Great coaching makes a world of difference. Coaching is one of the quickest and most effective ways to advance the success of an organization. Yet it remains underused and misunderstood, and the term is often used synonymously with corrective counseling, encouragement, or the many helpful tactics in between.

In Coaching Basics you'll discover a precise coaching framework along with insights from 40 experienced coaches, including Barry Goldberg and Marshall Goldsmith. This refreshed edition also homes in on what it takes to build influencing skills and introduces new content on microcoaching to highlight practical ways to leverage technology.

Part of ATD's Training Basics series, Coaching Basics presents the theory and follows it up with easily applicable techniques, examples, and exercises that will help you perfect essential coaching skills.

Praise for This Book

"Companies often tell their leaders to 'coach' people without giving any guidance on the 'how.' Lisa Haneberg fills this important gap by offering a very useful handbook that clarifies the foundation of good coaching and offers actionable insights and tools for effective coaching."

—Tanmay Vora
Director, Product Development, R&D, Basware

"Coaching Basics brings form and structure to the art of coaching. Lisa Haneberg has taken this broad concept and made it easy to understand. This book is for anyone looking to begin a coaching program or polish their coaching skills."

—Lisa Edwards
Partner, Bloom Coaching Institute

"Whether you want to develop coaching skills or become a coach, Coaching Basics is the best place to start. In it, leadership expert Lisa Haneberg skillfully walks you through what you'll need to know to get off to a good start coaching others to achieve their potential."

—Michael Lee Stallard
Author, Connection Culture
2nd Edition

Evaluation BASICS

Donald V. McCain
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About the Training Basics Series

ATD’s Training Basics series recognizes and, in some ways, celebrates the fast-paced, ever-changing reality of organizations today. Jobs, roles, and expectations change quickly. One day you might be a network administrator or a process line manager, and the next day you might be asked to train 50 employees in basic computer skills or to instruct line workers in quality processes.

Where do you turn for help? The ATD Training Basics series is designed to be your one-stop solution. The series takes a minimalist approach to your learning curve dilemma and presents only the information you need to be successful. Each book in the series guides you through key aspects of training: giving presentations, making the transition to the role of trainer, designing and delivering training, and evaluating training. The books in the series also include some advanced skills, such as performance and basic business proficiencies.

The ATD Training Basics series is the perfect tool for training and performance professionals looking for easy-to-understand materials that will prepare nontrainers to take on a training role. In addition, this series is the consummate reference tool for any trainer’s bookshelf and a quick way to hone your existing skills.
Organizations invest millions of dollars in training programs, some purchased and some internally developed, some delivered face-to-face, and some online or through the virtual classroom. Although we *hope* that they are effective, our internal clients *demand* that they are effective. The question is: What does effective mean? Is it providing cost-effective training? Is it that the participants had a good time? Much of what we do involves an element of entertainment. Take this scenario for example: A potential client was explaining a change management training program he was providing for hourly workers. The participants loved it because the facilitator made them laugh. They had a good time. Is this a measure of effectiveness? Course participants may say yes, but your client may very well say no. Effectiveness for clients means learning, application, and impact—not just the learners’ reactions.

Another story may make the point. A company’s learning director wanted an account management course for her sales professionals. During a design meeting, the client came in and almost shouted, “I want to know how we know if the salespeople are learning anything and if they are using it!” Fortunately these aspects of evaluation were built into the course, because the learning director had just come from a meeting with the vice president of sales, who indicated that he was withdrawing all support until the training function could demonstrate that the training was making a difference. He wanted to know if the salespeople were learning anything. And, if they were learning, were they using the content?

These examples illustrate that training effectiveness includes learning, use on the job, and impact. Indeed, an evaluation plan should provide for each of these elements and implement
them to the extent that the client wants to see results. This means that the client determines the extent of the evaluation effort. This also means that the training organization should be cost-effective in its design, development, delivery, and evaluation of any training initiatives. New forms of delivery, including blended, online, and the virtual classroom, should be considered, depending on the content, client and participant preferences, and costs.

**Who Can Benefit From This Book?**

This book is written for people who want to enhance their skills in evaluating learning experiences in an organizational environment, regardless of delivery format. That group might include designers or developers of training; training or human resource professionals or managers who contract with vendor companies and want to evaluate their course offerings; subject matter experts who occasionally function in a training role or who are moving into a training role in their jobs; facilitators who want to enhance their evaluation skills; and trainers whose organizations are holding the training function accountable for both learners’ performance on the job and organizational impact. The purpose of this book is to facilitate your learning and enhance your evaluation skills. As you hone your skills, you will provide higher-quality course design, consider alternative forms of delivery, offer better learning experiences for your participants, deliver specific feedback tailored to particular audiences, and make a real and positive contribution to your organization.

**Acknowledgments**

I want to give a special thanks to Deborah Tobey of Deb Tobey LLC, who provided invaluable insights and assistance in writing this book. She is a trusted friend and a true professional who uses her expertise to further the profession. I would like to dedicate this book to my spouse, Kathy McCain, who provided support throughout this endeavor.

Don McCain
June 2016
Evaluation for You and for Your Client

What’s Inside This Chapter

This chapter provides an overview of the book, establishing the premise that evaluation is a process that starts with the learning design and continues all the way to assessing organizational impact. You’ll learn:

• how *Evaluation Basics* can support and enhance your skills as an evaluator or designer
• how to locate information in the book using the chapter-by-chapter outline
• how to use the icons as guides to special material in the book.
Evaluation for You and for Your Client

How Evaluation Basics Can Help You

Evaluation can be beneficial to you as a course designer or evaluator. Information gleaned from evaluation can be used to improve your courseware, improve facilitation skills, and position your learning experiences as value-added. Furthermore, evaluation can help you build relationships with internal and external clients, and gain support from internal clients.

The evaluation challenge is one of balance. You must do enough analysis to meet your own needs while also meeting the needs of your client. Too much evaluation is a waste of effort; not enough inhibits good decision making. This is why evaluation planning is so important. As part of the design process, you determine the initial business metric (the data you will track, such as number of sales, number of defects, or turnover rates), what evaluation level of information to gather, when to gather that information, and how it will be used.

Evaluation is about quality and making learning better. The process—which is supported by methods, tools, and instruments—starts at the beginning of the design and continues long after the learners return to their jobs. It is not something you simply do at the end of a course; it is something you do before, during, and after.

Noted

Learning experiences are planned experiences for which the acquisition of new knowledge, skills, and abilities are the intended outcomes.

What’s New in This Edition?

The second edition has expanded content in many areas. Conceptually, there is a discussion on “flipped evaluation,” which has Level 4 as the starting point, supporting the idea that training
should support business objectives and align with business operations. While the evaluation planning model is retained, there is additional content around the benefits of the plan, key questions, how training evaluations can go wrong, developing instruments for evaluating training, and tips for measuring return on investment (ROI) and other measures of impact. To support the evaluation effort, we present a peer evaluation instrument, a facilitation assessment, a work product to support transfer, and a simplified project plan.

Other unique features of this edition include several aspects of the online, blended, and virtual classroom delivery formats and the implications for evaluation. These ideas are interspersed throughout the book. Also included is a discussion on the certification of internal training programs, including links to evaluation. Because practice and application is important to learning, this edition also features many new exercises and case studies.

**How This Book Is Organized**

Your success as an evaluator depends on your ability to gather information, analyze that information, and make and implement recommendations based on your findings. You must identify what you want to know and how you will use the information; that is, you need to identify beforehand what decision you need to make. Each chapter in *Evaluation Basics* focuses on a critical aspect of developing and implementing an evaluation plan. Here’s a summary of the nine chapters in *Evaluation Basics*:

1. **“Evaluation for You and for Your Client.”** Right now you are engaged in an overview of the book, establishing the premise that evaluation is a process that starts with the learning design and continues all the way to assessing organizational impact. Also described in this chapter are the icons used in the book and how they can help you get the most out of the information presented.

2. **“An Overview of Evaluation.”** This chapter presents an understanding of evaluation, the purposes and benefits of evaluation, reasons why talent development professionals tend not to conduct evaluations, and an overview of Kirkpatrick’s four levels of evaluation.

3. **“Evaluation and the Design Process.”** In this chapter, the focus is on linking evaluation to course design. This chapter also presents criteria for determining the best way to evaluate a course and establish an evaluation plan.
4. “**Level 1: Audience Reaction.**” This chapter presents common errors and ways to improve Level 1 evaluations.

5. “**Level 2: Learning and Application During Training.**” This chapter discusses what is included in a Level 2 evaluation, various aspects of testing and assessments to measure learning and practice, and instructional strategies to support Level 2 evaluation.

6. “**Level 3: Transfer to the Job and the Environment.**” In this chapter, the business case and requirements for transfer are discussed, along with the barriers to transfer, as well as the strategies and instruments that support the transfer of new knowledge and skills to the job. Transfer, in its most basic form, is the idea that what was learned in one situation (training) is being applied in another situation (on the job).

7. “**Level 4: Impact and ROI.**” This chapter links back to the initial design phase, when the business metric was established for the evaluation. Level 4 evaluation reveals the impact (change in the business metric) training has had on the organization. Then, the chapter presents the steps to conducting an ROI evaluation and discusses ways to isolate the effects of training from other variables. Finally, it shows how to calculate ROI.

8. “**Evaluation Biases and Communicating the Results.**” This chapter begins with a discussion of the various biases that can affect the quality and reliability of your information. The issue of bias cuts across all levels of evaluation. This discussion is followed by an outline of an evaluation report. The chapter concludes with the development of a communication plan. Once the study is complete, the results need to be communicated to appropriate audiences in an acceptable format. The communication plan provides a structure to develop the message for different audiences.

9. “**A Final Thought.**” This chapter begins by revisiting the link between evaluation and design and development. This is followed by a discussion of how to demonstrate value to your client. The chapter closes by examining your readiness for conducting a more extensive evaluation of your training programs. Perhaps your organization is not in a position to undertake ROI evaluation, but is ready to take the next step in enhancing your evaluation efforts.

In addition to the chapter material, you’ll find some additional information in the back matter. Appendix A provides several evaluation instruments that can help you evaluate facilitators and courseware (regardless of delivery method). Appendix B provides the answers to the case studies found throughout the book. The additional resources section lists some supplementary reading materials related to evaluation and other aspects of talent development.
Each chapter opens with a quick access guide—What’s Inside This Chapter—to introduce you to the contents of the chapter. Use this section to identify the information it contains and, if you wish, skip ahead to the material most useful to you.

The final section of each chapter—Getting It Done—offers you a chance to practice some of the concepts discussed in the chapter and provides closing tips to help you apply what you have learned.

This book strives to make it as easy as possible for you to understand and apply its lessons. Icons throughout the book help you identify key points that can mean the difference between a coaching success or failure.

**Basic Rules**
These rules cut to the chase. They are unequivocal and important concepts for evaluators.

**Noted**
This icon is used to give you more detail or explanation about a concept or a principle. It is also occasionally used for a short but productive tangent.

**Think About This**
These are helpful tips to help you prepare for future evaluation conversations.

---

**Evaluation starts with course design. In the design phase, you must:**
- Identify the business metric—the data changes you will track.
- Identify measurable learning objectives.
- Develop and implement an evaluation plan.
- Plan ways to communicate results.

---

**Let’s Go!**
Evaluation requires some planning and diligence, but it allows you to make a difference in the quality and value of the learning experiences you provide for your clients as you enhance your credibility. Evaluation allows you to document the value that your programs provide for your organization.
This book presents some theory, but the main intent is to provide practical guidelines, methods, models, and instruments to help you become a more effective evaluator. *Evaluation Basics* will reveal the essentials of planning and implementing an evaluation plan.

So, use what works for you and your organization, and make it happen. Good luck.

---

**Noted**

Effective evaluation is the result of both effective design and effective planning. The implementation of the evaluation plan and subsequent analysis requires the support of the designer, facilitator, participants, and management. Therefore, it takes planning and influence as the evaluator interacts with several individuals—inside and outside the training or talent development function. Although the evaluation plan provides the structure for your evaluation initiative, it takes time and perseverance to complete the analysis and implement the recommendations.

---

**Getting It Done**

This chapter provides a road map to *Evaluation Basics* and outlines some ways the material in this book can help you evaluate your programs in a meaningful way. Now it’s time to think about some initial issues and practices regarding evaluation to see where you and your organization are in terms of evaluating programs. Exercise 1-1 can help you structure your thoughts around evaluation.

**Exercise 1-1. Are You Ready to Move Ahead With Evaluation?**

1. The first section of this exercise addresses your organization’s current level of evaluation and readiness to go further in its evaluation efforts. The second section deals with your current evaluation practices. Read each statement and indicate whether your current evaluation practices support the statement (yes) or not (no). You may also indicate “not sure” if you don’t have the information to make the decision.

<table>
<thead>
<tr>
<th>Organization’s Evaluation Readiness</th>
<th>Yes</th>
<th>No</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clients are asking for more evaluation data.</td>
<td></td>
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<tr>
<td>Clients and management are involved in the design and development process.</td>
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<tr>
<td></td>
<td>Yes</td>
<td>No</td>
<td>Not Sure</td>
</tr>
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<td>------------------------------------------------------------------</td>
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<tr>
<td>The organization’s culture supports training transfer.</td>
<td></td>
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<tr>
<td>Client support depends on talent development demonstrating value.</td>
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<tr>
<td>Client establishes a business metric for evaluation measurement.</td>
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<td></td>
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<tr>
<td>Client places a dollar value on the business metric.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Client supports data collection methods.</td>
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<td></td>
<td></td>
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<tr>
<td>Client and management are held accountable for use of training on the job.</td>
<td></td>
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<td></td>
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<tr>
<td>Talent development management supports more sophisticated evaluation.</td>
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<td></td>
<td></td>
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<tr>
<td>Talent development management wants to use evaluation data for program improvement.</td>
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<td></td>
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<tr>
<td>The talent development budget is shrinking.</td>
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<tr>
<td>Evaluation expertise is on staff or can be contracted.</td>
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<tr>
<td>Courseware is designed for evaluation.</td>
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<tr>
<td>There is a current initiative to improve evaluation efforts.</td>
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<tr>
<td>Moved to some online or virtual classroom deliveries.</td>
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<tr>
<td>Talent development professionals are held accountable for quality of training.</td>
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<tr>
<td>There is a willingness to change programs based on evaluation findings.</td>
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<td></td>
<td></td>
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<tr>
<td>Program participants support evaluation efforts.</td>
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**Evaluation Practices**

- Course objectives are jointly developed with the client.
- Evaluation is an integral part of the entire design and development process.
- Evaluation is incorporated into online and virtual classroom training.
- Course objectives are measurable.
- Course objectives are written for Level 2 evaluation (knowledge shift and practice application).
- Course objectives are written for Level 3 evaluation (transfer and environment).
- Course objectives are written for Level 4 evaluation (impact and ROI).
- There is a comprehensive evaluation plan for courses.
- Assessment instruments are developed for each level to be evaluated.
- Evaluation instruments align with the learning objectives.
- Instruments for Level 2 evaluation provide for knowledge assessment (pretest, post-test, in-class).
- Instruments for Level 2 evaluation provide for practice and application assessment.
- Instructional strategies support Level 3 evaluation.
# Exercise 1-1. Are You Ready to Move Ahead With Evaluation?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>Not Sure</th>
</tr>
</thead>
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<tr>
<td>Instruments for Level 3 evaluation provide for on-the-job application assessment.</td>
<td></td>
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<td></td>
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<tr>
<td>Instruments for Level 3 evaluation provide for assessment or environmental support (barriers and enablers).</td>
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<tr>
<td>Appropriate data collection methods are used for each stage of evaluation.</td>
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<tr>
<td>Evaluation results are used for program improvement.</td>
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<tr>
<td>Specific individuals are held accountable for program evaluation.</td>
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2. Based on the initial assessment of your organization's evaluation readiness, develop three specific actions to support that readiness or help overcome inertia.

Actions:

- 
- 
- 

3. Based on the initial assessment of your own evaluation practices, develop three specific actions to enhance those practices.

Actions:

- 
- 
- 