to attend all training sessions, complete pre-workshop assignments or reading assignments, prepare an action plan to put the new learning to use when he or she returns, and to share what has been learned with others in the organization.

In return, *the supervisor commits* to such activities as supporting the employee in preparing for the training (e.g., time off to prepare pre-workshop materials), attend any local briefings there might be on the training programme, and providing support and encouragement when the employee returns from the training.

These are examples of *behaviour* the two members of the work team agree to model before, during and after the training opportunity. In addition, they might want to be specific about some of the more critical learning objectives for the participant to achieve during the training to improve job performance and organizational effectiveness.

*Figure 15* is a pre-workshop learning contract reflecting an employee's plan for applying new techniques or behaviours and the supervisor's support for the plan. The following sequence of events is often followed in contract preparation:

1. The employee to be trained and the supervisor agree *in writing* on an area of performance improvement;
2. A specific, measurable performance objective is prepared relative to the area of improvement;
3. The employee attends the training and returns with a plan for achieving the objective - see *Appendix 1*;
4. After the training, the employee and the supervisor together set a date for achieving the objective and the employee proceeds to implement the plan; and
5. At pre-arranged times, the employee and supervisor meet to discuss progress.

Learning contracts can make explicit the important learnings to be pursued during training and the behaviours to be achieved as a result of training. We discussed the importance of interpersonal communication and the need to be more open (disclosure and feedback) in work relationships. Improving the potential for training impact may require new behaviour between the supervisor and her employees. The learning contract, if taken seriously, can raise issues that are fundamental to the success of the training. For example, the person who is about to leave for training may have noticed that the supervisor has not supported other employees when they returned from training programmes in the past. This issue is a legitimate one to focus on in the learning contract. It may also require more *disclosure and feedback* by the employee who will receive the training, and the employee's supervisor, than previously has characterized their relationship.

**Figure 15**  
**Sample pre-training Contract between a Training Participant and Supervisor**

*Employee:* I (name) \_\_\_\_\_ request approval to participate in a training programme on (topic) \_\_\_\_\_. The performance objective(s) I will achieve by attending this programme is/are: \_\_\_\_\_.

If accepted for the Training, I will:

- Attend all scheduled sessions and activities
- Complete all pre-work, reading and other assignments
- Participate actively in all training activities
- Create a detailed action plan describing what I intend to do to make effective use of workshop learnings to achieve my performance objective(s)
- Discuss this action plan with my supervisor
- Discuss highlights of the workshop with my co-workers.

Signed \_\_\_\_\_

Date \_\_\_\_\_

*Supervisor:* I, (name) \_\_\_\_\_, supervisor of this employee, will support the employee in achieving his/her performance improvement plan in the following ways:

- Release the employee from work assignments to allow complete preparation for and attendance at all scheduled workshop sessions and activities
- Meet with the employee after the workshop to receive information on workshop content and review the employee's plan for using workshop results to achieve the employee's performance objective(s)
- Reinforce and encourage the application of new techniques and behaviours learned at the workshop
- Provide opportunities for the employee to apply new techniques and behaviours.

Signed \_\_\_\_\_

Date \_\_\_\_\_

### **Keeping a Journal**

Another technique for helping participants increase the potential for learning in a training programme is to keep a journal of the significant concepts, ideas, skills, insights, and other learnings as they happen. The journal becomes even more useful and important, if the participant also notes how he or she plans to use the learning back on the job. From the perspective of evaluating training's impact (TIE), the journal can become a key document for validating certain learnings and developing more concrete relationships between training, individual learning and resulting job performance.

**Figure 16**  
**Instructions for keeping a daily Journal**

1. We invite you to keep an on-going record of what you are learning with us this week. What we have in mind is sort of a journal or log containing things like:
  - Key ideas and information you feel are important
  - Methods for applying new information or ideas to improve your skills
  - New values or ways of thinking you believe could influence your outlook, and
  - Anything else you want to have available for reference later.
2. We do not see the daily journal as a place to write detailed notes on lectures or discussions. Instead, it is for use in summarizing key events, situations or experiences which are meaningful for you.
3. In keeping your journal, don't overlook your reactions to what you experience. When you are confronted with new ideas, information or opinions, are you surprised, disappointed, puzzled, or what? Try to put these feelings into words.

## **Venues and their impact on learning**

Before moving on to more direct ways to evaluate individual learning from a training experience, we want to look briefly at the impact training organization. In these types of training programmes, individuals, or teams from the same organization, are requested to come to the workshop with information they can work with. The *Total Quality Maintenance (TQMn)* material available through UNCHS (Habitat) is an example of this approach. Training programmes of this kind provide better opportunities to track the impact of training since they often result in action plans that participants develop during the workshop for implementation upon their return home.

### ***Bringing the Organization into the classroom***

A field test in Tusnad, Romania of the TQMn materials developed by UNCHS (Habitat) illustrates how bringing the organizational venue into the classroom has high potential for improving organizational performance outside the classroom. Working in four local area teams, workshop participants used a structure for problem solving provided by the workshop facilitators to work on “real” problems facing them in one of their own local authorities (e.g., deteriorated roads, inadequate pumping capacity and unacceptable losses of water in the distribution system). The workshop’s focus on “real” problems rather than hypothetical ones added realism to the learning experience. By the workshop’s close, each of the four teams had developed a detailed action plan for rectifying the problem identified. Tracking the organizational impact of this kind of workshop will be relatively easy since participants have agreed on specific implementation plans with measurable objectives and target dates for completion.

Yet another approach is the use of an action research or action learning project. The organization offering the training arranges with an operating agency, such as a local government, to participate in the training. Typically the training involves a diagnostic intervention with the training participants collecting and analyzing information and data about a performance problem in the host organization. Data gathering and analysis is followed by some kind of joint problem solving.

### ***An action planning approach for evaluating learning impact***

The authors, for example, have been involved in urban planning seminars where participants, with the involvement of city planners and elected officials, conducted land use exercises consisting of data gathering and analysis and the design of alternative development scenarios. The scenarios were presented to resident city councils and other key stakeholders at open meetings the day before the workshop’s end. Evaluating the impact of this kind of training investment is relatively easy. First, the evaluator can track the implementation of the development alternatives in the host city. Secondly, since each training participant develops an action plan based on what was learned, the evaluator can easily follow up with participants to determine if their individual plans have been implemented.

## **Traditional approaches to evaluating training’s impact on learning**

There are many traditional ways to evaluate whether training has had an impact on individual learning. These include:

1. Paper and pencil competency tests to determine whether individual learners have mastered principles, facts and other knowledge-based objectives. Developing a competency test usually involves these five steps:
  - ✓ Identify the learning objectives
  - ✓ Outline what is to be covered by the test (outlines are to ensure that relevant materials are covered and extraneous items are omitted)
  - ✓ Establish the test format (multiple-choice, true/false, matching, essay)
  - ✓ Construct written items to be included in the test (items that are clearly written and appropriate for the reading level of the test takers)
  - ✓ Check the test items for content validity (are the items job-related? do they cover all areas of competency included in the training? are there enough items to ensure a reliable test result?)
2. Demonstrations of competency in replicating manual skills learned in the classroom (e.g., how to repair a water meter, how to perform an engine tune up, how to set up an office filing system). Demonstrations involve the use of samples that measure skills by re-creating certain aspects of a job under controlled conditions. The advantage of this kind of testing is that employees can be evaluated in situations that closely resemble their jobs and can apply training concepts using the same skills used on the job.

- Before and after questionnaires designed to test changes in attitudes (e.g., learning about human relations for supervisory personnel). The value of before and after training testing depends on getting an accurate assessment of the learner's attitudes about the subject before exposure to the training. To avoid the bias and subjectivity associated with self-assessments, the test can be administered to others such as the learner's supervisor, subordinates, and work associates. Various scales, such as the Likert Scale shown below, can be used to assess changes in attitudes based on before and after testing.

The Likert Scale normally offers a range of five choices:

SA	=	Strongly agree
A	=	Agree more than disagree
U	=	Uncertain
D	=	Disagree more than agree
SD	=	Strongly disagree

An example of this type of scale would be:

I always listen carefully to the instructions	SA	A	U	D	SD
It is better to listen than to talk	SA	A	U	D	SD
People always listen to what I say	SA	A	U	D	SD

- The use of control groups. It is sometimes argued that participants in training would have learned on the job without the necessity of investing in training for them. One approach which attempts to answer this criticism is the control group. A control group is one that is as similar as possible to a group being trained but which does not take part in the training. Ideally, a control group should match, as closely as possible, the group being trained in job, age, experience, skill level, etc. Typically, the control group receives no training but is given the pre- and post-training tasks given to those who do take part in the training.
- The use of assessment centre techniques and video taping. Participants, in small groups, are given critical incidents of work place situations and asked to develop alternative solutions. The whole episode is video taped. This is followed by an evaluation of the video tapes to assess the application of skills and knowledge demonstrated by each participant.

## Summary

This chapter has covered a lot of territory about the evaluation of Training's impact on individual learning. Much of it has been, no doubt, familiar. Other ideas, we hope, have challenged your own learning. Given the focus of this manual, it would be appropriate for you to stop for a moment and reflect on an idea or two *you have learned* in reading this chapter. Jot down what you plan to do with these learnings. Do this so these ideas can have an *impact* on your own job performance.

We have looked at the difference between *learning and behavioural change* and recognized how difficult it is to separate the two into neat categories for classification. This was followed by a lengthy discussion of the learning outputs you can expect from training interventions (knowledge, skills of various kinds, and changes in attitudes and values) and how to turn those expected outputs into performance-based training objectives. And we hope you are remembering the critical importance of these objectives in designing and implementing training events with learning results that can be *evaluated for their impact*.

From the hard skills of writing training objectives we moved on to two more complex issues involved in individual learning: (a) the importance of individual *will, commitment and resolve*; and (b) the creative use of training venues to enhance the impact potential of individual learning.

Finally, we covered territory that is more familiar to many of you by describing some of the traditional techniques that are available to assess training's impact on individual learning. From the perspective of TIE, the evaluation of individual learning is the first major hurdle to be cleared. Learning *must* take place if training is to have an impact on



job performance and organizational effectiveness. But, we will caution you one more time: *learning is not behavioural change!* What we learn during training is of no use unless we turn it into behaviour - put it to use. The next chapter will address this all important issue from the perspective of TIE.

### Performance Indicators

**Author's Note.** Once again we provide examples of *performance indicators*. The indicators shown below are concerned with the evidence a trainer would want about the extent of learning that has occurred as a direct result of a training experience in relation to the goals of the training. As mentioned previously, these indicators can help you think about how to measure the success of your performance, the performance of those who are trained, and the performance of the training participant's organization.

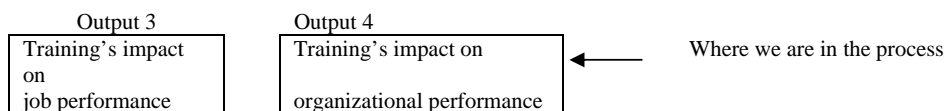
<b>Performance Indicators: Evaluating training impact on individual learning</b>	
1.	Demonstration of knowledge learned.
2.	Ability to perform new tasks to agreed upon standards.
3.	Willingness to experiment with new behaviours in a safe learning environment.
4.	Demonstrated commitment to transfer new knowledge and skills to work situations.

### References

<sup>7</sup> Mager, Robert F., *Preparing Objectives for Programmed Instruction* (Palo Alto, CA: Fearon Publishers, Inc., 1962), p. 12.

<sup>8</sup> Luft, Joseph. *Group Processes: An Introduction to Group Dynamics*, 2nd ed., (Palo Alto, CA, National Press Books, 1970), p. 15.

## CHAPTER 5 EVALUATING TRAINING'S IMPACT ON JOB PERFORMANCE AND ORGANIZATIONAL EFFECTIVENESS



We have often re-emphasized the systemic nature of the TIE process, how the various stages are intertwined and interdependent. Effective evaluation of training impact also depends on competencies and applied behaviour in: defining performance discrepancies; writing performance based training objectives; and, designing and conducting experiential learning events that are impact oriented. While all these activities are important and support implementation of the TIE philosophy and methodology, it is the training impact on job performance that occupies centre stage in this process. This is not to say that everything we have covered thus far isn't important. It is, and you will be grateful, as a TIE implementer, if these preceding tasks have been achieved at a high level of commitment and competence.

In this chapter, we will be looking at the issues involved in determining whether individual learning, resulting from training intervention, has been translated into performance related behaviours, *and* whether these work related behaviours have resulted in any impact on job and organization performance. It is a long chain of cause and effect relationships, from the initial contact with the training client and identification of performance discrepancies, to determining whether the training investment is having any impact on job performance. In this chapter we will help you understand more clearly how this relationship can be determined and evaluated.

We will look not only at the impact of individual learning, as it gets translated into *actual job performance* (not just the *ability to perform*), but the impact that learning has on the larger work setting. Among the key points we will be discussing are:

- The various focal points of training impact including the individual learner, work teams, and the organization.
- How training's impact on job performance and organizational effectiveness can be determined.
- Learning transfer strategies, such as action planning, supervisory support, mentoring, and managing transition from classroom to the work place.
- Some of the constraints to be expected in putting learning to work.
- Role relationships that can be useful in assessing training impact in work settings.

- Various strategies and tools to use in the evaluation of training impact at the individual, team, and organization levels of job performance.

### ***The ill-mannered finance clerks saga continues ...***

#### ***Checking the impact on job performance***

Adina, although assured that the workshop training was effective in achieving individual learning, wanted to know that it had eliminated the performance discrepancies the mayor and department director were concerned about. The performance gaps that brought her into the situation in the first place.

At one and three month intervals after the training was completed, Adina conducted more interviews and administered her baseline data questionnaire.

The first set of inquiries helped determine the immediate impact of the training investments. The three month survey was administered to determine if the more positive work behaviours, resulting from the training, were being sustained.

After administering her three month survey, Adina completed her report and submitted it to the director of housing and community development (with a copy to the mayor). She also briefed her own director on the results attained through the impact evaluation and made suggestions on how future customer service training could be designed and conducted more effectively and efficiently in the future, based on her experience with the city.

*To be continued ...*

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Two caveats are in order as we begin to address the most significant focus of the TIE process. First, some of the training strategies currently applied in organizational work settings defy the distinction we have been making between *learning* and *behaviour* (or actual job performance). In-the-organization (IOT) training interventions, such as team building and goal setting workshops, infuse learning with performance behaviour. Or, is it the other way around?

The second caveat is the difficulty of keeping the evidence of training impact clean. As mentioned earlier in our discussion, there are so many influencing variables that infuse the work place that it is often difficult to determine what is causing what else to happen to whom and why. And, *learning* has its own potential for generating unintended consequences when put to work with commitment and enthusiasm. While concerns are justified for keeping evaluation evidence untainted, it is important to maintain a balanced perspective about why the TIE process is being implemented. TIE is designed to (a) provide feedback to trainers so they can design better training programmes, based on client needs and responses, and (b) help managers make better use of training to improve job performance (and to get better returns on training investments).

#### ***Focus for evaluation***

There is an assumption that runs through the discussion in the last chapter that needs to be clarified at this time. We have assumed that individual learning is the primary output of training. Technically, this is true. Only individuals have the capacity to learn, although recent books and articles refer frequently to the *learning organization*. However, once *individual learning* is translated into *work performance behaviour*, we can no longer restrict our attention to the individual. His or her job performance, based on new learning put into practice, can often have consequences beyond her or his own sphere of activity.

#### ***Unintended consequences of training***

A clerical employee is sent away to learn how to operate the agency's new word processor. She comes back and begins to produce volumes of printed material. The training impact, in this case, can be measured fairly easily. However, her output intimidates others in the secretarial pool of workers. As a result, they begin to "sabotage" her work efforts which, in turn, affects the newly trained clerk's motivation and work performance. Training impact recedes. Some might attribute the poor performance to the training.

Or, perhaps, there might be a more positive although unintended consequence of the training. The clerk's work colleagues are fascinated by the new equipment and ask her if she will teach them how to operate it. She agrees to give them lessons during lunch break, and the *learning* she received through formal training multiplies. This is clearly an unintended consequence of the training - but can we attribute the job impact to the training?

Some training investments are clearly designed to improve individual work performance that is measurable in terms of individual output. How to operate or maintain a new piece of equipment is one example. While the training impact could be traced to more esoteric levels of organizational effectiveness, there is little rationale for doing so. The important evaluation question is:

*Will the level of performance by future trainees be improved by making changes in the curriculum, given the lessons learned through the TIE process?*

Other training investments are designed to have direct impact on the individual's work team and indirectly on the organization's overall performance. Supervisory training is one example. In this case, *individual learning* is expected to translate into *behaviour* that has *impact* on group performance. When conducting a training impact evaluation of supervisory training, for example, the focus must not only be on such individual performance as preparing a weekly work schedule. We would also want to determine how well the supervisor *managed* his employees in carrying out the scheduled work. The TIE process admittedly gets more difficult when the individual learner's job performance is contingent, in part, on the work behaviour of other people.

If the chief executive officer attends an executive development seminar, it becomes even more problematic to track the impact of the training on the organization's effectiveness. The more pervasive the influence of the person being trained, and the more general the learning objectives, the more difficult it is to separate the impact of a training intervention from all the other factors that are influencing the organization's performance. This doesn't mean the evaluator shouldn't try to evaluate the organizational impact of these kinds of training interventions. On the other hand, it does suggest that the magnitude of the challenge is worthy of more rigorous attention by the evaluator.

### **Relating training impact to job performance**

It is possible to establish with success a relationship between training and improved job performance. How much success depends, in large measure, on how well the performance discrepancy has been defined and the appropriateness of training as a remedy. If the performance discrepancy is clearly defined, then the training to deal with the problem can be prescribed with reasonable certainty, as illustrated by the example in the [box].

#### **Relating training to unsatisfactory performance**

Seven newly hired street maintenance employees have suffered back injuries in the past year due to improper lifting of heavy objects. The problem is diagnosed as inadequate knowledge of proper lifting technique when handling heavy objects. The overall goal of the training would be: *to eliminate all back injuries in the street maintenance department due to improper lifting of heavy objects starting at the completion of the training.* Specific training objectives could include: (1) to demonstrate proper lifting procedures for five representative types of heavy objects used by the maintenance department; and (2) to insure that each participant, based on successful completion of written examinations and demonstrated competence, has the required knowledge and skill to lift heavy objects according to medically acceptable procedures.

Contrast this example directly relating training impact and job performance with the subjective approach often found in the workplace. For example, a director of finance "feels" that one of her senior accountants could benefit from some kind of "human relations training." She came to this conclusion after reading a brochure that had just crossed her desk. As she said, "Joe's been having some problems relating to one of the new clerks. Maybe this workshop will help. Besides, Joe needs a break." This kind of training response (primarily supply driven in response to a vaguely defined problem) would be difficult to evaluate from the perspective of a measurable improvement in job performance.

Before employees are deployed for training, there should be a clear understanding by both the trainee's supervisor and the trainer, or training institution, regarding the specifics of the performance discrepancies to be addressed by the training. This assumes training is an appropriate strategy and that the benefits to be derived from the training are important enough to the organization to warrant this kind of pre-training consultation. Which brings us to a point we have made several times. *TIE is not an event to be undertaken with every training activity.* Performed competently, TIE can be time consuming and expensive. The rationale for engaging in TIE, and the resource commitments it will take, must be examined by both parties (the training institution and training client) before a final decision is made to proceed.

The types of performance impact that can result from training include the following:

- ✓ Lower costs of production
- ✓ Cost savings in maintenance
- ✓ Higher quality of service

- ✓ Fewer rejects of produced goods
- ✓ Greater customer satisfaction
- ✓ Fewer equipment breakdowns
- ✓ Higher attainment of short term goals
- ✓ Better communication among work unit employees
- ✓ Decrease in personal conflicts
- ✓ Increased revenue; and
- ✓ Reduced work related accidents.

The outputs listed above are meant to be illustrative (and not inclusive) of the variety of positive impacts training can have in organizations when approached deliberately and with determination. There is no list that could include all the possible job and organization performance impacts that might result from training. Their definition can only come from documenting the level of performance before and after training and investigating the role training has played in closing the gap between the two.

### ***Constraints to training impact***

Unfortunately, training doesn't always result in the impacts that were expected or intended. Sometimes it is the quality of training; other times, it results from workplace constraints. We have talked at some length, in previous chapters, about the hurdles that must be cleared by the supply side of the training relationship (if training is to have the impact that is expected by both sides). Let's now take a look at some of the barriers the workplace can put in the path of the employee who has just been trained. These barriers might include some or all of the following:

1. **Lack of management involvement in the training initiation process.** If the employee's supervisor isn't closely involved in identifying the performance discrepancies and the need for training, the chances are she won't be interested in exploiting the impact the trained personnel can have on improving overall job performance.
2. **Failure of management to support the trainees when they return from training and re-enter the work force.** The transition from training to work can be difficult for many. The trainees' immediate supervisor should have a "game plan" to provide assistance to employees re-entering with new knowledge and skills. This might include: an opportunity for the returning employee to brief his or her work colleagues on what has been learned; a briefing on what has happened in the workplace during the trainee's absence (if the training has been long term); and other efforts to re-integrate the worker into the work setting.
3. **Peer pressure to maintain the status quo.** Often training results in the infusion of new ideas and skills. Not everyone will be in favour of change, particularly if they aren't involved in initiating it. Unfortunately, many training investments are forfeited the moment the participant returns home to an indifferent and sometimes hostile work environment.
4. **Unrealistic expectations.** Sometimes, expectations about potential contributions to the organization, by those who have been trained, are unrealistic. They are being set up to fail. These expectations can be held both by the person trained and those who remained behind in the work unit.
5. **Lack of equipment and other resources.** Sometimes employees are trained to do something they can't do when they return to the workplace because the equipment, tools or other resources aren't available. Nothing takes the edge off learning something new faster than when it is discovered there is no way to put new concepts, practices or technologies to use when returning to the job (e.g., computer training, when the only equipment available in the work setting is a manual typewriter).
6. **An organizational culture that doesn't support the infusion of new learning:** Unfortunately, there are organizations that resist change and feel threatened by those who want to challenge the status quo.

*"That's not the way we do it around here". "We tried that before and it didn't work". "That's not in your job description, so forget it!" "That's a dumb idea."*

We suspect you have heard most of these *killer* phrases, and more. They convey in language and action the work culture of many organizations and represent the greatest barrier to realizing job performance impact through individual learning that results from training.

7. **Those who improve performance because of training are not rewarded for their contributions.** Those who are trained should be rewarded for their contributions to job performance. If the impact of training is not known and documented, it is difficult to justify rewards to those responsible.

### **Learning transfer techniques** <sup>(9)</sup>

We mentioned earlier that one of the critical points in efforts to assure greater impact from training investments is the transition from training back into the work setting - from learning and the perceived ability to perform – to learning application. We have called this the assurance of desired behavioural change as an indicator of training impact.

**The Trainee’s Role in Learning Transfer.** Some techniques that can be used in the *transfer of training* phase have been mentioned already. They include *action planning* exercises that are completed by the participants at the end of many training events. They have become so common in short workshops that they have begun to replace the traditional “happiness survey” as final evidence that evaluation is being taken seriously.

While the action planning exercise is threatened with overuse and becoming merely a ritual to bring closure to training events, these exercises can be useful ventures to help participants reflect on and commit to specific actions they will take on returning home. One of the dilemmas trainees often face when doing this self-reflective task is the feeling they can’t commit themselves to any actions without first checking with their supervisors.

**The Trainer/Evaluator’s Role in Learning Transfer.** For the TIE evaluator, these concerns, and other insights into the nature of participant’s work settings, can be valuable considerations in designing the impact evaluation strategy. These concerns and insights might include how decisions are made, what’s viewed as important and what’s not, and apprehension about introducing new ideas. For example, any apprehension on the part of a participant about *even sharing an action plan* with his or her immediate supervisor when returning home may provide valuable clues about how difficult training transfer is going to be.

At this point, the “objective evaluator” would say: *“My role is to record and evaluate the impact training is having on job performance. Given this responsibility, I can’t do anything to influence the outcome.”* The TIE evaluator, by contrast, would say: *“During the action planning session, the training participant expressed concern about her ability to use any of the new learning because her immediate supervisor resisted the decision to send her to the training in the first place. I should plan to spend more time with her before she returns home to see if we can work out a strategy to make the training transfer process more effective.”*

The TIE evaluator’s approach is an intervention to influence the potential impact of the training on job performance, something many academic evaluators would consider unacceptable. There is a fundamental difference between evaluation for purposes of research and the action research approach to evaluation that is designed to facilitate planned change. *The intent of TIE is not to provide a report on what went wrong after it is too late to do anything about it. This is the role of so-called summative evaluation. TIE efforts, by contrast, are formative in concept and reality. TIE is concerned with the impact training can have on job performance and the influence TIE results can have on strengthening training programmes and services. The distinction is important.*

**The Manager/Supervisor’s Role in Learning Transfer.** Supervisory support is often crucial to the success of learning transfer. Trainers who plan to conduct TIE need, if possible, to be in contact with the designated trainee’s immediate supervisor before the training takes place. This contact can help to clarify any questions or concerns the supervisor might have about the training and help focus the learning needs of the participant from the organization’s perspective. It is also a time to discuss what the supervisor can do to be more supportive when the training participant returns from training.

Earlier we discussed the role of learning contracts. These can be very effective tools for bringing direction and work place concerns to the training event. They also are designed to clarify the commitments of both parties to assure that individual learning is transformed effectively into applied behaviour.

*Figure 17* is a matrix that shows a variety of useful techniques that can be employed by managers, trainers, and trainees during periods before, during, and after training to improve the potential for learning transfer.

## ***TIE relationships and roles***

TIE assumes workplace involvement by the TIE evaluator, who may or may not be the trainer who facilitated the training that is the subject of the impact evaluation. The level of in-house evaluation will vary extensively based on the nature of the training, the level of the training effort, and the extent of the evaluation enquiry. These are linked directly to what TIE is designed to achieve, both for the client and the training supplier.

Since the potential relationships are extensive, we will mention only a few to suggest the rich possibilities that exist. Interaction with those individuals who attended the training and their immediate supervisors are obvious focal points of TIE efforts. Depending on the nature of the individual learning being evaluated for impact, the assessment may need to go no further than interviews with these individuals and observations of how the learning is being applied. In these cases, the TIE challenge is modest and straight-forward.

When the individual learning transfer takes place in work settings that involve others, either directly or indirectly, the challenge becomes more complex. This will require the TIE evaluator to develop working linkages and relationships with the trainee's work unit colleagues. Sometimes the training participants work across organizational boundaries with people from other departments or units. And the trainee's contacts and influences may extend beyond the organization. This might include for example, evaluating the impact of someone trained as a receptionist for the mayor's office. It might also include finance clerks who work at accounts receivable counters, calling for the evaluator to survey "customers" who interact with employees who received the training.

Establishing the pattern of relationships and potential fields of impact may require a bit of detective work on the part of the TIE evaluator. While most of the following questions will seem obvious, they are still worth keeping in mind as you enter the work setting to evaluate training impact on job performance and organizational effectiveness.

1. Who is using the learning? It should be those trained. But, some of those who attended the training may not be using it. Or, some bright, ambitious, dedicated employee who didn't attend the training but borrowed all the materials from a friend who did attend may be using the learning in an effective but second-handed manner. It's a logical place to begin the enquiry.
2. What aspects of the training are being used, and what aren't being used? And, why?
3. How is the learning being used? Or, how is it being adapted for use in the same setting for which it was intended, or in other settings? This focus of the enquiry can benefit from When? Where? Why? How often? kinds of probing questions.
4. And, of course, questions about the training's impact on the performance of the trained employee; the quality and quantity of his/her output; the training's influence on her interaction with others in the immediate work setting and external departments, customers, suppliers, etc.

Direct questions, and the dialogue that follows, are the evaluator's most effective tool (and best friend) when it comes to implementing the TIE process. But, they aren't the only ones. Here is a look at some other tools to take along when you decide to TIE.

### ***Tools to TIE by***

Evaluating training impact on job performance can be accomplished in a number of ways.

**Conversation.** Questions, as suggested above, are the TIE evaluator's best friend, and they come in many varieties. Asking questions in an informal, relaxed atmosphere (when did it happen? how often? who else was involved? where were you?) about the job application of learnings is a good way to break the ice when gathering information on training impact.

**Interviews.** The interview is a more structured way of information gathering. As a rule, appointments are made and questions are selected to lead the conversation in a particular direction. The evaluator, as interviewer, controls the conversation to maintain the focus.

**Figure 17 The Training Transfer Matrix**

Events → Roles ↓	Pre-Training	During Training	Post-Training
Managers	Involve trainees in setting post-training performance goals.	Separate trainees from unnecessary interruptions and distractions.	Debrief trainees to discover what took place and review learning application plans.
	Provide rewards for the successful transfer of skills to the job.	Transfer trainees duties to other employees on a temporary basis.	Provide opportunity for trainees to practice new skills and reward successes.
	Encourage trainees to view training as potentially beneficial to their jobs.	Take part in activities designed to encourage the job transfer of new skills.	Reinforce efforts to use new skills and schedule briefings with co-workers.
Trainers	Align training with the organization needs, goals and practices.	Develop objectives that focus on what trainees should do back on the job.	Create expectations that success will follow from efforts to apply learnings.
	Involve managers and trainees in needs assessment and preparing training designs.	Help trainees make commitments to apply learning and to visualize doing at work what they have learned.	Follow-up through correspondence, calls, and onsite visits to review results and help remove obstacles.
	Distribute pre-training readings and data gathering to stimulate trainee readiness and interest.	Use performance aids to enhance learning retention and to reinforce job application commitments.	Conduct evaluation surveys and refresher sessions and feedback results to managers and trainees.
Trainees	Use any opportunity to provide input into programme planning.	Participate actively and develop a plan for changes in job performance.	Review training materials for improved retention of knowledge and skills.
	Anticipate the many opportunities for better performance made possible by the training.	Compile a record of learning to avoid memory loss back on the job.	Regularly review efforts to apply learning to job improvement and assess the results.
	Commit to activate participation in all planned training events.	Make commitments to other trainees to follow through in applying what has been learned.	Maintain contact with other trainees with whom application commitments were made.

What follows is an illustration of “probing” or the use of supplemental questions (who, what, why, when, where, how) by an evaluator to expand or clarify a point. Notice how, at one point early in the interview, the evaluator repeats the employee’s statement without asking a new question.

*Employee*            Let’s see. The main thing I have been doing differently since completing the training is writing better reports.

*Evaluator*            You feel you have been writing better reports since the training?

*Employee*            That’s right.

*Evaluator*            Do you write a lot of reports in your job?

*Employee*            I’ll say I do! At least one major report a week.

*Evaluator*            Can you tell me exactly what makes your reports better now than before the training?

*Employee*            Yes. My reports are more concise and better organized than before the training.

*Evaluator*            How do you account for the improvement in conciseness and organization?

*Employee*            I think it had to do with some ideas I got during the training. The instructor showed us how to diagram our material. She put a lot of emphasis on short sentences and simple words. It made sense to me that saying more with fewer words saves everybody a lot of time.

*Evaluator*            Let me see if I’m following you - you feel that your improved reports are directly related to ideas you got during the training. Better organization and a more concise style of writing saves you time. Would you say this makes you more productive?

*Employee* No question about it. I can do a report in about half the time it used to take. My reports are easier to read now and probably get better results.

**Written questionnaires.** An alternative way of using questions to gather data about the impact of training is the survey questionnaire. This method of gathering information has several advantages. It is particularly useful when there are a lot of people to be contacted and these respondents are dispersed over a large geographic area. Another advantage is its ability to obtain answers to the same questions from multiple respondents. On the other hand, surveys do not permit evaluators to ask follow-up or probe questions to clarify or elaborate on a response as they are able to do in a face-to-face interview.

Elsewhere in this manual we have described various formats and scales that can be used to construct survey questionnaires (e.g., Likert scales, three to seven point semantic differential scales, multiple-choice or true/false testing). In any case, the evaluator who is preparing the questionnaire should take care to use words that:

- ✓ Are simple, concise and jargon free
- ✓ Will be understood readily by any employee asked to respond, and
- ✓ Draw attention to specific improvements in job performance related to the training whose impact is being evaluated.

**Observation.** This is the most immediate of all the methods of gathering data on the impact of training on the job or the organization. Unfortunately, it can be quite expensive and time consuming inasmuch as an on-site observer must be present. It also suffers from potential sampling error; that is, there may be significant changes in job behaviour, but these changes may not be observable while the evaluator is present. For these reasons, direct observation usually is replaced by other data gathering methods like the ones already described.

There are some situations where observation is the only reliable way of discerning training impact. It is especially good in instances where behaviour changes are frequently displayed as in a repetitive task or when a change in behaviour would be particularly noticeable. For example, there is no better way to record improvements in safety practices in the workplace (proper lifting of heavy objects, correct use of goggles or other safety equipment, use of defensive driving techniques) than to see evidence of this behaviour first hand.

**Documentation.** The potential for documenting training impact is constrained only by your imagination. Look for actual products of the learning application such as these:

- ✓ Written documents
- ✓ Repaired equipment
- ✓ Fixed potholes
- ✓ Letters from satisfied customers, and
- ✓ Revenue increases.

Archives are great storehouses of documentary evidence. They include supervisor performance evaluations often required by regulation or ordinance. But beware! These are sometimes works of fiction and often quite unreliable evidence for rewarding and punishing employees. More important documents might include routine staff progress reports, correspondence from outsiders who interact with the returned trainees, financial reports, budgets and more.

**Performance Testing.** Tests are often appropriate to assure that certain concepts, knowledge, ideas, skills and other learnings are still a part of the person's competency base and available for application on the job. But be careful! Don't forget that the *ability to do something, or a demonstration that someone remembers something learned through training, does not equal training impact.*

The tools for evaluating the impact of training are many. Don't hesitate to use a variety in getting verification that individual learning has, in fact, been translated into productive behaviour of the kind intended. For more detailed information on these and other tools to TIE by, consult either or both of the following UNCHS (Habitat) training publications: (1) *Manual for Training Needs Assessment in Human Settlements Organizations*; and (2) *Manual for Collaborative Organizational Assessment in Human Settlements Organizations*.

## **Summary**

Evaluating training's impact on job performance and organization effectiveness is at the heart of the TIE process. In looking at this phase of the process, we have examined:

The focal points of training impact in task oriented institutions:



- ✓ How to determine what the impact training investments have on job performance and organizational effectiveness (the causal linkages).
- ✓ Strategies for helping individual learners make the transition from their temporary role as trainee back into the role of full-time employee.
- ✓ The constraints that must be overcome in conducting training impact evaluations, and
- ✓ The various organizational role sets that can contribute to greater understanding of training's impact on performance.

At this point we want to pause for a moment and ask the question that may be on many minds,

*“What difference will TIE make in the overall management of training and operating organizations?”*

In all honesty, we must respond with: *“It all depends”*. It all depends on how competently the evaluation is designed and implemented. It all depends on how much support is provided by the leaders of both the training institution and the training client. It all depends on the commitment made on both sides to conduct a credible TIE process. And, it all depends on how serious major stakeholders are in using the results to improve their organizations and services.

If the answers to these *it all depends* queries are positive, then the training institution can:

- ✓ Improve its products to be more client responsive.
- ✓ Focus its energies and resources on the design and delivery of training programmes that have proven impact potential.
- ✓ Hopefully, drop programmes that have minimal positive performance impact, and
- ✓ Begin planning for the next generation of relevant, impact-positive training interventions.

Likewise, training clients, based on successful TIE experiences that are responsive to identified training needs in their organizations, will:

- ✓ Realize far greater performance improvements over time
- ✓ Alter work environments to increase the return on their investments in training, and
- ✓ Through the TIE experience, sharpen their internal competencies to define relationships between learning (as a legitimate resource input to organizational productivity), and improved performance.

**Author's Note.** Again at the end of this chapter we provide examples of *performance indicators*. The use of indicators in this case can provide the trainer with evidence that the organization's work practices have been altered in a desired direction as the direct result of efforts by trainees to apply learnings from a training experience. As mentioned previously, these indicators can help you think about how to measure the success of your performance, the performance of those who are trained, and the performance of the training participant's organization.

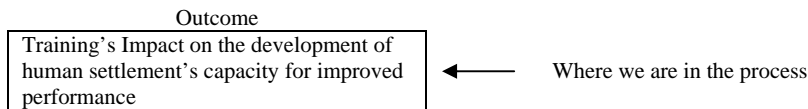
<b><i>Performance Indicators: Evaluating training's impact on job performance</i></b>
1. Direct use of information and skills on the job.
2. Sharing of learning with other colleagues who didn't attend the training.
3. Heightened receptivity of organization to future training investments.
4. Supervisory willingness to allow experimentation with new approaches resulting from training.

## **References**

<sup>9</sup> For a thorough discussion of learning transfer, see Broad, Mary L. and Newstrom, John W. *Transfer of Training* (Reading, Ma.: Addison-Wesley Publishing Co., Inc., 1992), pp. 59-120.

## CHAPTER 6

# EVALUATING TRAINING'S IMPACT ON HUMAN SETTLEMENTS



The ultimate test of training impact is whether the services of local governments and other public service organizations have improved as a result of the training investment. Profit-making organizations that depend on customer satisfaction to keep them in business often find training investments to be one of the key determinants in whether the firm will continue to operate or close its doors. Whether improving the quality of products or the services provided, training is a key management strategy for mission accomplishment.

Public institutions rarely face this kind of performance scrutiny. Without competition, there is little pressure to achieve high levels of *customer* satisfaction. And citizens are too often willing to accept mediocre results from public institutions. But, these are not acceptable excuses. Public employees should always strive to improve the quality of their services to citizens.

In this chapter we will assume that public organizations, such as local governments, have a responsibility to be customer driven in their efforts to serve the public. This *customer driven* mind set and determination should also be reflected in the organization's training investments. Given this assumption, the training evaluator should be asking the following questions:

1. Did the training make any noticeable difference in the quality and delivery of the organization's programmes and services?
2. If not, what can be done to improve the potential for training to produce the desired difference?
3. If it did, what can be done to sustain the improved performance?

Some of the key issues we will discuss in this chapter are:

- How do we make the link between training and impact at the human settlements level where programmes and services are delivered?
- What are the constraints encountered in trying to determine training's impact in the community or service delivery arena?
- How does one go about collecting evidence of training impact at the service and programme delivery level?
- Finally, how can training goals and objectives be linked to community impact when the training is targeted to intervening individuals and their work settings?

### ***The ill-mannered finance clerks saga concludes ...***

#### ***Checking the impact on human settlements***

Ten months later ... Adina gets invited to a victory celebration for the mayor on his re-election. The reception is held in the apartment blocks where the complaints originated about the finance clerks being so ill-mannered. As she approaches the buffet table, Adina sees some familiar faces ... the finance clerks from city hall. Smiling, they motion her to join them at their table. The clerks are anxious to relate their experiences since returning from the training.

*"We were skeptical about the notion of value added customer service as you described it in the workshop. I know you noticed that. Even after the workshop, we were uncomfortable with the new, customer-focused behaviours you had us practice in the small groups. But, it didn't take long to get over that. After a few attempts to smile more and show genuine interest in our customer's concerns, we began to see the change. Our expressions of courtesy and good will were being reciprocated with sincere friendliness by our customers. Within a few weeks we began to hear reports from the director and others that several customers had called and even written with compliments about the new attitude at city hall. Thanks, Adina, for not giving up on us".*

Adina was gratified by this response from the trainees. A few days later she had further reason to be pleased when a note arrived from the director reporting on the many complementary letters being received by city hall customers. He

went on to say the policy on late payments was being revised and that he had asked the formerly “ill-mannered” clerks to make some suggestions for remodeling the verandah to make it “more customer friendly”.

### ***Making the link***

The most direct link between training and its impact on programme and service delivery in human settlements is when the training is in response to a performance discrepancy being experienced at the *customer* level. If the public organization and its leaders are service and customer oriented (responsive to community and citizen needs), then the link may be very easy to make. Unfortunately, many public institutions are not very responsive to their *clients* needs and concerns. When this is the situation, linking training with potential impact at that level probably will not be a very high priority.

If the public service environment is not very *public* and not very *service* oriented, we would like to suggest that this is the most challenging of performance discrepancies. It is also one that can be addressed effectively through training interventions. The challenge for the trainer is to find a client that is *driven* by the desire to turn the organization around to reflect the concepts and ideals of *public service*.

Sounds good in theory, you say, but how does it work in practice? Here’s an example.

### ***Training: An alternative to force***

Rachel, a young police academy trainer, came to an advanced training of trainers program, sponsored by UNCHS (Habitat), with information about a problem that is pervasive in urban settings in her country: the rapidly deteriorating relationship between the police and street vendors. There had been acts of violence against the vendors by the police and some women vendors had been forced to provide personal favors for law enforcement officers. Local governments and the community were divided about what to do about this complex social, economic and environmental situation. Rachel’s own urban community hosted a number of international conferences a year and the street vendors, “hawkers”, were considered to be both an embarrassment and a public nuisance.

As a police officer, and trainer, Rachel decided to do something about this problem, using training as a strategy to improve the performance of her colleagues in their relations with the street vendors. Many of her co-workers were not happy about their *performance* as police officers in this difficult situation, but they were at a loss to know what to do about it.

The situation was made worse by local laws that were ambiguous and difficult to enforce. And, the pressure from the public and councillors was making the use of force about the only option left, or so it seemed.

Rachel organized workshops involving policy makers, street vendors and police officers. These dialogues resulted in the participant’s gaining a better understanding and appreciation of the complexity of the problem. This heightened awareness led to the development of action plans that were implemented by those involved in the controversy.

Rachel’s experience is an example of how training can be used to improve public service directly. The formulation of action plans is one level of impact. Action plans are tangible and important indicators of impact. However, actions planned during training are often ignored back on the job. Which means, of course, that the expected impact on organizational performance is never realized. When workshops involve *action planning* exercises, the proof of performance impact is not in the planning but in the implementation of plans. Evaluating the impact of training requires on the job assessment of action plans to assure their implementation.

An example of successful action plan implementation was experienced recently by one of the authors several months after a planning workshop in Romania. An action plan, since implemented by one of the workshop participants, is shown in a slightly altered and abbreviated form as *Appendix 2*. Note the detail contained in this particular action plan. As you can see, it has provided the trainers and their clients with a useful tool for assessing the organizational impact of the training.

### ***Considerations in undertaking community-based TIE***

Conducting community-based training impact evaluations can be important to both the client and the training institution, and enormously satisfying to all concerned. But we want to emphasize that such evaluations may be no more difficult than those associated with determining the impact of training on organizational performance discrepancies which have less direct consequences on public service.

Before moving ahead with TIE, it may be helpful to spend a few moments looking at some decision making criteria. The most important criteria are: (1) importance, (2) feasibility and (3) commitment.

1. **Importance:** How important is it to determine the impact of training on the resolution of a performance discrepancy that is associated with the delivery of community based services? Keep in mind that we are talking about *training impact* and not the importance of resolving the performance problem. The impact on citizens of a performance discrepancy might be very important to determine, and training may play an important role in that determination. But, it may not be at all important to determine the impact of training on solving the performance problem. Before undertaking TIE, the trainer and the client must decide whether or not such an evaluation is *important*, and *why*?

*[A local government training program in central Europe was under attack by the funding agency, largely because the key decision maker was kept uninformed about the success of the program by the program advisor on her staff. An external evaluation confirmed the program's impact on elected officials' ability to govern more effectively, resulting in a funding increase.]*

2. **Feasibility:** Even if the training impact evaluation is *important* it may not be *feasible*. For example, it may be too time consuming, too expensive, or too complicated, given all the other variables that may be influencing the resolution of the community-based performance discrepancy.

*[One of the authors was involved many years ago in training efforts to ease racial tensions in an inner urban neighborhood. The issue was so complex, (involving social, economic, environmental and ethnic degradation) that it would have been near impossible to determine the impact of any one intervention. Furthermore, the training was organized quickly as one of many efforts to deal with the situation. While an impact evaluation could have been important to determine the results achieved, it was determined not to be feasible given the range of variables involved.]*

3. **Commitment:** You may have determined that the impact evaluation is *important* and *feasible*. But, the director of the institute providing the training and the manager of the work unit benefiting from the training may have indicated little *commitment* to using the results of the impact evaluation. Given this situation, what do you do? Difficult decision, isn't it? In this case, our advise would be to forget the impact evaluation, unless you can be successful in convincing either, or both individuals, of its *importance and feasibility*.

*[An externally funded training program is about to be terminated by the funding agency for reasons that have nothing to do with the results of the program. No other agency is interested in continuing support, including the operating organization. In this case, it makes no sense to conduct an impact evaluation.]*

- If it is *not important* (to conduct a training impact evaluation), why do it?
- If it is *not feasible* (1) because of lack of resources or (2) because the results might not be reliable or verifiable given the complexity of the situation, then it probably makes little sense to pursue the evaluation.
- If there is *little or no commitment* to use the results of the impact evaluation (either to improve future training interventions, or to manage the work setting and its programs and services more efficiently and effectively), then why spend the time, energy and other resources required to plan and implement it.

Sounds a bit harsh, perhaps, but TIE can tie-up scarce resources and fail if these criteria are not applied before getting underway.

### ***Tools to use in evaluating training impact on program and service delivery***

The tools to use to conduct a training impact evaluation at the community level of service or programme delivery are no different than those you would use to determine impact on the trainee's work performance in the organization. In fact, there may be no difference in the impact to be evaluated. A case in point is where the trainee is working directly with citizens, such as the situation related earlier about the clerks who were processing monthly housing payments.

There are three sources of performance discrepancy that trainers and managers should consider when identifying training needs and deciding whether to conduct an impact evaluation at the community level.

1. Formal complaints registered by citizens (if there is such a system in operation).
2. Community elections if they are part of the governing process.
3. Direct evidence based on observations from different perspectives.

While all three are subjective indicators of public service performance, none should be dismissed out-of-hand as not relevant or reliable.

Figure 18 (see next page) is a “report card” used by a customer-conscious local government to monitor citizen satisfaction with services received from its counter clerks and other public contact employees. Information obtained from citizens completing these cards might serve a number of training purposes. It could reveal evidence of a discrepancy in performance, suggesting a training need. If so, the information might indicate what should be included in the training to close the performance gap. Finally, the information, if gathered before and after the training, could be used to measure changes in performance, an important indicator of training’s success in closing the performance gap.

If the TIE process begins by clearly identifying the performance discrepancy and the role training can perform in resolving the discrepancy, the evaluator will want to establish benchmarks of existing performance so changes in performance can be measured, or observed, and documented with reasonable accuracy. This might involve: (1) pre/post training data collection to determine any change in performance attributable to the training; (2) the use of time series to measure the lasting value of training impact; or (3) the employment of a control group to measure differences in performance between a training group and a group that hasn’t received the training. In each evaluative design being considered, it is important to determine if its use is feasible, given available resources, and whether it will produce reliable and usable results. Figure 19 is a comparison of these three evaluation designs according to their relative advantages and disadvantages for TIE.

<b>Figure 18</b>					
<b>Report Card on Citizen Service Satisfaction</b>					
CITY OF _____, DEPARTMENT OF PLANNING AND DEVELOPMENT					
SERVICE ASSISTANCE REPORT CARD					
Dear Valued Customer:					
In order to help us continue to improve, please evaluate the service assistance we provided you (supplying requested information, complaint follow-up, referral to another department, etc). Please indicate your level of agreement with each of the six statements below in the box opposite the statement.					
<b><i>We appreciate your help.</i></b>					
	<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Neutral</i>	<i>Agree</i>	<i>Strongly Agree</i>
1. The information was readily available.					
2. The information was helpful to me.					
3. The information was understandable.					
4. Staff assistance was prompt.					
5. Staff assistance was courteous.					
6. Overall, I was satisfied with the service.					
7. The area of assistance I found most helpful was:					
_____					
_____					
8. To better meet my needs, the assistance could be improved by:					
_____					
_____					
9. All your comments will be <i>confidential</i> . However, if you would like to be contacted about your comments, you may provide us with your name, address and telephone number.					
_____					
_____					

The tools for collecting data and information on performance discrepancies are:

1. Direct inquiries with key stakeholders, whether through interviews or written questionnaires (like the report card presented earlier in this chapter);
2. Review of written documents (the range of such documents can be extensive), and
3. On-site observations.

**Figure 19. Comparison of Impact Evaluation Designs**

<b>Design</b>	<b>Advantages</b>	<b>Disadvantages</b>
<i>Pre/post training data collection</i> (collection of data before and after training from those being trained or others affected by the training)	<ul style="list-style-type: none"> <li>- Fast and inexpensive</li> <li>- Provides pre-training data</li> </ul>	<ul style="list-style-type: none"> <li>- Does not account for other variables that could be the cause of change</li> <li>- No random selection to ensure generalizability</li> </ul>
<i>Time series</i> (collection of data at intervals after the training from those being trained or others affected by the training)	<ul style="list-style-type: none"> <li>- Provides pre-training data</li> <li>- Shows the long-range impact of training</li> <li>- Allow trainees to be their own control group</li> </ul>	<ul style="list-style-type: none"> <li>- No random selection to generalizability</li> <li>- Vulnerable to changes in the organization</li> </ul>
<i>Control group</i> (similar group to the one being trained)	<ul style="list-style-type: none"> <li>- Isolates extraneous variables</li> <li>- Random selection to ensure generalizability</li> </ul>	<ul style="list-style-type: none"> <li>- Unavailability of a control group or random selection</li> </ul>

Figure 20 compares common data collection tools and sources according to their respective advantages and disadvantages for TIE.

The best advice we can give the TIE practitioner at this point is this: *Be creative in determining and understanding the nature of the performance discrepancy and establishing benchmarks of existing performance so the impact of the training intervention can be verified with accuracy and assurance.*

**Figure 20. Tools for Collecting Impact Evaluation Data**

<b>Tools</b>	<b>Advantages</b>	<b>Disadvantages</b>
<i>Questionnaires</i> (series of written questions answered by a trainee or someone affected by the training)	<ul style="list-style-type: none"> <li>- Opportunity to respond without fear or embarrassment</li> <li>- Low Cost</li> <li>- Large sample can reach many people in a short time</li> </ul>	<ul style="list-style-type: none"> <li>- Inflexible – discourages follow-up questions</li> <li>- Low response rate</li> </ul>
<i>Interviews</i> (series of oral questions answered by a trainee or someone affected by the training)	<ul style="list-style-type: none"> <li>- Personal contact</li> <li>- Flexible - permits follow-up questions</li> </ul>	<ul style="list-style-type: none"> <li>- High potential for reactive effect</li> <li>- High cost; time consuming</li> <li>- Small sample</li> </ul>
<i>Observation</i> (organized surveillance and appraisal of the behaviour of others)	<ul style="list-style-type: none"> <li>- Eyewitness account</li> <li>- Low potential for reactive effect</li> </ul>	<ul style="list-style-type: none"> <li>- Human error and bias</li> <li>- Difficult to check sources of information for conclusions</li> </ul>
<i>Document Review</i> (papers that constitute the official record of agency administration)	<ul style="list-style-type: none"> <li>- Honest. Originally not written for evaluative purposes</li> <li>- Low Cost</li> <li>- Low potential for reactive effect</li> </ul>	<ul style="list-style-type: none"> <li>- Accuracy difficult to determine</li> <li>- Incomplete due to haphazard record keeping system</li> </ul>

## **Summary**

Has the training had an impact on the quality and availability of community services? Here are some of the key points covered in this chapter.

- The ultimate test of training impact is whether the services of local governments and other public service organizations have improved as a result of the training investment.
- Determining the link between training and its impact on the quality of human settlement programmes and services is not nearly as remote as it often seems. Many of those individuals who get involved in training are programme and service deliverers. The two examples cited earlier demonstrate the directness and feasibility of making such connections.
- Constraints to evaluating training impact in human settlements can be assessed by determining: (1) how important and feasible such evaluations are; and, (2) whether or not there is commitment to use the results to improve future training events or to further enhance the performance of the individual or organization receiving the training.
- Tools to evaluate training’s impact on public programmes and services are the same as those used to determine the impact of training on individual and organizational performance.

**Author's Note.** At the end of this chapter we provide our final examples of *performance indicators*. In this case, the value of indicators is to establish outcomes in the community that can be linked back to a training experience and the application of learning from the experience to the work practices of the organization. As mentioned previously, these indicators can help you think about how to measure the success of your performance, the performance of those who are trained, and the performance of the training participant's organization.

<b><i>Performance Indicators: Evaluating training's impact beyond the organization</i></b>
1. Fewer complaints about lack of government responsiveness as a result of customer service training.
2. Implementation of service delivery improvements based on ideas and skills gained through training.
3. Application of new skills in counseling citizens about public programs and benefits which cuts previous time lags in half.

## **CHAPTER 7 MANAGING THE TIE PROCESS**

Much of what we can say about *managing the TIE process* is linked to the process of planning and implementing training impact evaluations generally. In other words, the competencies required to manage the TIE process are no different than the competencies required to plan and implement TIE or, for that matter, to manage any other aspect of the training function. In fact, we use the term "competency" to mean *the knowledge and skill required to perform any assigned task successfully*.

For example, management competency involves the ability to: develop problem solving relationships; identify problems and opportunities; gather and analyze data and information; determine objectives (desired outcomes); assess available options; plan a course of action; mobilize the necessary resources; implement the plan(s); and monitor and evaluate the results. The competent trainer also must be able to accomplish all these tasks. And, so does the training impact evaluator.

Although we have discussed each of these points in some detail in previous chapters, we will address them from a slightly different perspective in this final chapter. Managing the TIE process may or may not be the responsibility of the TIE evaluator, although it is difficult to see how the evaluator can be excluded from this responsibility totally. For example, there may be some one in charge of managing training evaluations, either in the training institution or in the operating agency consuming the training. In these situations, the manager in charge might work with more than one training impact evaluator. In either case, the TIE process will need to be managed. In this final chapter, we will focus on such factors as:

- Planning and organizing for TIE implementation
- Determining, or not determining, the rate of return on the TIE investment
- Communicating with and reporting to whom, for what reason(s)
- Staffing for TIE involvement
- Evaluating the success of the TIE process (which is different from assessing the impact of training)
- Staffing for TIE involvement, and
- Mobilizing the necessary resources to implement training impact evaluations.

### ***Planning and organizing for TIE***

The first step in the planning process, whether we are developing a new training programme or gearing up to evaluate the impact of training, is to determine the need for action. Is there a performance gap in the training cycle that can be closed, or minimized, as a result of evaluating the impact of the training? TIE, when *managed* successfully, has the potential for answering a variety of questions about training performance. For example:

1. Has the need for training been identified effectively?
2. Do the training objectives accurately reflect the needs to be addressed?
3. Will the training design accomplish the expected results?
4. Has the trainer considered ways to enhance the impact of training on individual and organizational performance?

These questions concern the content of the training impact evaluation and not the management of the evaluation process directly. There is a set of equally relevant inquiries that need to be pursued in the planning of TIE management.

1. Has the need for the impact evaluation been fully established?
2. What are the results to be achieved as a result of TIE?
3. Who will benefit from the TIE investment?
4. What resources will be needed to implement the evaluation?

Based on these and other enquiries, does it make sense to undertake the effort?

Planning is *decision making*. This fact is ignored, or perhaps not fully understood, by those who both write about management, and engage in its practice. If the *plan* for implementing a training impact evaluation (TIE) is pursued rigorously, it will lead ultimately to an answer about whether the evaluation should, in fact, be implemented. The analogy of a pilot *planning a flight* is apropos. Her planning will seek to answer many of the same kinds of questions one seeks to answer in planning an evaluation, or any other resource-dependent task with multiple variables.

The final decision is whether one does, in fact, undertake the journey, given the accumulation of evidence gathered in the planning process. In fact, the decision to undertake TIE is, at the very least, two decisions. The first decision is to *consider* undertaking TIE. The second decision, whether or not to actually undertake the evaluation, is dependent on a planning process that provides answers to a series of questions like those listed above. Let's look at some of these questions in more depth.

### **Return on Investment (ROI)**

One of the first considerations is whether the benefits to be achieved from a training impact evaluation will be worth the costs incurred in carrying it out. And costs are more than just monetary. They can also be political, psychological, the consumption of time, and others. ROI, or rate of return, is another way to express the costs and benefits involved in any transaction that includes inputs, throughputs and outputs. The basic math for computing ROI on training investments is straightforward even if the process of applying the math is not. You add up all the costs of planning and implementing the training (simple so far) and then determine the value of the benefits that have been achieved as a result of the training. The benefits will need to be expressed in the same currency used to determine costs, if the comparison is to be meaningful and convincing (which is not so simple).

$$\text{ROI} = \frac{\text{net programme savings or benefits}}{\text{programme costs}}$$

Sometimes the benefits derived from training are tangible and measurable in terms of rate of return on the investment. For example, safety training can be credited with cutting back injuries by 50 percent over the first 12 months following the training intervention, resulting in a cost saving of "x" amount in lost time, medical bills and insurance premiums. Such benefits can be calculated in monetary terms which makes for a convincing argument to continue the training. At other times, the rate of return on the training investment is less tangible, sometimes impossible to calculate with accuracy (e.g., the investment return on training finance clerks to be more *customer/service oriented* in their interactions with the public). *Figure 21* lists some of the benefits that might result from an organization's investment in training, some tangible and some intangible.

Even more difficult is the calculation of the benefits to be derived from conducting a training impact evaluation. The costs are relatively easy to determine (professional and support time, materials, administrative overhead, etc.). But the return on this investment in monetary terms probably is not possible. This doesn't mean we should abandon all pretense of being financially accountable. On the contrary, the projected costs of conducting the training impact evaluation should be determined as accurately as possible. The benefits to be realized also should be identified, recognizing they will rarely be measurable in monetary terms.

At this point, the two benefiting organizations (the provider of training and the training recipient/client) must decide whether the benefits to be realized are worth the investment. If the decision is "yes", then there will be the issue of cost sharing to resolve.

In an article entitled *Simplifying ROI*, James Hassett makes two points that are helpful in considering this aspect of managing the TIE process. First, Hassett says that "many interrelated factors affect profit and loss; training is just one". By itself, training is almost never the determining factor. Secondly, Hassett continues, "the most important analysis of training's return on investment occurs before a training program is offered, not after it is over".<sup>(10)</sup>



While Hassett is discussing the return on training investments, the points are even more valid in terms of ROI and TIE. The decision to engage in training impact evaluation, using ROI calculations, will be impossible to make since the return must be based on the use of evaluation information to either improve future training (from the provider's perspective) or future performance by the client. The decision to engage in TIE, therefore, is a managerial responsibility based on the importance of having a more reliable information base from which to make future decisions.

**Figure 21. Benefits from Training Investment**

<b>Tangible Benefits (can be translated easily into revenue gains or cost reduction)</b>	<b>Intangible Benefits (difficult to measure in fiscal or other concrete terms)</b>
<p><i>Fewer or lower:</i></p> <ul style="list-style-type: none"> <li>Absenteeism</li> <li>Accidents</li> <li>Equipment breakdowns</li> <li>Material waste</li> <li>Operating costs</li> <li>Overtime</li> <li>Tardiness</li> <li>Turnover</li> </ul>	<p><i>Fewer or lower:</i></p> <ul style="list-style-type: none"> <li>Customer complaints</li> <li>Delays in completing work</li> <li>Employee mistakes</li> <li>Grievances filed</li> <li>Personal conflicts</li> <li>Policy violations</li> <li>Work-related accidents</li> </ul>
<p><i>More or improved:</i></p> <ul style="list-style-type: none"> <li>Attendance</li> <li>Cost reduction</li> <li>Goal attainment</li> <li>Productivity</li> <li>Return on invested capital</li> <li>Revenue collection</li> <li>Units of service/hour</li> </ul>	<p><i>More or improved:</i></p> <ul style="list-style-type: none"> <li>Communication among units</li> <li>Customer satisfaction</li> <li>Employee morale</li> <li>Employee suggestions</li> <li>Methods of work</li> <li>Readiness to experiment</li> <li>Service quality</li> </ul>

***The importance of communicating TIE results***

Communication is essential to the TIE process. At a minimum, efforts to evaluate training impact should involve on-going communication with the client who is hosting the evaluation, and to the director of the training institution providing the training. Communication is different from reporting. Reporting is largely one-way, and it suggests some kind of formal responsibility on the part of the evaluator. While this function is important and leaves a paper trail for those who are not directly involved in the evaluation, it doesn't provide for the kind of iterative feedback among the key stakeholders that is critical to behavioural change by the key stakeholders.

The communication process begins early in the TIE process as trainer(s), clients and evaluator work together to determine training needs based on performance discrepancies. There should be general agreement on the focus of the training (based on demonstrated needs) and results to be achieved through the training intervention (the impact of the training on job and organizational performance). There should also be consensus on the strategy for impact evaluation and the individuals who need to be consulted during the evaluation.

Communication in an interactive process like TIE is designed to achieve several objectives. The most obvious objective is to develop a sound and reliable data and information base from which conclusions can be drawn regarding the impact of the training investment. Equally important is the opportunity to raise awareness among key stakeholders about the role of training as a management strategy and process of planned change.

When the TIE evaluator sits down to discuss the training impact evaluation with the trainee's supervisor, or senior managers in the client organization, there should be heightened awareness about a range of management issues. This initial dialogue should probe the nature of the performance discrepancy(ies) to be addressed through training and explore the development needs of individual employees who will be involved in the training. These discussions are opportunities for the client to perceive the organization and its strengths and weaknesses from a different perspective.

Communicating with the client about the impact of training on performance may also have what is known as *the Hawthorne Effect*, identified during the 1930s in some well-known studies of motivation in factory settings. <sup>(11)</sup> The

*Hawthorne Effect* suggests that attention given to the training may increase the motivation of those involved in the training to ensure that the objectives of the investment are realized. Expectations that training will have an impact on specific performance discrepancies in the workplace should improve the chances of it happening. It also puts the trainers on notice that expectations about the results to be achieved through the training investment involve more than the individuals who are scheduled to receive the training.

When TIE is viewed from the broader perspective of managing changes within organizations (in addition to assessing the impact of specific training investments on individual and organization performance), it enhances the potential for a greater rate of return on the investment. This expanded view of training impact evaluation will, no doubt, muddy the waters of objective research but improve the chances for significant impact resulting from the training.

Whatever the intentions of the TIE process might be, communicating and reporting remain important management functions and responsibilities. Here are just a few of the benefits to be derived from deliberate and assertive communications. For the training institution it is an opportunity to:

- demonstrate accountability
- highlight successes for marketing purposes (and use failures to improve the quality of product development and delivery), and
- gain support generally from the client community.

For the training client, the documentation and communication of training's impact will:

- improve opportunities for securing future training investments
- assist in making better training decisions, and
- educate key stakeholders about the importance of training and the impact it can have on individual and organization performance.

### ***Evaluating the success of TIE***

The last statement is designed to challenge the fundamental rationale for evaluating training's impact in the work setting, and human settlements. At one end of the TIE spectrum is concern for determining, as accurately as possible, the impact training is having on the performance of those who have been trained, and why. This approach is designed to provide specific feedback to: (1) the training provider on how to improve the quality and impact of training services; and, (2) the client/user on how to manage the training investment more efficiently and effectively.

At the other end of the continuum are those who perceive the training impact evaluation as one way to increase the impact of the training being evaluated. This approach has an immediate timetable for using the evaluation to bring about change, both in the quality and achievements of the specific training intervention, and the unintended consequences generated by increasing awareness and understanding beyond those individuals targeted for the training.

How one evaluates the success of the TIE depends on the assumptions one makes about the results to be achieved from the evaluation and the evaluative framework used to obtain the intended results. The more objective and clearly defined the evaluation strategy is, the greater the opportunity to establish a causal relationship between the training and the results it generates in job performance. The results from these types of evaluations tend to be delayed in their application until the final reports are presented.

The *planned change* approach to TIE is designed to generate a broader and more immediate array of possible impacts (consequences) based on increased awareness and understanding of the importance of evaluating training's impact on performance. This doesn't eliminate the final reporting obligations associated with the evaluation process, but it does make them less important as statements designed to influence decisions about future actions.

These issues obviously have an influence on how the training impact evaluation process is *managed*. If the intent is biased toward determining, as accurately as possible, the relationship between the training and its impact on job performance, then the evaluation will need to be *managed* accordingly. If those involved in the TIE process are more interested in generating additional impact from the training by "putting the spotlight on it", then the way the intervention is *managed* will be different.

### ***Mobilizing resources***

One could argue that training impact evaluation should be a normal cost of operating a training institution or programme and, therefore, be part of the operating budget. On the other hand, we don't want to be accused of being *out of touch with the real world*. Most training institutions do not have enough financial resources to allocate funds for impact evaluations. And yet, their inability to document the tangible results to be achieved through training investments has a negative impact on their ability to market training services.

Given this circular quagmire of reasoning, the training institution and the training client (who also benefits from evaluating the impact of training investments) must collaborate to determine ways to garner the resources necessary to undertake these kinds of evaluations. Here are some possible options.

**Financing Option 1.** Many training programmes are sponsored by international agencies of one kind or another. Most would be delighted to have an impact evaluation conducted on their training investment. You may have to explain to them what TIE is all about but it is a small price to pay for getting the resources you will need to implement the evaluation.

**Financing Option 2.** The training institution providing the training and the training client share the costs. We have discussed, previously, the benefits that can accrue to both parties from an impact evaluation so there are reasons for sharing these costs. With this option it will be important to document, to the extent possible, the benefits, in monetary terms, that are accruing to each party.

**Financing Option 3.** This option involves bartering of services with like-minded institutions. For example, there might be a training institution located nearer to the client that would be interested in getting involved. They could assist in collecting information and data on the training's impact in exchange for a similar service or something comparable in terms of expendable resources.

The potential for mobilizing the resources necessary for planning and implementing a training impact evaluation will depend, in large measure, on your ability to be creative in exploring alternative strategies. We are convinced that results from TIE efforts will ultimately demonstrate their importance to the training cycle of events and make future funding of such ventures less problematic. But convincing those who control the resources required to implement TIE may not be so easy.

### **Summary**

Managing the TIE process mirrors, in many ways, the tasks involved in the training process. Here are the key points covered in this chapter.

- TIE is preceded by a needs assessment (to substantiate the investment in TIE) and continues by identifying the results to be achieved by evaluating training's impact and developing a strategy for supporting and implementing the process.
- It is important, whenever possible, to determine the return on the investment (ROI) required to implement the training impact evaluation, but no one should be deluded into thinking this will be easy.
- The importance of communicating the events associated with the impact evaluation should not be under-estimated. Not only will it help build credibility and support for the training institution, it can also have a positive impact on the intended training results. This unintended consequence is sometimes referred to as the *Hawthorne Effect*.
- The resources for implementing a training impact evaluation will depend, in large part, on your ability to pursue unconventional sources of support and developing collaborative strategies based on mutual interests.

### **References**

- <sup>10</sup> Hassett, James, "Simplifying ROI", *Training*, September, 1992, p. 53.
- <sup>11</sup> Roethlisberger, F.J. and Dickson, William J., *Management and the Worker* (Cambridge, Mass.: Harvard University Press, 1950).

## **APPENDICES**

### **APPENDIX 1: SAMPLE LEARNING IMPROVEMENT PLAN**

#### *Area of Improvement*

What tasks or functions am I doing now that I want to do differently or better based on what I have learned in training? (Describe tasks or functions)

*Goal*

What specific changes in performing these tasks or functions do I have in mind? By when do I plan to accomplish this? (Describe with date)

*Success Indicators*

How will I know whether or not and how well I have succeeded in achieving this goal? (Explain)

*Resources*

What assistance (from whom) and resources (time, money, equipment) do I need to implement my improvement plan? (Specify)

*Barriers*

What obstacles or barriers do I expect to encounter (from inside me or from external sources) in implementing my improvement plan? (Explain)

*Action Plan*

What specific steps must I take to avoid or deal with each of these obstacles or barriers? (Specify)

*Outcome*

What contributions will I make to my job, the organization, or human settlements by achievement of my learning improvement plan? (Describe)

*Commitment*

By signing this contract, we agree to make a commitment of time and money to carry out this learning implementation plan. We agree to meet every \_\_\_\_\_ months to review progress and make changes as needed.

Signatures:

\_\_\_\_\_

Employee

\_\_\_\_\_

Supervisor

Today's Date \_\_\_\_\_

## APPENDIX 2: SAMPLE ACTION PLAN

Name: *Andrei Luncan*  
Organization: *Oradea Municipality*  
Country: *Romania*  
Date: \_\_\_\_\_

### OVERALL INTERVENTION STRATEGY

*Upon returning home I plan to discuss with the appropriate individuals and institutions the following strategy for improving the quality and availability of local government training opportunities within the sphere of my institution's influence:*

**1. Statement of overall strategy**

- A. *Implement, in my own department, methods used to conduct this course.*
- B. *Continue work on the three problems which I presented at the start of the course: (1) maintenance of flats; (2) market problem; and (3) public relations in the city hall.*
- C. *Continue work on an urban planning and housing strategy which could have a profound, long-term impact on future planning in Romania.*

**2. Identify the results expected to be achieved through strategy implementation**

- A. *More efficient teamwork*
- B. *Involve my department's employees in resolution of the three problems*
- C. *Develop and run a training course specifically for people involved in urban planning and management*

**3. List the stakeholders who need to be involved if the strategies are to be implemented successfully**

- A. *Mayor; manager of urban planning department*
- B. *All those who are interested in these subjects and officials of the responsible city hall departments*
- C. *The Ministry of Public Works and regional planning offices; architects who have participated in this course*

**4. Identify the stakeholder (individual or organization) who will take the lead responsibility to ensure that the strategy is implemented**

- A. *Chief of the Urban Planning Department - me*
- B. *Three coordinating groups organized from appropriate departments at the city hall*
- C. *Perhaps the Ministry of Public Works, regional planning and/or the association of mayors*

5. **Propose a timetable for implementation**

- |    |  |
|----|--|
| A. | <i>Immediately on return to work</i>   |
| B. | <i>January/February (3-4 months)</i>   |
| C. | <i>By end of next year (14 months)</i> |

6. **List the resources needed to carry out the strategy**

- |    |  |
|----|--|
| A. | <i>People who want to learn new methods of work</i>  |
| B. | <i>People to take part in problem-solving sessions</i>   |
| C. | <i>Sources of financing (sponsors); people for the training team; people who want to take part in the training programme</i> |

7. **List some initial tasks that need to be undertaken if the strategy is to be implemented successfully**

- |    |   |
|----|---|
| A. | <i>Explain methods of work; involve people in brainstorming sessions (problem solving); question people about what they like/do not like about their work</i>   |
| B. | <i>Train the key stakeholders to improve their ability to resolve the three problems; offer them alternatives to consider; facilitate their use of problem solving methods</i>  |
| C. | <i>Send a proposal to various key city halls asking for their interest in pursuing the proposed course of action; collect responses and review them; send a summary of the responses to the Ministries of Regional Planning and Public Finance with a request for financial/planning assistance; send invitations to participate (eventually) to former communist-block countries; locate a venue for the training course; identify sponsors; organize the training team.</i> |

**Postscript**

Most of the actions described in this plan were implemented in one way or another. For example, the official who wrote this action plan, Andrei, working with other course participants, organized and implemented an eight-day workshop for planning officials from local governments, design institutes, and the national government in Romania.

## PART II THE CRITICAL INCIDENTS

### INCIDENT NO. 1

***Training trainers and training local officials in elected leadership***

In August 1995, the Foundation for Local Development and Public Service, Bucharest, Romania, in collaboration with the Institute for Local Government and Public Services (affiliated with the Open Society Institute, Budapest Hungary) and the United Nations Centre for Human Settlements (Habitat), conducted a training programme with two interrelated goals.

1. To prepare 12 trainers from five Central European countries with knowledge and skills in the design and conduct of experiential leadership skill workshops for elected officials.
2. To provide 20 local elected officials from Romanian municipalities with training in elected leadership skills based on the UNCHS (Habitat) Elected Leadership Training Series (thus providing the trainers with an audience of elected officials).

The TIE effort tracks the impact of the 12 trainers who attended the workshop, using a time series approach to the evaluation. Both evaluations looked at three specific objectives of the training of trainers (TOT) component.

1. Improve knowledge and skills in organizing, designing and conducting experiential learning activities for elected officials), based on the UNCHS (Habitat) Series.

2. Develop and implement country action plans for training local and appointed officials, using the Habitat materials.
3. Develop a regional network of trainers for future cooperation in initiating and conducting common projects.

All twelve participants were asked to complete written questionnaires at nine month intervals after attending the training of trainers workshops. Eight of the twelve responded to the first enquiry and 10 to the second. Of the five countries represented in the TOT programme, only two had conducted training programmes based on the UNCHS materials. Those countries, Romania and Poland, had at that time conducted a total of 18 workshops. In post programme evaluations of these workshops, the trainers were given high marks for their skills in both planning and conducting *them* (objective #1). None of the mean average scores on 11 specific aspects of their demonstrated knowledge and skills was below 4.2 on a five point scale. For those trainers who actually applied their knowledge and skills to train elected officials when they returned to their respective countries, the impact of the first objective stated above was validated.

On *objective two* (developing and implementing action plans), only two countries were successful, Romania and Poland, in carrying out the plans developed at the initial TOT workshop. The two trainers from Poland, for example, implemented 90% of the proposed programmes identified in their action plans within an eighteen month period following the TOT. Their efforts included a training of trainers programme patterned after the workshop they attended in Romania. The Polish TOT was attended by 10 trainers from four of the regional local government training centers. The Romanian participants completed 88% of the actions they had included in plans developed at the conclusion of the TOT workshop.

In neither of these cases did the evaluator, the Foundation for Local Development and Public Service, extend its evaluation efforts beyond the impact on the participants in the initial TOT. In other words, the foundation did not probe the training's impact on local government officials involved in training conducted by the TOT participants in their respective countries. In fairness to the foundation, this was not a part of the mandate it was given to evaluate the initial training effort's impact.

Lack of implementation success on the part of participants from the other three countries is indicative of what often happens when training participants return home from training. Even though each country developed an action plan at the completion of the original TOT, the country teams experienced a number of constraints in putting their new knowledge and skills into practice upon return. For example: (1) lack of funding to conduct elected leadership training; (2) elections; (3) no support from their organizations to follow through on the training; (4) lack of training materials in their local language; and, (5) no demand for the training (i.e., elected officials not interested in the training). More importantly, the trainers were recruited without explicit support from their work organizations to put their new learning into effect upon returning home. In two situations, those selected for the training were either too inexperienced to use the training effectively upon returning home or from the wrong institutions to assure results from their training as trainers.

On *objective three*, to build a regional network of trainers, there have been positive actions taken. These include: (1) a regional meeting of trainers and other interested people (16 trainers from eight countries in the region and eight representatives of public service organizations) who reached agreement on a written declaration in support of a regional programme for capacity building in local self governance; and, (2) participation of Romanian trainers in three different programmes in Poland and Slovakia.

Was there demonstrated impact from the training of trainers programme held in Romania in August 1995? In the cases of Romania and Poland, the results indicate success. The participant's knowledge and skills were utilized and with measurable success. As trainers, their participants gave them high marks on the training they delivered. They also carried out a high percentage of the actions their country teams planned before leaving the TOT workshop. Finally, several actions have taken place to begin the development of a regional network of trainers.

What we don't know is the extent of training impact (by the original participants from Romania and Poland) on local government officials they have trained. In other words, are the local governments in their respective countries more effective as a result of the training they received based on the initial TOT? These are tough questions not frequently asked by trainers and training evaluation. One reason such questions are not frequently asked is funding. Most training programmes are so ill-supported that the cost of a meaningful impact evaluation is prohibitive.

But, one could argue that the inability to carry out impact evaluation is in itself one reason why training doesn't get more support. As a case in point, we will share with you a success story from Slovakia where financial support for a local government training initiative more than doubled, based in large measure on two impact evaluations. The first evaluation was conducted to justify shutting down the programme by the funding agency, and the second to justify funding a major regional effort (by a non-governmental public service institution) to build training capacity, based in

part on the success of the same programme. It was a case of key individuals outside Slovakia, who were not directly involved in the programme, having more information about the impact of the programme than the agency that was funding it within the country.

*[The incident just described is more fully explained in an extensive TIE report prepared by Ms. Ana Vasilache, Executive Director, Foundation for Local Development and Public Service, Bucharest, Romania.]*

## INCIDENT NO. 2

### ***Impact of training on local government officials in Slovakia***

The Local Self Government Assistance Center (LSGAC) in Bratislava, Slovakia was created and funded by the United States Agency for International Development (USAID) to help local governments in Slovakia become more effective, responsive and accountable to their citizens. Part of the LSGAC programme was to provide training opportunities for local elected and appointed officials and to build a local capacity to sustain training after outside funding was no longer available. While the programme included training efforts in all major role and responsibility areas of local government, this case study will focus on only one, the elected leadership training programme. LSGAC and its affiliated institutions used UNCHS (Habitat) training materials to develop this programme. Let's look at the elected leadership training programme from the perspective of impact evaluation.

The initiation of the elected leadership programme in Slovakia was based largely on felt need and the availability of the UNCHS (Habitat) skill training series for elected officials. Although no formal training needs assessment was conducted to assure the need for such training existed, two important steps were taken by the LSGAC staff. First, the staff consulted, and then entered into a working alliance with the Foundation for Training in Self Government and its ten regional training centers. The not-for-profit foundation and RTCs were created by local governments to meet their training needs and, consequently, were knowledgeable about their client's requirements. Secondly, the LSGAC staff and foundation director met with over one hundred local elected officials to discuss the need for leadership training.

Since local self-government was a relatively new concept in Slovakia, and an experiential approach to training local government officials and officers largely unknown, the foundation and LSGAC staff were dealing with two imponderable situations.

1. The trainers who had been trained by the British Know How Fund in experiential training design and delivery skills and were available to provide the initial training were largely unfamiliar with local governments.
2. Very few local government officials and officers had ever experienced a learning-by-doing training process.

If the elected leadership training programme was to be successful (have an impact on local government performance) and be sustainable through local resources, there would have to be more trainers trained to use the UNCHS (Habitat) materials. In addition, there would need to be a willing clientele to invest in the training and to use the knowledge and skills gained through the training.

The initial training programme (conducted only after a Slovak language version of the Habitat materials was translated and printed) was billed as a Training of Trainers (TOT). The title was a bit of a misnomer, since it was a five and one half day skills workshop based on the elected leadership series. However, it was designed to introduce the twelve trainers to the materials and a new client group, local elected officials. The trainers represented the newly established Slovak Association for Management Training and Development (AMTD). The TOT also was designed to identify future trainers for the programme, and each participant had been recruited with this possibility in mind.

### ***Reaction and learning impact***

The TOT was a bit of a four-ring circus with four workshops being conducted simultaneously at the same venue involving three AMTD trainers and thirteen local elected officials in each of the four workshops. From the TIE perspective, the organizers were looking for favorable *reaction* to the training and *individual learning* on the part of trainers and participants. Both were critical to any proposed follow-up steps. The end-of-workshop evaluations were favourable, both in terms of trainee *reaction* to the training (important when considering the type of training was new to most of the participants). Moreover, the content of the training was well received with indications that individual learning had been achieved by most participants.

The training impact was immediate. Forty of the participants said they wanted to be trainers in the programme. Of the forty, 26 completed an apprentice trainer programme that involved, on the average, about four weeks of workshop skill training and another three weeks of work as an apprentice trainer under the tutelage of a lead trainer. Of the 12 AMTD trainers used in the initial TOT, all continued as trainers when the programme was launched nationwide.



Workshop organizers were not satisfied that there would be demand for the training among those local officials who were not involved in the initial TOT. To *generate* demand, the foundation, with assistance from LSGAC, organized and conducted 14 one-day “marketing” workshops. These workshops described the 11 workshop series in some depth and provided a demonstration of what participants might expect from an experiential training design. A majority of those attending the marketing workshops signed up for the entire series (14 days of training in 2.5 and 1.5 day workshops). While no claim could be made for individual learning in these one-day sessions, it was clear that the reaction was positive to the training content and approach. In all, more than 1300 elected and appointed officials participated in the first year of elected leadership training and 177 persons completed the entire 11 workshop series.

### ***Job and community impact***

As mentioned earlier, two independent evaluations were conducted of the programme within nine months of its initial launch. One evaluation was undertaken by the funding agency to determine if funding should be continued; the other was done by a regional, non-profit public service and philanthropic institution. Both indicated there had been significant impact on the job performance of individual participants as well as impact on the local governments they served. Here are a few of the self-reports from those interviewed by the evaluating organization that suggest training’s impact on job and community performance.

*“My secretary told me I am more open.”*

*“My colleagues tell me I listen to what they have to say”.*

*“My wife told me I had changed after the training; it is much easier to live with me now”.*

*“I became more confident of myself.”*

*“I am better able to deal with angry citizens”.*

But these individual impact statements don’t tell the whole story. As the evaluation pointed out, *“participants in the training were able to reach consensus and introduce a new form of communication which leads to problem solving acceptable to all parties involved”*. Participants gave specific examples of success they attribute to the training.

- Reaching agreement to increase the capacity of the sewerage system.
- Solving controversial community issues – *“We had a long standing dispute between farmers and villagers concerning the movement of cows over public roads. After meeting of police, owners of the cows, agricultural cooperative representatives and others, we found a solution that was acceptable to all parties”*.
- Improved local negotiating skills (in one case saving over \$US 31,000 for the community).
- Adjudicating property rights.
- Enlargement of a public cemetery.
- Increasing the budget to make an investment in the sewer system.
- Facilitating better public meetings.
- Making organizational changes that were acceptable to all concerned.

In several cases, participants from different local governments were able to solve inter-jurisdictional problems as a result of being in the same training workshops.

- Officials from a city 50 kilometers away from a village (where the city dwellers went for leisure activities) decided to contribute to the development of village facilities. The decision was a result of the two mayors being in the same set of workshops.
- Mayors from four villages, attending a workshop on decision making skills, found a way to resolve a long-standing problem to improve a road that connected them to the regional center.
- Another mayor convinced elected officials in his region to attend the training. As a result, the attending officials were able to use their new skills to cooperate on the development of a new basic school to serve the region.

The impact of training on individual skill development and community improvements was validated in two ways. First, the funding agency, that only a few months earlier had threatened to close the programme down, ultimately doubled the Programme's funding. Second, and equally important, several hundred officials from all over Slovakia came to a celebration of the programme's first year of achievement. The impact of the programme had been realized at the levels of individual reaction and learning, job improvement and human settlements capacity building. And much of the success could be traced back to learner demand (although initially latent), clear learning objectives and competent training designs and delivery. TIE was instrumental in documenting the value of the training investment to the donor agency and reassuring the foundation and RTCs that the programme was both needed and wanted by their constituents, local government elected-officials. They are confident now that the training can become self-sustaining after donor agency contributions are no longer available.

## **PART III WORKSHOP**

### **PURPOSE**

It is common among human settlements to rely on training to produce wanted changes in job performance. This is confirmed by the investments made by human settlements organizations in training for their employees throughout the world. On the other hand, evidence is often lacking about the actual impact of training on job performance. While training may be having the desired effect in some cases, in others it may not. The only way evaluation of training's impact on those whose performance is to be changed and impact of these changes in performance on human settlements organizations and their clients.

This workshop is intended to sharpen the skills of experienced trainers, training managers and other interested human settlements officials in the actual conduct of a training impact evaluation (TIE). Workshop participants will be asked to use a case situation provided by the instructor to develop objectives, data collection procedures and performance measures for training impact on the:

- reaction of participants to a learning experience
- acquisition by participants of new knowledge and skill
- development of improved work capacity in the training delivery institution, and
- delivery of services to the public.

### **DESIGN OPTIONS**

Several options come to mind for use of the TIE workshop materials.

1. One possibility is to invite participants to attend a two-day workshop that uses the case study and follows the design described below.
2. A second possibility is for the trainer and the training client to substitute another case situation that is concerned with an even more relevant local or regional problem.
3. A third possibility is to use an on-going training programme as a laboratory to give workshop participants a chance to serve as TIE consultants to the team responsible for designing and conducting the programme. This possibility would give participants the opportunity to apply the TIE methodology in a live training situation. It would, of course, require the concurrence and agreement of a training institution that is open to experimentation with the TIE methodology in conjunction with one of its training programmes.
4. A fourth possibility would be to combine the two-day workshop with the laboratory event. Ideally, this could be done in conjunction with a one or two day training programme. This would make it necessary to extend the TIE training to five days, providing participants with both classroom and field experience with TIE.

### **WORKSHOP CONTENTS**

A case study concerned with the use of training to introduce new technologies for house building in an urbanizing village is the foundation for this workshop. The case unfolds, step-by-step, to give participants a chance to apply what

they are learning about training impact evaluation (TIE) following the model introduced earlier in the TIE manual. In other words, participants are asked to don their evaluator hats and to agree on what they would do to construct a workable plan for training impact evaluation at each stage of the TIE process. Discussion questions and worksheets are provided for participants. Notes and outlines for concept presentations are provided for trainers serving as workshop facilitators.

In general, each component of the TIE training begins with a concept presentation prepared by the workshop facilitator based on relevant material from the TIE manual. We call this “just in time” presentation inasmuch as it exposes participants to small amounts of relevant concept material and then engages them in applying it to the case situation before moving on to new material. Strongly emphasized is the repetition of key ideas and the active involvement of participants with the material being presented. Participants continue by reading the next segment of the case and discussing TIE design implications with each other and the facilitator. Finally, participants, often working in small groups, complete evaluation design worksheets including objectives, data collection methods, and performance criteria before moving on to the next learning component of TIE.

## **CASE STUDY: BUILDING BETTER HOUSES**

The regional director of a Non-Governmental Organization (NGO) has just learned that nearly 100 houses are to be built on a large tract of land in a nearby village. Construction is to begin in January and it is now mid-August. In recent years, this village, and others in the same area, have experienced frequent housing problems with foundation failures and rapid deterioration of bricks used for outer wall construction. A new process for laying foundations and making bricks came to the NGO director’s attention recently from a write up in a report from UNCHS (Habitat). According to the Habitat report, the process has been used in another part of the world with great success. Apparently, use of the new technique has resulted in a substantial reduction in foundation failures and lowered the deterioration of bricks used in wall construction in several housing projects in areas similar in climate and topography to the local village.

After some enquiries, the NGO director finds out that a nearby technical training centre has several staff members who have been trained in these advanced construction methods. Following several rounds of correspondence, the NGO director has reached an agreement with the training centre to train six of the NGO’s community development officers in the new methods. The training is to be completed by mid-September. Meanwhile, the NGO director is making contact with village leaders to offer the services of the trained community development officers to instruct interested villagers in the new techniques and to furnish all of the tools, molds and construction materials needed for the training.

Another term of the agreement is that the training centre will engage a team of evaluators to assess the impact of the training. In addition to wanting to know (1) how satisfied the community development officers were with the training, the evaluation was to produce evidence, (2) that relevant learning had taken place, (3) that new capacity had been built in the NGO as a direct result of the training and (4) that proper use of the new methods of foundation laying and brick making were used to build the new houses.

## **ICEBREAKER: INSTANT ASSESSMENT**

**Time required:** 20 minutes

### **Purpose**

A simple, non-threatening way to acquaint participants with one another and to encourage them to share experiences, expectations and concerns.

### **Process**

Create a set of color-coded “responder” cards for each participant. The cards should contain the letters A, B, C and D respectively. After each participant has received the four card set, write a multiple choice question on a flip chart.

Why am I attending this workshop?

- A My supervisor directed me to be here.
- B I want to learn all I can about human settlements training.
- C My work requires me to be an effective training evaluator.
- D This is a good way to spend some time away from my job.

After a minute or two, repeat the question and ask all participants to respond by holding up and waving the card of their choice. Quickly assess the response. Invite participants to share the reasons for their choices on a volunteer basis. Follow this with an additional question:

*What influence do you feel your choices could have on your performance at this workshop?*

## **PRESENTATION: GETTING READY FOR TIE**

**Time required:** 30 minutes

### **Purpose**

This presentation is to help workshop participants understand the role of TIE in the training process and who should be involved in conducting a successful TIE.

### **Content**

Prepare the presentation based on information from Chapter 2 of this manual. Concentrate on the interrelated aims of training and TIE and who should be included on the TIE team. Emphasize the three critical questions that should always be answered affirmatively before moving ahead with TIE. Outlined information on note cards may help you cover the information systematically and stay on schedule. Ask questions from time to time during the presentation as a check on participant comprehension and to hold their attention. Augment the presentation with visual aids including pre-printed chart pad sheets or overhead transparencies as a further aid to comprehension.

## **EXERCISE: WHO TO INCLUDE ON A TIE TEAM**

**Time required:** 60 minutes

### **Purpose**

Be able to identify the essential individuals or organizations to participate in the TIE.

### **Process**

Using the case study situation (or another situation) divide participants into small groups of five to seven. Ask each group to prepare a “map” showing the names of individuals or organizations in a position to influence the outcome of the TIE or who could make contributions as members of the TIE team. Ask each small group to draw its map on a chart pad following the example on the next page.

After about 15 minutes of map making, ask small groups to reconvene and ask each small group to present its map drawing. From information contained in the various maps, prepare a “master map” on a chart pad. When the master map is complete, ask participants to answer three questions about the master map results.

1. Which three individuals or organizations on the master map do you believe should receive highest priority for inclusion in the TIE?
2. Why do you believe these three are the most important to be included?
3. What might be done to get these important individuals or organizations involved in TIE?

## **PRESENTATION: EVALUATING THE TRAINING EVENT**

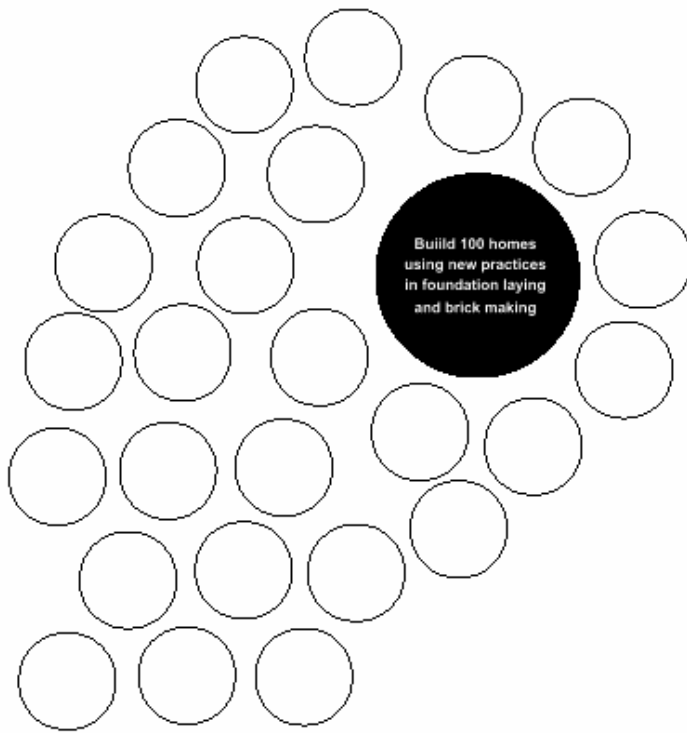
**Time required:** 30 minutes

### **Purpose**

The presentation is to provide TIE participants with the ability to assess the reaction of trainees to a training experience.

### **Content**

Prepare the presentation based on information from Chapter 3 of this manual. Describe the three fundamental components of any training experience. Emphasize the role of TIE in helping members of the training team to assess their learning designs and the conditions under which training participants can be expected to learn from these designs. Give participants examples of instruments used to obtain before, during and after reactions from participants to a learning experience.



**ILLUSTRATIVE MAP OF PROSPECTIVE  
TIE TEAM MEMBERS**

Outlined information on note cards may help you cover the information systematically and stay on schedule. Ask questions from time to time during the presentation as a check on participant comprehension and to hold their attention. Augment the presentation with visual aids including pre-printed chart pad sheets or overhead transparencies as a further aid to comprehension.

## **EXERCISE: HOW GOOD IS THIS TRAINING?**

**Time required:** 30 minutes

### **Purpose**

Help participants assist a training team to incorporate participant assessment opportunities at the start, during and at the end of a training event.

### **Process**

Ask participants to reread the *Building Better Houses* case study. After they have completed the reading, ask participants to assume they will be meeting later in the day with the team assigned to conduct the training described in the case study. Assume further that the TIE team is responsible for designing three types of participant assessment:

- an assessment at the start of the training to identify participant expectations as learners
- an assessment or assessments during the training to discover how participant expectations are being met, and
- an assessment at the end of the training to determine how well participant expectations have been met and what participants plan to do with what they have learned.

Group participants in three teams of about equal size. Ask one of the teams to develop a simple process (including a questionnaire or other format) for identifying participant expectations at the start of the training. Suggest they consider a variation on the icebreaker exercise used to introduce this workshop as one possibility.

Ask a second team to develop a brief exercise that might be used at the end of a series of related exercises or at the close of the day to give participants and trainers a “feel” for participant reactions and the reasons for these reactions.

Point out that mid-course assessments can be valuable to the training team in altering the training content and making necessary adjustments to the training process or the training support system while the programme is still in progress.

Finally, ask a third team to outline a reaction sheet for use at the end of the training that includes questions about content, process and logistics (trainers, facilities, handouts, visual aids, etc.) and questions that explore participant intent to apply what they have learned to improve their work performance.

Give each team approximately 45 minutes to complete its task. Bring the three teams back together and ask them to report and critique one another. The worksheet on the next page may be used by small group participants to record their reactions to reports from the other groups.

## **WORKSHEET**

### **Instructions**

Use the space below to record your critique of reports from the other two groups and to record their comments about your group's report.

**My critique of team suggestions for conducting a pre-training assessment of participant expectations**

**My critique of team suggestions for an exercise to assess participant reactions while the training is in progress**

**My critique of team suggestions for a participant post-training reaction sheet**

## **PRESENTATION: EVALUATING LEARNING IMPACT**

**Time required:** 30 minutes

### **Purpose**

The presentation is to provide TIE participants with an understanding of how to assess the extent to which the content of a training programme has had an impact on the new knowledge and skills (learning) of trainees.

### **Content**

Prepare the presentation based on information from Chapter 4 of this manual. Early in the presentation, distinguish between *learning* (what they know and can do) and *behaviour change* (what they actually do with what they know and can do). It is important during the presentation to emphasize the role of TIE in a consulting role to the training team rather than merely an evaluative one. In this regard, be sure that participants understand that their consultation with the training team takes place before and in preparation for the programme. Go on to describe the importance of assuring that training objectives are written for all critical learning areas and that they are clearly stated and performance based. Review some common methods for evaluating training's impact on learning.

Outlined information on note cards may help you cover the information systematically and stay on schedule. Ask questions from time to time during the presentation as a check on participant comprehension and to hold their attention. Augment the presentation with visual aids including pre-printed chart pad sheets or overhead transparencies as a further aid to comprehension.

## EXERCISE: WRITING LEARNING OBJECTIVES AND PERFORMANCE INDICATORS

**Time required:** 120 minutes

### **Purpose**

Help participants gain experience in assisting a training team to write training objectives and performance indicators.

### **Process**

Describe the exercise as an opportunity to practice being a TIE consultant to the training team responsible for the design and conduct of the training in the *Building Better Houses* case study. Divide the participants into groups of approximately five members each. Explain that each group consists of three training team members and two members of the TIE team. The TIE team has been invited to meet with the training team to discuss how to incorporate TIE into the training process. The focus of the meeting is on writing several learning objectives for the workshop program and performance indicators for each learning objective.

Assign each of the small groups to separate work areas. Suggest that members of the small groups re-read the case study and that the three training team members in each group meet independently to develop a design for the training. While members of the training team are discussing design ideas, suggest that the two TIE members in each group review the worksheet on the next page and plan a strategy for using the worksheet to record ideas for workshop objectives and performance indicators.

After about 30 minutes, ask the training team and TIE members of each small group to meet together to use the training team's design ideas and the worksheet to develop a set of learning objectives and related performance indicators. Remind TIE members in each small group that their role is to act as consultants to the training team in developing the objectives and indicators. Ask each small group to record its results on a sheet of newsprint for reporting.

Reconvene the overall training group after another 45 minutes and ask for reports.

## **WORKSHEET**

### **Instructions**

One of your tasks as a TIE consultant to the team developing a training programme is to ensure that the training design is based on specific, measurable learning objectives and that performance indicators are written to describe what those being trained are expected to be able to do as a result of the training. In collaboration with members of the training team, write several training objectives and related performance indicators using the following worksheet as a guide. Complete this assignment and be prepared to report your results when asked to do so by the instructor.

**Step 1.** Use the space below to write two to three objectives for training based on the *Building Better Houses* case study. An objective is a specific statement that describes the results to be attained, when, and by whom in order for a training result to be attained. For example: *By January 1, 19xx, 90 percent of the clerks in the administrative office will demonstrate typing competence.*

Write your objective here:

Write your objective here:

Write your objective here:

**Step 2.** Define appropriate “will do what” statements for each objective. For example: If the intended result of a training objective is for a clerk to demonstrate typing competence, then a performance indicator might be: *type a selected passage from a report at the rate of 90 words a minute with no errors.*

Write your performance indicator here:

Write your performance indicator here:

Write your performance indicator here:

## **EXERCISE: MEASURING THE IMPACT OF LEARNING**

**Time required:** 60 minutes

### **Purpose**

Give participants experience in working together on creative designs for measuring the impact of training on participant learning.

### **Process**

Describe the exercise as an opportunity to practice developing creative ways to measure the impact of training used in the *Building Better Houses* case study on training programme participants. Group participants into teams of about five members each, preferably groupings of participants who have not worked together on the same team previously during the workshop. Assign each team the task of developing a method which trainers in the case could use to measure the degree to which participants have achieved the training objectives. In other words, each team is to develop a method that measures the capacity of participants to perform at the level described in the performance indicators prepared during the previous exercise. Give each team about 30 minutes to complete the task and report back to report its results. Ask for reports on newsprint.

After 30 minutes, reconvene the teams and ask for reports. Review the various methods and discuss the merits of each for use in measuring learning (the capacity to perform) of prospective trainees in the *Building Better Houses* case study.

## **EXERCISE: MID-TRAINING SELF-ASSESSMENT**

**Time required:** 15 minutes

### **Purposes**

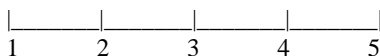
1. Provide an opportunity for participants to express their reactions to the training and reflect on the meaning of their responses.
2. Provide an opportunity for trainers to assemble participant data useful in assessing training progress and making corrections if necessary.

### **Process**

On a sheet of newsprint draw the following simple scale. Explain that the scale is part of a “ventilation” exercise and that participants, on a scale of one to five, with five being high, are to rate their satisfaction with the training so far.



## SCALE



## LOW HIGH

Ask for participant scores by a show of hands, beginning with the lowest ratings and moving right to the highest. Record the number of participants responding to each number on the scale by placing check marks above the number. Ask participants to reflect on their experiences with the training so far and how these experiences may have influenced their scores.

While participants are thinking, calculate a mean score for the training group and write it on the newsprint. Ask a few participants with low scores to explain how their scores reflect their reactions to the training. Do the same thing for participants with high scores. Be careful to ask for volunteers to avoid discomfort for participants who may be unwilling to discuss their ratings.

## PRESENTATION: EVALUATING ORGANIZATIONAL IMPACT

**Time required:** 30 minutes

### Purpose

The presentation is to provide TIE participants with an understanding of how to assess the impact of a training event on a human settlements organization that has sent its people to be trained.

### Content

Prepare the presentation based on information from Chapter 5 of this manual. Emphasize that behaviour change takes place when the commitment of the learner and the support of the organization combine to create conditions necessary for the incorporation of new knowledge and skills (learning) into the work routines of the organization. Again, focus on the TIE role as consultant to the training team in the development of assessment tools that can help improve the potential for transfer of learning from the training to the workplace. Emphasize the use of pre-training learning contracts and post-training job application exercises.

Outlined information on note cards may help you cover the information systematically and stay on schedule. Ask questions from time to time during the presentation as a check on participant comprehension and to hold their attention. Augment the presentation with visual aids including pre-printed chart pad sheets or overhead transparencies as a further aid to comprehension.

## ROLE-PLAY: SUPERVISORY RESISTANCE TO THE APPLICATION OF LEARNING

**Time required:** 60 minutes

### Purpose

Enable participants to anticipate and deal effectively with workplace resistance to the application of learning.

### Process

Tell participants they will be engaging in a role play exercise. Divide the participants into groups of three. In each group explain that one role is for a trainer assigned to evaluate the training in the *Building Better Houses* case study. A second role is for a manager of the training section of the NGO who has serious reservations about the value of TIE. A third role is for an observer of the interaction of the two parties in the role play exercise. Point out to participants that the action takes place after the training is over and the trainer who has attended the training is back on the job.

Give participants about five minutes to re-read the case and their respective role descriptions. When participants have finished reading, ask them to separate into their groups of three to carry out their role plays.

At the end of 15 minutes, ask the small groups to come back together. Ask for the trainer players in each group to comment on the resistance they encountered, how it made them feel and what they did about it. Then ask for comments from the NGO managers in each group on the effect of the interaction with the trainer on their resistance and what was said or done that either increased or decreased it. Finally, ask for reports from observers on the realism of the interaction and implications for overcoming institutional resistance to TIE.

Conclude the exercise by asking participants to discuss the implications of this exercise for the way TIE is introduced in human settlements organizations unfamiliar with the potential benefits of TIE for helping to achieve better results from training.

## **ROLE FOR TRAINER ASSIGNED TO CONDUCT A TIE**

You have been assigned by your training institution to design a TIE for a workshop to train six of the NGO's community development officers in advanced methods for laying foundations and making bricks. You have been told that the scope of the evaluation is to determine if trainees have learned how to use the new methods and if they can teach what they have learned to interested villagers. Further, you are to determine whether or not a new capacity now exists in the NGO to train others in these methods should this be necessary in the future. Finally, you are to provide a means for determining if the capability of the NGO staff to train others has resulted in the use of the new construction methods by villagers in the construction of the 100 new houses.

Although additional time and some financial investment will be necessary for TIE, the results, in your opinion, far outweigh the cost. After all, what is the use of investing in training if you can't be sure that you are getting the results you want from the investment. It is your hope that the NGO's training section manager has the same commitment to evaluation that you have. Without his/her support, your task will be far more difficult.

## **ROLE FOR NGO TRAINING SECTION MANAGER**

You are responsible for managing training functions of the NGO. As a cost centre, your section is responsible for getting the most training possible for the least cost. While you have been told to support an evaluation of the project to train NGO staff in foundation laying and brick making, you are skeptical about any real benefit from the evaluation. The evaluators with whom you have experience are mostly academic types who are interested primarily in rigorous, statistically-oriented assessment methods. They are preoccupied with testing and reporting. Rarely do they have anything practical to offer that could improve your training section's performance.

You were disappointed, therefore, to learn that so intensive an evaluation was being planned for the "bricks and mortar Project", as you call it. Your aim is to go along with the idea in principal but "stonewall" anything that is going to require any significant increase in training time.

### ***OBSERVER'S WORKSHEET***

Your task during the role play is to observe the interaction between the two role players (see role statements) and to be prepared to answer the following questions about what you have observed.

1. Who began the discussion and in what way?
2. How would you describe the attitude toward TIE expressed by the NGO representative?
3. In what way and how effectively did the TIE proponent react to these expressions by the NGO representative?
4. To what extent was the resistance to TIE at the start of the meeting reduced by the meeting's end?

5. What might have been the affect had this discussion taken place before the trainer left to attend the training?

## PRESENTATION: EVALUATING TRAINING'S IMPACT ON HUMAN SETTLEMENTS

**Time required:** 30 minutes

### **Purpose**

The presentation is to provide TIE participants with an understanding of how to determine the extent to which a training event has influenced an improvement in the delivery of a human settlement organization's services.

### **Content**

Prepare the presentation based on information from Chapter 6 of this manual. Emphasize the *customer driven* nature of human settlements organizations and the value of TIE in scrutinizing the impact of training on customer betterment and satisfaction. Define a "benchmark" as it relates to a desired response from customers or clients as the result of training. Some examples you might consider are:

- Fewer complaints about government responsiveness
- Introduction of new, environmentally sound technologies
- More convenient access to affordable public amenities
- Uplift in speed, reliability and quality of public service delivery

Clarify the vital link between training and service delivery. Discuss the three criteria of (1) importance, (2) feasibility, and (3) commitment as essential for making a decision to move ahead with TIE. Describe some of the tools that can be used to assess the impact of TIE on the ultimate customer of a human settlements organization.

Outlined information on note cards may help you cover the information systematically and stay on schedule. Ask questions from time to time during the presentation as a check on participant comprehension and to hold their attention. Augment the presentation with visual aids including pre-printed chart pad sheets or overhead transparencies as a further aid to comprehension.

## EXERCISE: EVALUATING TIE'S IMPACT ON THE ULTIMATE CONSUMER

**Time required:** 60 minutes

### **Purpose**

Help participants make the link between the learning that takes place in training and the extent to which this learning translates into performance that benefits the community.

### **Process**

Explain the exercise as a two-step process in assessing the impact of training on the delivery of a service of the human settlements organization. Describe the first step as the development of criteria related to the training that can be used as benchmarks of wanted performance or satisfaction with services provided. Define a "benchmark" as *the best known example of organizational performance or service delivery that can be found as a basis for comparison*. Describe the second step as the development of a data collection tool appropriate for measuring the degree to which a level of performance equal to the benchmark has been achieved as a result of the training.

Divide the participants, once again, into small groups of approximately five to seven participants each. Based on the *Building Better Houses* case study, ask participants to develop two or three benchmarks of desired performance by villagers who are expected to produce foundations and bricks that conform to the new standards (*see worksheet on the next page*).

For the second task, ask participants in their same small groups to develop a workable method (survey, interviews, direct observation, document review) for collecting the data needed to verify or refute the belief that villagers who have been trained in the new methods have the knowledge and skill to perform up to the necessary standards (*see worksheet on the next page*).

Give the small groups approximately one hour to complete the two tasks. After one hour, ask the groups to reconvene. Ask for a report from each of the groups. Lead a discussion of what participants have learned from this exercise about the impact of training on human settlements.

Write your first benchmark here:

Write your second benchmark here:

Write your third benchmark here:

Describe your data collection method and tool in the space:

## EXERCISE: APPLICATIONS PLANNING THROUGH PEER CONSULTATION

**Time required:** 60 minutes

### **Purpose**

Help participants help each other to transfer learning experiences with TIE from the workshop into their future roles as training evaluators and consultants.

### **Process**

Tell participants that they will be working as peer consultants to one another for a few minutes to work through a specific back home challenge relative to the implementation of TIE. Typical challenges might include:

- self-doubts about performing effectively as a TIE consultant
- lack of organizational support for TIE, or
- unrealistic organizational expectations for the contributions of TIE.

Have participants pair up and use the knowledge and skills they have attained during the training to help one another with their specific challenges. Caution participants that they have 45 minutes and that care should be taken to allow an equal amount of time to discuss each person's challenge. Suggest that participants reserve five minutes at the conclusion of their discussions to record their individual action plans for dealing with their TIE implementation challenges (*see the application planning worksheet on the next page*).

At the conclusion of the 45 minute planning session, have participants rejoin the large group. Ask for volunteers to present their application plans to the entire group. Arrange further consultation and support for TIE participants who need additional help with their challenges.

## **LEARNING APPLICATION WORKSHEET**

My principal challenge in implementing TIE is:

Some strategies I have identified for meeting this challenge are:

1.

2.

3.

After returning home, the first thing I intend to do to implement TIE in my organization is:

***If you can learn it, you can do it***

## **PART IV REFERENCES**

For those who wish to do additional reading, the following is a list of relevant and available UNCHS (Habitat) training publications on local leadership, governance and urban management capacity-building.

### **1. LOCAL GOVERNANCE MANUALS**

Title: ***Training for Elected Leadership Series - set of 13 volumes***

Doc. No.: ISBN: 92-1-121242-6, from HS/324/94E to HS/336/94E.

Details: 1995; E; F; R; S; \$30.

Summary: This series of 13 handbooks on elected leadership training covers eleven different roles performed by the local elected councillor. The package includes a trainer's guide and overview document in addition to the 11 workbooks. Each handbook contains a self-study essay describing the role and enough training designs to provide the trainer with options to address specific needs and circumstances. The user-friendly training package, which can also be used as a practical on-the-job guide, is a primer that addresses the behavioral roles of elected officials.

Publication details:

- *Trainer's Guide for Training of Elected Officials*; 74pp.
- *Perspectives on Training Elected Leaders: Handbook 1*; 38pp.
- *The Councillor as Policy-maker: Handbook 2*; 42pp.
- *The Councillor as Decision Maker: Handbook 3*; 50pp.
- *The Councillor as Communicator: Handbook 4*; 42pp.

- *The Councillor as Facilitator*: Handbook 5; 54pp.
- *The Councillor as Enabler*: Handbook 6; 42pp.
- *The Councillor as Negotiator*: Handbook 7; 46pp.
- *The Councillor as Financier*: Handbook 8; 54pp.
- *The Councillor as Overseer*: Handbook 9; 38pp.
- *The Councillor as Power Broker*: Handbook 10; 42pp.
- *The Councillor as Institution Builder*: Handbook 11; 50pp.
- *The Councillor as Leader*: Handbook 12; 34pp.

Title: ***The Councillor as Guardian of the Environment***  
 Doc. No.: ISBN: 92-807-1513-5, HS - 44497E  
 Details: 1997; 190 pp; E; \$15  
 Summary: This handbook is an extension of the *Training for Elected Leadership* series. It reflects a continuation of style and design ideas, but focuses on a particular thematic role confronting local councillors - providing leadership in the resolution of conflicts between economic and physical development, and the natural environment. The handbook offers a consistent set of strategies for sustainable development: gaining awareness and creating visions; partners and coalitions; assessing risks; determining options and consequences; mobilizing resources; and achieving and sustaining results. The handbook consists of an essay and a series of workshop components, including a wide variety of case studies.

## 2. MANAGEMENT AND TRAINING NEEDS ASSESSMENT MANUALS

Title: ***Manual for Collaborative Organizational Assessment in Human Settlements Organizations: A Manual for Assessing the Effectiveness of Human Settlements Institutions***  
 Doc. No.: ISBN: 92-1-131 171-3; HS/248/92E.  
 Details: 1992; 172pp; E; \$12.  
 Summary: This manual is designed specifically for analysing the effectiveness and the efficiency of day-to-day performance in agencies and authorities responsible for providing public goods and services. Describes a process that is collaborative in design.

Title: ***A Guide to National Training Needs Assessment for Human Settlements: A Competency-Based Approach***  
 Doc. No.: ISBN: 92-1-131 194-2; HS/267/91E.  
 Details: 1992; 112pp; E; \$12  
 Summary: This publication is intended for use by operating agencies as an aid in making training decisions and by training institutions as a guide for upgrading their training programmes.

Title: ***Manual for Training Needs Assessment in Human Settlements Organizations: A Systematic Approach to Assessing Training Needs***  
 Doc. No.: ISBN: 92-1-131038-5; HS/114/87E.  
 Details: 1992; 146pp; A; E; S; \$12  
 Summary: This publication is intended for use by managers of operating agencies as an aid in making training decisions and by training institutions as a guide for upgrading their training programmes.

## 3. TRAINING METHODS AND TECHNIQUES

Title: ***Guide for Designing Effective Human Settlements Training Programmes***  
 Doc. No.: ISBN: 92-1-131 183-7; HS/256/91E.  
 Details: 1992; 160pp; E; \$12.  
 Summary: Intended to help close the training information gap, this publication was tested during training courses conducted for UNCHS (Habitat) by one of the authors. Written around in-house training, it stresses experiential learning. Includes a blueprint, case study, and tool kit.

Title: ***Designing Human Settlements Training in African Countries. Vol.1: Case Study***  
 Doc. No.: ISBN: 92-1-131258-2; HS/315/94E.  
 Details: 1995; 132pp; E; \$12.  
 Summary: Volume one of this practical on-the-job guide for trainers in the form of a "how to do it" case study of a capacity-building institute departing from the traditional mode of offering a standardized training programme and moving to customized demand-based and client-centred problem-solving management and leadership training and institutional development in a hypothetical African country.

Title: ***Designing Human Settlements Training in African Countries. Vol. 2: Training Tools***  
Doc. No.: ISBN: 92-1-131260-2; HS/316/94E.  
Details: 1995; 174pp; E; \$12.  
Summary: This volume contains a set of tools that will help trainers in building successful training and organizational development programmes. The tools are arranged so that the trainer will know which one works best for what task. Tools are cross-referenced with the case study in Vol. 1.

Title: ***Designing Human Settlements Training in Asian Countries. Vol. 1: Case Study***  
Doc. No.: ISBN: 92-1-131266-3; HS/344/95E.  
Details: 1995; 132pp; E; \$12.  
Summary: Volume one of this practical on-the-job guide for trainers in the form of a “how to do it” case study of a capacity-building institute departing from the traditional mode of offering a standardized training programme and moving to customized demand-based and client-centred problem-solving management and leadership training and institutional development in a hypothetical Asian country.

Title: ***Designing Human Settlements Training in African Countries. Vol. 1: Case Study***  
Doc. No.: ISBN: 92-1-131258-2; HS/315/94E.  
Details: 1995; 132pp; E; \$12.  
Summary: Volume one of this practical on-the-job guide for trainers in the form of a “how to do it” case study of a capacity-building institute departing from the traditional mode of offering a standardized training programme and moving to customized demand-based and client-centred problem-solving management and leadership training and institutional development in a hypothetical African country.

Title: ***Designing Human Settlements Training in African Countries. Vol. 2: Training Tools***  
Doc. No.: ISBN: 92-1-131260-2; HS/316/94E.  
Details: 1995; 174pp; E; \$12.  
Summary: This volume contains a set of tools that will help trainers in building successful training and organizational development programmes. The tools are arranged so that the trainer will know which one works best for what task. Tools are cross-referenced with the case study in Vol. 1.

Title: ***Designing Human Settlements Training in Asian Countries. Vol. 1: Case Study***  
Doc. No.: ISBN: 92-1-131266-3; HS/344/95E.  
Details: 1995; 132pp; E; \$12.  
Summary: Volume one of this practical on-the-job guide for trainers in the form of a “how to do it” case study of a capacity-building institute departing from the traditional mode of offering a standardized training programme and moving to customized demand-based and client-centred problem-solving management and leadership training and institutional development in a hypothetical Asian country.

Title: ***Designing Human Settlements Training in Asian Countries. Vol. 2: Training Tools***  
Doc. No.: ISBN: 92-1-131267-1; HS/345/95E.  
Details: 1995; 174pp; E; \$12  
Summary: This volume contains a set of tools that will help trainers in building successful training and organizational development programmes. The tools are arranged so that the trainer will know which one works best for what task. Tools are cross-referenced with the case study in Vol. 1.

Title: ***Designing Human Settlements Training in European Countries. Vol. 1: Case Study***  
Doc. No.: ISBN: 92-1-131269-8; HS/346/95E.  
Details: 1995; 132pp; E; R; \$12  
Summary: Volume one of this practical on-the-job guide for trainers in the form of a “how to do it” case study of a capacity-building institute departing from the traditional mode of offering a standardized training programme and moving to customized demand-based and client-centred problem-solving management and leadership training and institutional development in a hypothetical European country.

Title: ***Designing Human Settlements Training in European Countries. Vol. 2: Training Tools***  
Doc. No.: ISBN: 92-1-121270; HS/347/95E.  
Details: 1995; 174pp; E; R; \$12.  
Summary: This volume contains a set of tools that will help trainers in building successful training and organizational development programmes. The tools are arranged so that the trainer will know which one works best for what task. Tools are cross-referenced with the case study in Vol. 1.

#### 4. **MANUALS AND CASES FOR SETTLEMENT MANAGERS AND TRAINERS**

Title: ***Guide to Managing Change for Urban Managers and Trainers***  
Doc. No.: ISBN: 92-1-131 0077-6; HS/151/89E.  
Details: 1992; 186pp; E; R; S; \$12.  
Summary: Covers a variety of training programmes directed at closing the principal skill gaps and promoting new approaches, methods and techniques in general management and organization of development needed by urban managers. Materials in this guide support the demand-driven, client-centred and action-oriented training approach.

Title: ***Total Quality Maintenance in Local Government operations and Maintenance - Set of five Volumes***

Doc. No.: ISBN 92-1-131301-5, from HS/392/96E to HS/396/96E

Details: 1996; E; \$15.

Summary: This series of training materials was developed, in collaboration with the Urban Management Programme in response to the capacity-building objectives of Agenda 21, as a skills building programme specifically to benefit public managers with operations and maintenance responsibilities. The programme consists of two workshop designs: one is classroom based; the second places participants in consultant roles applying their TQMn skills in collaboration with the managers of a host local government.

Publication details:

- *Reader on Concepts and Strategies with Case Study*. TQMn, Vol. 1; 40pp.
- *Participant's Pre-Workshop Assignment*. TQMn, Vol. 2; 16pp.
- *Blueprint for Action: Participant's Workbook*. TQMn, Vol. 3; 49pp.
- *Workshop Agenda*. TQMn, Vol. 4; 20pp.
- *Workshop Agenda with Trainer's Notes*. TQMn, Vol. 5; 28pp.