Updating your Evaluation Strategy Session For Global Development University

Novartis
September 7-8, 2022

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Updating Your Evaluation Strategy Session

	Wednesday, September 7, 2022
Day One	**Introduction** • Purpose, Scope, Resources • Objectives • Brief Review of ROI Methodology • What Gets in the Way? • Specific Actions for Strategy • Exercise: What's Possible **Setting Goals** • Current Status of Delivering Results • Goals for the Evaluation at Different Levels • Criteria for Selecting Programs to be Evaluated at Impact and ROI Levels **Building the Team** • Assigning Roles and Responsibilities • Developing Champions, Implementors, Supporters • Creating an ROI Network
	Thursday, September 8, 2022
Day Two	**Designing for Results** • Alignment Philosophy • Role of Objectives • Learning Transfer Strategies • Leveraging Results **Streamlining the Resources** • Data Collection Preferences • Isolation Technique Preferences • Data Conversion Preferences • Use of Technology • Reporting Results • Cost-Savings Approaches **Building Support** • Management Involvement and Support • Briefing for Managers • Annual Review & Adjustment • The Evaluation Strategy Plan

"Change is inevitable, but growth is optional."
—John Maxwell

Six Categories of Data

Level	Measurement Focus	Typical Measures
0–Input	• Input into programs, including indicators representing scope, volumes, times, costs, and efficiencies	• Types of programs • Number of programs • Number of people involved • Hours of involvement • Costs
1–Reaction and Planned Action	• Reaction to the programs, including participants' perceived value and planned action to make them successful	• Relevance • Importance • Usefulness • Appropriateness • Intent to use • Motivational • Recommended to others
2–Learning	• Knowledge and success gained, learning how to develop concepts and how to use skills and competencies to drive program success	• Skills • Learning • Knowledge • Capacity • Competencies • Confidences • Contacts
3–Application and Implementation	• Application and use of knowledge, skills, and competencies, including progress made and implementation success	• Behaviors • Extent of use • Task completion • Frequency of use • Actions completed • Success with use • Barriers to use • Enablers to use • Engagement
4–Impact	• The impact of the programs and processes expressed as business impact measures	• Graduation rates • Infant mortality • Crime rates • Productivity • Revenue • Quality • Jobs created • Efficiency • Incidents of disease • Retention • Customer satisfaction
5–ROI	• Comparison of monetary benefits from the project to project costs	• Benefit Cost Ratio (BCR) • ROI (%) • Payback period

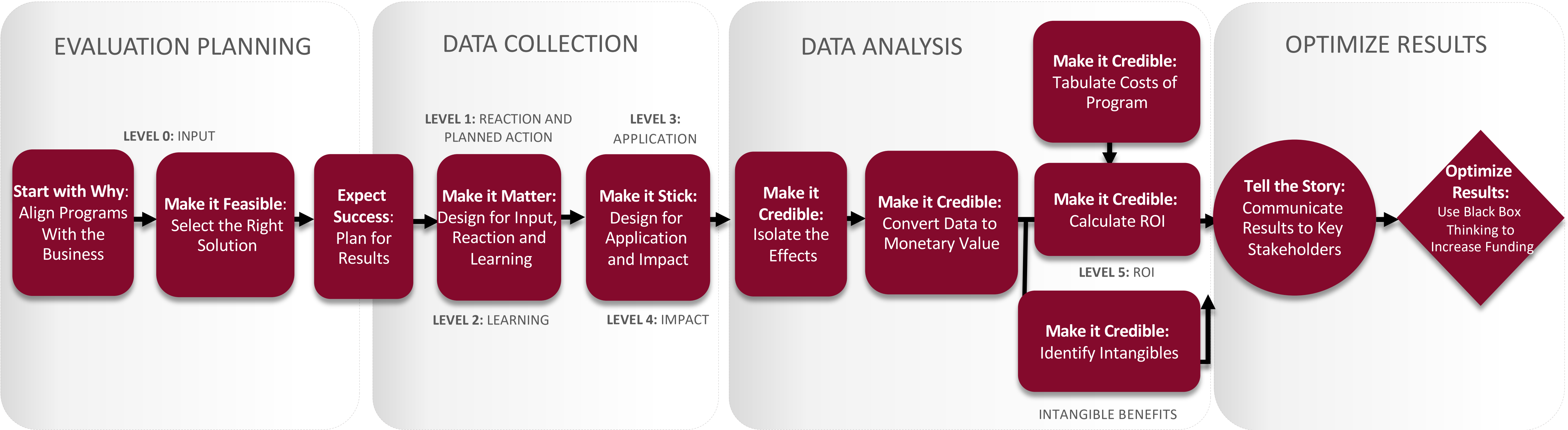
The Value Chain

		LEVEL	ISSUE	MEASURES	TARGETS
	This is easy Always measured	0	Inputs	Volume, Hours, Convenience, Cost	100%
*Can predict	This is easy Almost always measured	1	Reaction	*Relevance, Engaging, *Important, Useful, *New Content, *Intent to Use, *Recommend to Others	100%
*Can predict	Not difficult Usually measured	2	Learning	Concepts, Trends, Facts, Contacts, Skills, Competencies	98%
*Can predict	Possible Often measured	3	Application	Use of content, Frequency of Use, Success with Use, Barriers, Enablers	30%
				Must take a step to Isolate the Effects	
Executives prefer	Not so difficult to connect Sometimes measured	4	Impact	Productivity, Time, Quality, Costs, Image, Reputation, Engagement, Compliance	10%
Executives prefer	Possible for many programs Rarely measured	5	ROI	Benefit Cost Ratio or Return on Investment, Expressed as a Percent	5%

*Best Practice: Percent of Programs Evaluated at this level each year.

The ROI Methodology Process Model

Designing for the Delivery of Business Results



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Implementation Issues

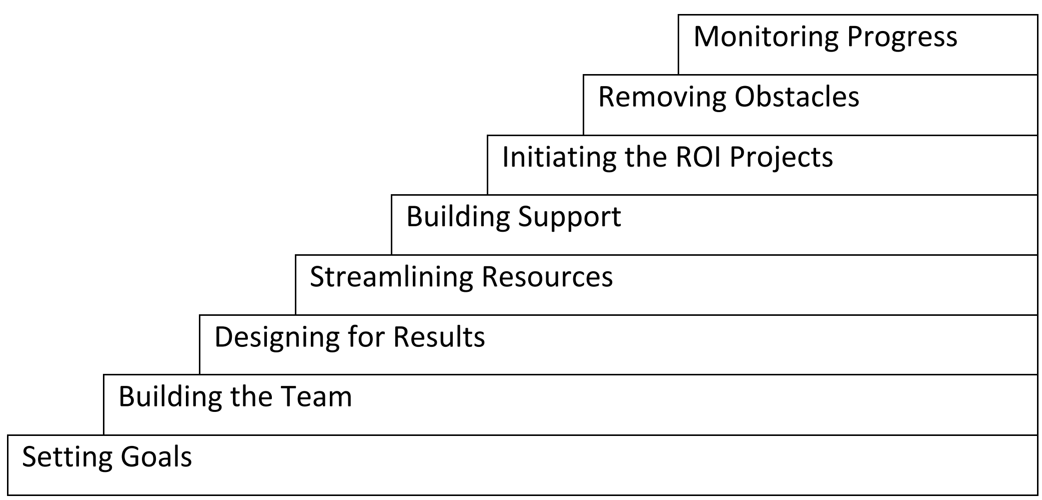
- Resources (staffing/budget)
- Leadership (individual, group, cross-functional team)
- Timing (urgency, activities)
- Communication (various audiences)
- Commitment (staff, managers, top executives)

Typical Barriers for a Serious Evaluation Strategy

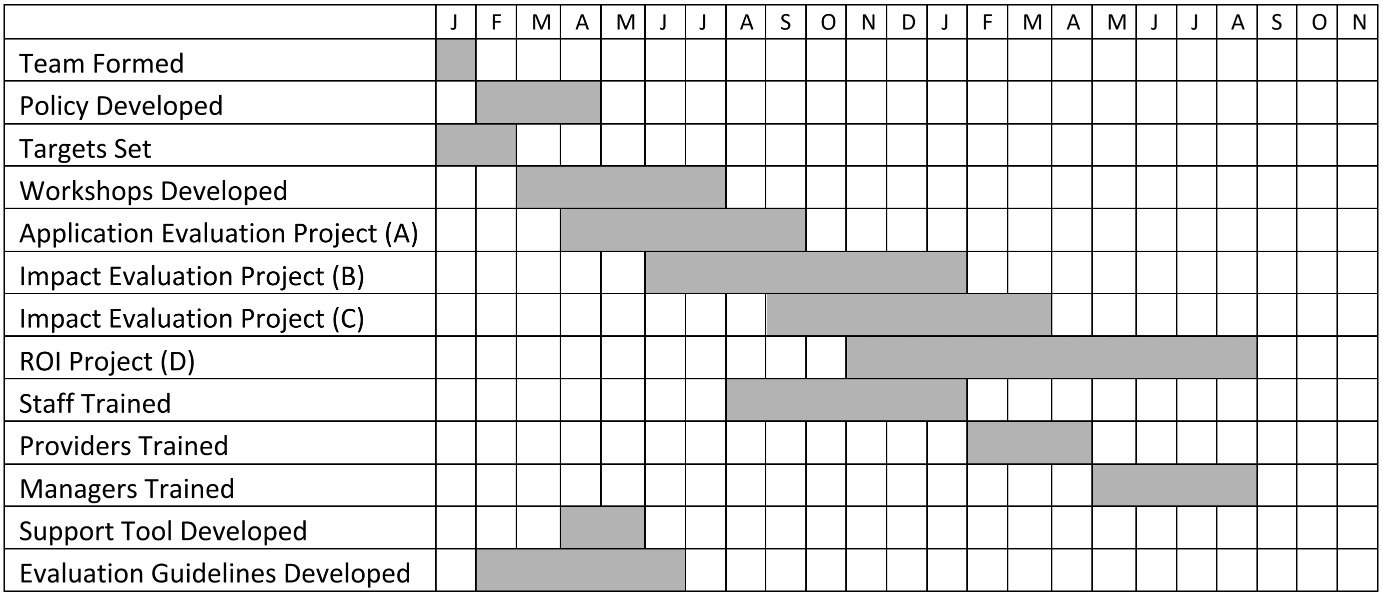
- I don't have time for additional measurement and evaluation.
- An unsuccessful evaluation will reflect poorly on my performance.
- A negative ROI will kill my program.
- My budget will not allow for additional measurement and evaluation.
- Measurement and evaluation are not part of my job.
- I didn't have input on this process.
- I don't understand this process.
- Our managers will not support this process.
- Data will be misused.
- The data are too subjective.

Can you add to this list?

Building Blocks to Overcome Resistance to Serious Evaluation



Measurement and Evaluation Implementation Project Plan — Sample



Assessing the Climate for Results

- Survey staff (team members)
- Survey staff from management perspective
- Develop gaps (actual vs. desired)
- Plan actions

Take the assessment. What is your reaction? What are the gaps?

Notes:

Status of Measurement and Evaluation

All programs are not evaluated to every level. How does your use of the levels compare to the recommended use?

Level	Measurement Category	Current Status*	Recommended (Percent of programs evaluated at this level)	Your Goal*	Comments About Status
0	**Inputs** Measures inputs into programs including number ofprograms, participants, audience, costs, and efficiencies		100%		This is being accomplished now
1	**Reaction** Measure reaction to, and satisfaction with, the experience, ambiance, content, and value of the program		90-100%		Need more focus on content and perceived value
2	**Learning** Measures what participants learned in the program — information, knowledge, skills, and contacts (takeaways from the program)		60-90%		Must use simple learning measures
3	**Application and Implementation** Measure progress after the program — the use of information, knowledge, skills, and contacts		30-40%		Need more follow-up
4	**Impact** Measures changes in business impact variables such as output, quality, time, and cost linked to the program		10-20%		This is the connection to business impact
5	**ROI** Compares the monetary benefits of the business impact measures to the costs of the program		5-10%		The ultimate evaluation
	*Add your numbers in each box				

Specific Actions

Worksheet: Project/Program Selection Criteria: Selecting Programs for Level 4 and 5 Evaluation

List each project/program you are considering evaluating in the left column below. Rank each program as 1, 2, 3, 4, or 5 for each of the ten criteria.

Criteria and Ranking Scale

Program ↓	Life Cycle of Project / Program	Operational Objectives	Strategic Objectives	Costs	Audience Size	Visibility	Investment of Time	Management Interest	Quality of Data Collection Processes
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									

Criteria	**Ranking Scale**
1. Life Cycle of Project/Program	1 = Very short life cycle (one shot program); 5 = Long life cycle (permanent program)
2. Operational Objectives	1 = Not related to operational objectives; 5 = Closely related to operational objectives
3. Strategic Objectives	1 = Not related to strategic objectives; 5 = Closely related to strategic objectives
4. Costs	1 = Very inexpensive; 5 = Very expensive
5. Audience Size	1 = Very small audience; 5 = Very large audience
6. Visibility	1 = Low visibility for program; 5 = High visibility for program
7. Investment of Time (Delivery, coordination, support)	1 = Small investment of time; 5 = Large investment of time
8. Management Interest	1 = Low level of interest in evaluating program; 5 = High level of interest in evaluating this program
9. Quality of Data Collection Processes	1 = Very little data available; 5 = Good processes in place to collect data

Identifying Champions

- Champions conduct ROI studies.
- Champions have a passion for accountability.
- Consider a champion from each area.
- Prepare the champions.
- Recognize the champions.

Identifying Implementors

- Needs assessment team (Intake)
- Performance consultants
- Designers
- Developers
- Coordinators
- Facilitators
- Program owners

Identifying Supporters

- L&D leaders
- Advisory board members
- L&D advocates
- Key clients
- Support leaders—outside of L&D
- Senior leaders

Responsibilities for Champions

- Designing data collection instruments
- Providing assistance for developing an evaluation strategy
- Analyzing data, including specialized statistical analyses
- Interpreting results and making specific recommendations
- Developing an evaluation report or case study to communicate overall results
- Providing technical support in any phase of measurement and evaluation
- Assisting in communicating results to key stakeholders

Who are your champions?

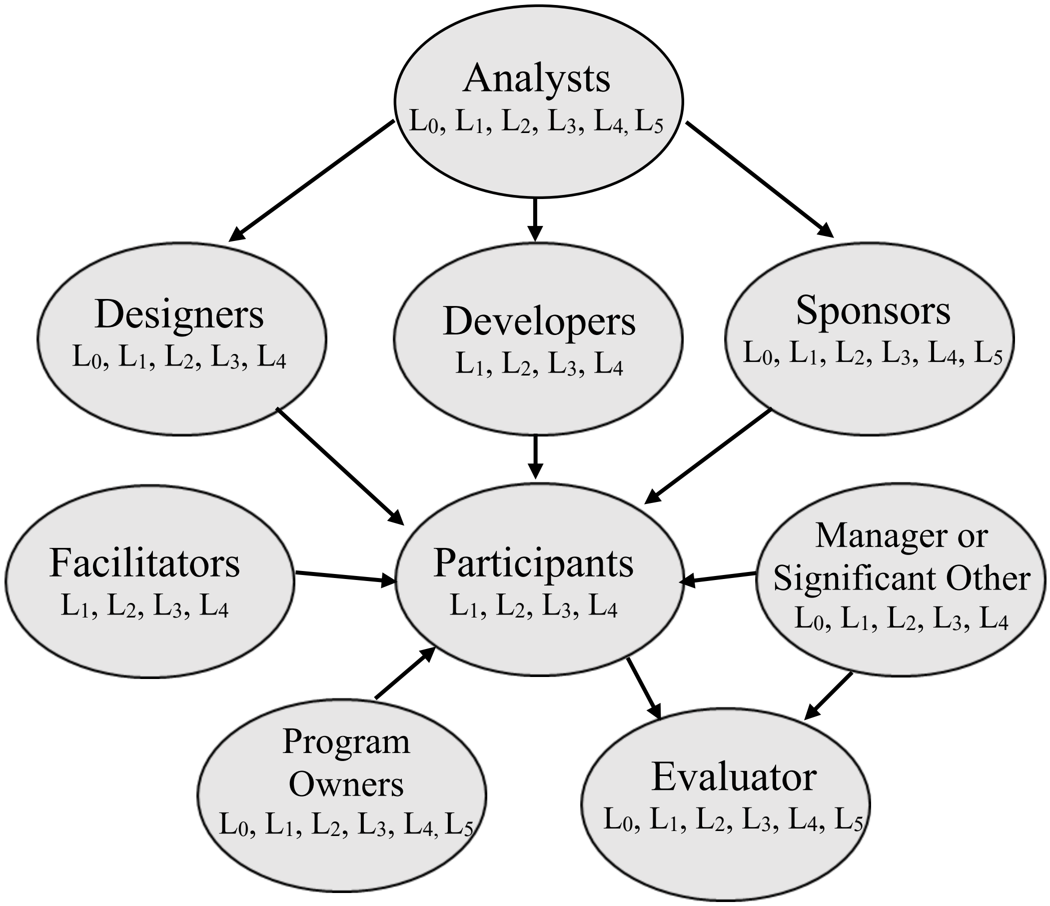
____

____

____

Roles and Responsibilities

The Objectives Needed for Important Stakeholders



Questions for Discussion

1. What roles do you have?

2. What's your reaction to the objectives provided at each level? Discuss with your colleagues.

3. Is it possible for each stakeholder to influence the application and impact? Explain.

Key Roles

Stakeholders	Key Roles
Analysts	• Align with the business • Select proper solution • Develop objectives at four levels
Designers	• Design for the proper audience • Design for the proper convenience • Design for cost • Design for time
Developers	• Design for application • Design for impact
Facilitators	• Teach to application • Teach to impact • Expect success • Coordinate evaluation
Program owners/coordinators	• Expect success • Coordinate evaluation • Communicate results
Sponsors	• Expect success • Require business results • Support process • Use results
Participants	• Use content • Drive impact • Provide data
Managers of participants (Significant others)	• Expect success • Require business results • Encourage application
Evaluators	• Expect success • Collect data • Measure results • Communicate results • Drive improvement • Optimize ROI

Responsibilities for Implementors

- Ensure that the needs assessment includes specific business impact measures.
- Develop application objectives and business impact objectives for each program.
- Focus the content of the program on the objectives of business performance improvement; ensuring that exercises, case studies, and skill practices relate to the desired objectives.
- Keep participants focused on application and impact.
- Communicate rationale and reasons for evaluation.
- Assist in follow-up activities to capture business impact data.
- Provide assistance for data collection, data analysis, and reporting.
- Design simple instruments and procedures for data collection and analysis.
- Present evaluation data to a variety of groups.

Implementor Involvement

- Developing plans
- Establishing responsibilities
- Designing tools and templates
- Selecting programs for higher level evaluation
- Driving changes / improvements

Who is on your team?

Conduct Several Studies

- Cover a variety of areas
- Move from simple to complex
- Mix up Levels 3, 4, and 5
- Avoid political issues early in the process

What's your plan for studies?

Conduct Workshops and Briefings

- 1 to 1½-hour briefings
- 1-day workshops
- 2-day workshops
- Special topics

What's your plan for workshops?

ROI Certification

ROI Certification is a globally renowned process focused on measuring the true value of tough-to-measure initiatives using the ROI Methodology. Participating in ROI Certification is the most comprehensive way to gain the skills to evaluate your major projects and programs and report the results to drive organizational improvements.

ROI Certification comprises of a comprehensive learning course followed by virtual assistance from ROI Consultants to help you conduct your first evaluation study. Upon demonstrating competency in applying the ROI Methodology, you will earn the Certified ROI Professional designation, joining an elite group of professionals who have earned his respected credential.

Typical Certification Components

- Prework
- Identify a project or program for ROI evaluation.
- Prepare for the basics.

Learning Course

- Five days of content rich, interactive sessions.
- The focus is on your project evaluation.

Workbook and Materials

- A valuable 300-page action-oriented workbook.
- Several books to use as references.

Virtual Assistance

- Feedback and guidance with your ROI evaluation.
- Review and approval of your ROI study.

Right to Use Materials at Work

- You have the right to reproduce our materials and use internally with your clients and colleagues.
- ROI Institute can provide materials as needed.

Certified ROI Professional (CRP) Designation

- A unique, sought-after credential.
- Digital badge

Creating an ROI Network

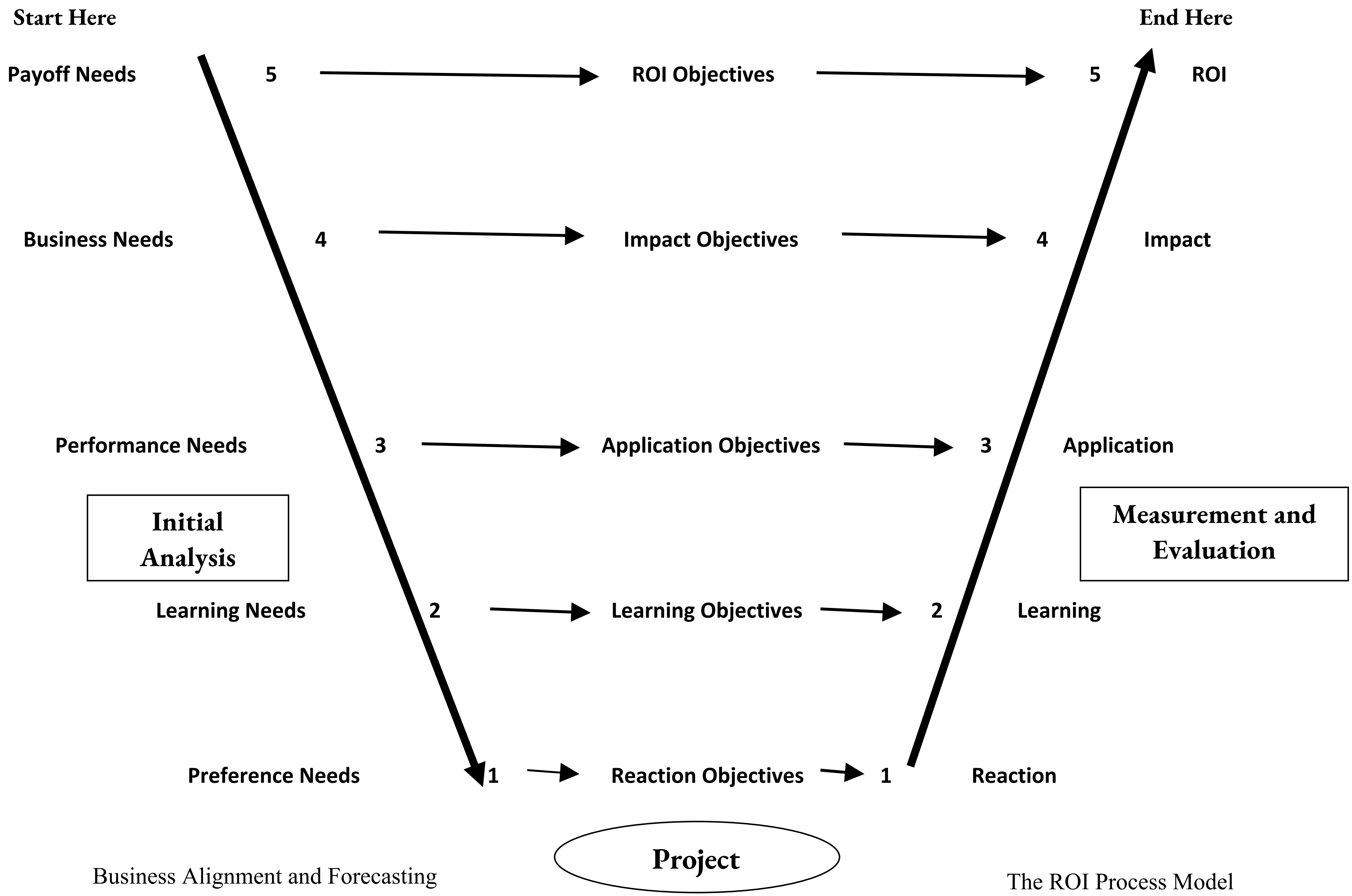
- Within the organization
- Within the local area
- Within the community

Typical Network Issues	**Typical Network Topics**
Communication methods	Tool/Template sharing
Membership rules	Collaborative projects
Meeting times	Research/Benchmarking
Topics/Issues	Sounding board
Monitoring/Managing	Project critiques
	Technology review

Notes:

Program Alignment

V Model



Developing Objectives for Each Level

Levels of Objectives	Focus of Objectives
Level 1, Reaction	Defines specific measures of expected reaction to the program as it is revealed and communicated to the stakeholders
Level 2, Learning	Defines specific measures of improvement in knowledge, information, contacts, and skills as the participants and other stakeholders learn how to make the program successful
Level 3, Application	Defines specific measures of actions taken that define success with application and implementation of the program
Level 4, Impact	Defines the specific impact measures that will change or improve as a consequence of the program's implementation
Level 5, ROI	Defines the minimum return on investment from the program, comparing program costs with monetary benefits from the program

Question for Discussion

1. Do you develop objectives at multiple levels? Explain.

Rules for Objectives[1]

1. Must be measurable and represent minimum acceptable performance.
2. Fewer objectives are better than many objectives.
3. Involve subject-matter experts and key stakeholders.
4. Keep objectives relevant to the situation, program, and key stakeholders.
5. Create Stretch Objectives, but make sure they are achievable.
6. Allow for the flexibility to change as conditions change.
7. Failure is OK; process improvement is the key.
8. Objectives are tools for progress, not weapons for performance review.
9. Most objectives should be time-bound.
10. Objectives provide the focus for design, development, implementation, and evaluation.

[1] These rules are from a combination of publications:
- J. J. Phillips and P. P. Phillips. *Beyond Learning Objectives: Develop Measurable Objectives that Link to the Bottom Line*. Alexandria, VA: ASTD Press. 2008.
- P. P. Phillips and J. J. Phillips. *10 Steps to Successful Business Alignment*. Alexandria, VA: ASTD Press. 2012.
- J. Doerr. *Measure What Matters: How Google, Bono, and the Gates Foundation Rock the World with OKRs*. New York: Penguin. 2018.

Objectives Profile

Indicate the percent of your programs with objectives at each level.

Level	Percent of Programs with Objectives at This Level	Goal Percent of Programs with Objectives at This Level
Reaction		
Learning		
Application		
Impact		
ROI		

Reaction Objectives

Typical Reaction Objectives

At the end of the program, participants should rate each of the following statements at least a 4 out of 5 on a 5-point scale:

- The program is relevant to my (our) situation.*
- The facilitators/organizers were effective.
- The program is valuable to this mission, cause, or organization.*
- The program is important to my (our) success.*
- The program is motivational for me (us).
- The program is practical.
- The program contained new information.
- The program represented an excellent use of my time.*
- I will recommend the program to others.*
- I will use the concepts and materials from this program.*

*The measures will usually correlate with application.

Question for Discussion

1. Why are reaction objectives usually omitted? Explain.

Learning Objectives

Learning objectives can have three components:

- Performance—what the participant or stakeholder will be able to do to make the program successful
- Conditions under which the participant or stakeholder will perform the various tasks and processes
- Criteria—the degree or level of proficiency necessary to perform a new task, process, or procedure that is part of the program

Typical Learning Objectives

After completing the program, participants will be able to:

- Name the three pillars of the new AIDS strategy in 3 minutes.
- Identify the four conditions for a microfinance loan.
- Complete the leadership simulation in 15 minutes.
- Identify the six features of the new ethics policy.
- List five benefits of healthy living.
- Demonstrate the use of each software routine in the standard time.
- Use problem-solving skills, given a specific problem statement.
- Determine whether they are eligible for the early retirement program.
- List 7 out of 10 harmful effects of pollution.
- Score 75 or better in 10 minutes on the new-product quiz on the first try.
- Demonstrate all five customer-interaction skills with a success rating of 4 out of 5.
- Explain the five benefits of diversity in a work group in 5 minutes.
- Document suggestions for award consideration.
- Follow the steps to secure an appropriate job.
- Score at least 9 out of 10 on a sexual harassment policy quiz.
- Identify five new technology trends presented at the conference.

Question for Discussion

1. How are learning objectives developed? Explain.

Application Objectives

Typical Questions for Application Objectives

- What new or improved knowledge will be applied?
- What is the extent of skills used?
- What specific new tasks will be performed?
- What new steps will be implemented?
- What new procedures will be implemented or changed?
- What new guidelines will be implemented?
- Which meetings need to be held?
- Which tasks, steps, or procedures will be discontinued?

Typical Application Objectives

When the program is implemented:

- Within one month, participants will be involved in five job interviews.
- In 15 days, participants will apply for a microfinance loan.
- Ninety-five percent of high-potential employees will complete the steps of their individual development plans within two years.
- At least 50 percent of participants will join a hiking/walking group in 20 days.
- At least 99.1 percent of software users will be following the correct sequences after three weeks of use.
- Diabetic patients will implement three of the four critical behaviors in 30 days.
- Within one year, 10 percent of participants will submit documented suggestions for saving costs.
- Participants will routinely use problem-solving skills when faced with a quality problem.
- Participants will take steps to engage team members each day.
- Sexual harassment activity will cease within one month after the zero-tolerance policy is implemented.
- Thirty percent of citizens will start recycling household waste.
- Eighty percent of employees will use one or more of the three cost-containment features of the healthcare plan in the next six months.
- Fifty percent of conference attendees will follow up with at least one contact from the conference within 60 days.
- By November, pharmaceutical sales reps will communicate adverse effects of a specific prescription drug to all physicians in their territories.
- Customer service representatives will use all five interaction skills with at least half the customers within the next month.
- The average 360-degree leadership assessment score will improve from 3.4 to 4.1 on a 5-point scale in 90 days.

Question for Discussion

1. Do you have application objectives in your programs? Explain.

Impact Objectives

Impact objectives are critical to measuring business performance because they:

- Describe expected business outcomes.
- Describe business unit performance that should be improved by the program.
- Provide basis for measuring the consequences of application of skills and knowledge.
- Place emphasis on achieving bottom line results.

The best impact objectives:

- Must contain measures that are linked to the program.
- Describe measures that are easily collected.
- Are results-based, clearly worded and specific.
- Specify what the participants have accomplished in their work unit as a result of the program.

Typical Impact Objectives

After program completion, the following conditions should be met:

- The infant mortality rate will reduce by 10 percent per year for five years.
- The health status index should improve by five percent during the next calendar year.
- The student debt load should be reduced by 30 percent in three years.
- After nine months, grievances should be reduced from 30 per month to no more than five per month in six months at the VA center.
- Incidents of malaria should reduce by 17 percent in one year.
- Turnover of high-potential employees should be reduced to 10 percent in nine months.
- Complaints of abusive force by police should reduce by 10 percent in six months.
- The average number of new accounts should increase from 300 to 350 per month in six months.
- Unplanned absenteeism of call center associates should decrease by 30 percent within the next calendar year.
- At least 50 microfinance loans will be approved in quarter one.
- At least 90 percent of microfinance loans will be paid back on schedule.
- A 20 percent reduction in overtime should be realized for staff in the third quarter of this year.
- Citizen complaints should be reduced from an average of three per day to an average of one per day.
- Process time for work visas will be reduced by 30 percent in two months.
- By the end of the year, the average number of product defects should decrease from 210 per month to 150 per month.
- Operating expenses should decrease by 10 percent in the fourth quarter.
- There should be a 10 percent increase in brand awareness among physicians during the next two years.
- Product returns per month should decline by 15 percent in six months.

Question for Discussion

1. Why don’t we have more impact objectives? Explain.

ROI Objectives

Defining the ROI Calculation

$$\text{Benefit Cost Ratio (BCR)} = \frac{\text{Program Benefits}}{\text{Program Costs}}$$

$$\text{ROI (\%)} = \frac{\text{Benefits} - \text{Costs}}{\text{Program Costs}} \times 100$$

Exercise:
Costs per program (25 participants) = $80,000
Benefits per program (1st year) = $240,000

Benefit Cost Ratio (BCR) = ______________

ROI = ______________ x 100 = ________%

____

____

ROI Objective Options

1. Set the value at the same level as other investments: 15%.
2. Set slightly above other estimates: 25%.
3. Set at breakeven: 0%.
4. Set at client expectations.

Private sector organizations usually go with option #2; public sector organizations prefer #3.

Notes: ____

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Making the Program Work

		Timeframe	
Role-Players	Before	During	After
Manager			
Participant			
Facilitator/ Organizer			

Ideal Management Support

- Gives endorsement and approval for participants to be involved in program.
- Volunteers personal services or resources to assist in the program's implementation.
- Makes a pre-program commitment with the participant concerning expected efforts.
- Reinforces the behavior change resulting from the program.
- Conducts a follow-up on program results.
- Gives positive rewards for participants who experience success with the program.

Levels of Management Support

	% of Mgrs
• **Supportive**: Strongly and actively supports all programs.	______
• **Responsive**: Supports programs, but not as strongly as the supporting manager.	______
• **Non-Supportive**: Privately voices displeasure with programs on a formal basis.	______
• **Destructive**: Works actively to keep participants from being involved in programs with a variety of excuses.	______
	Total (100%)

What will you do to boost the support of management or significant others?

____

____

____

Process Improvement is the Key: Black Box Thinking

Question for Discussion

1. What is your approach to failure in programs?

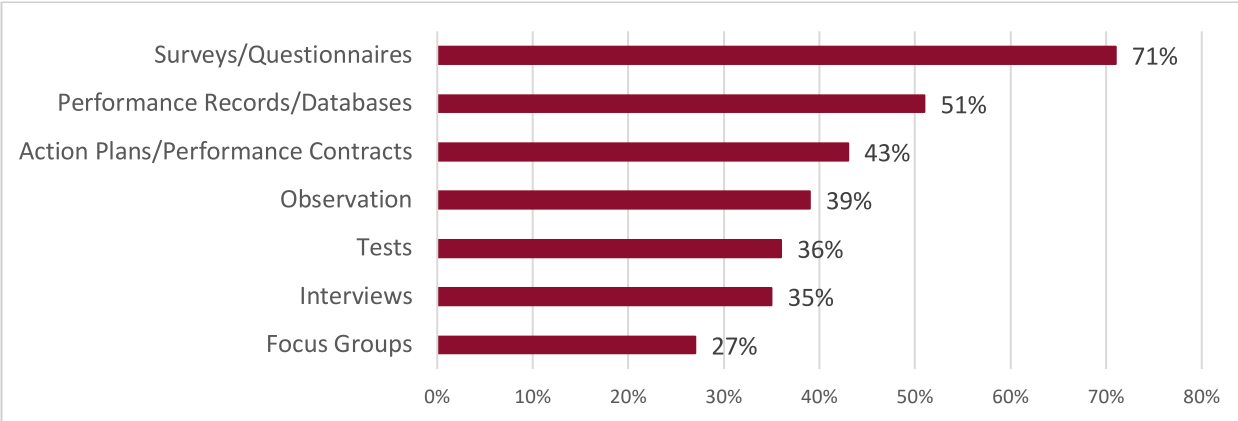
Failures in Programs

When examining all types of programs, we know:

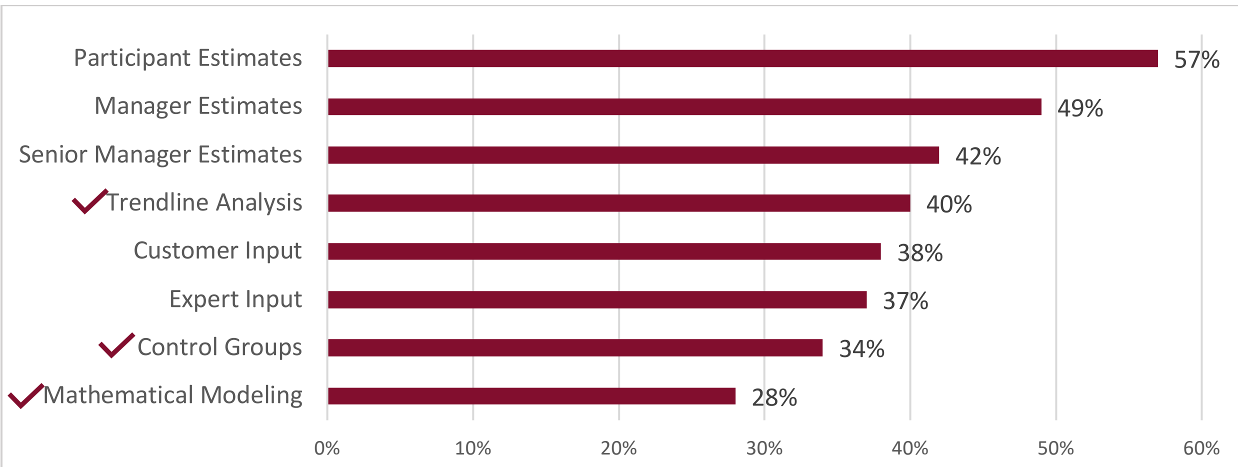
1. More than half of programs are wasted (not used or implemented, although we want them to be used). The culprit: failure in the system.
2. Most program evaluators do not measure success at the levels desired by top executives (Levels 4 and 5). The culprit: fear of results (perceived failure).

Use of Evaluation Data	Appropriate Level of Data				
	1	2	3	4	5
Adjust Program Design	✓	✓			
Improve Program Delivery	✓	✓			
Influence Application and Impact			✓	✓	
Enhance Reinforcement			✓		
Improve Management Support			✓	✓	
Improve Stakeholder Satisfaction			✓	✓	✓
Recognize and Reward Participants		✓	✓	✓	
Justify or Enhance Budget				✓	✓
Develop Norms and Standards	✓	✓	✓		
Reduce Costs		✓	✓	✓	✓
Market WLP Programs	✓		✓	✓	✓
Expand Implementation to Other Areas				✓	✓

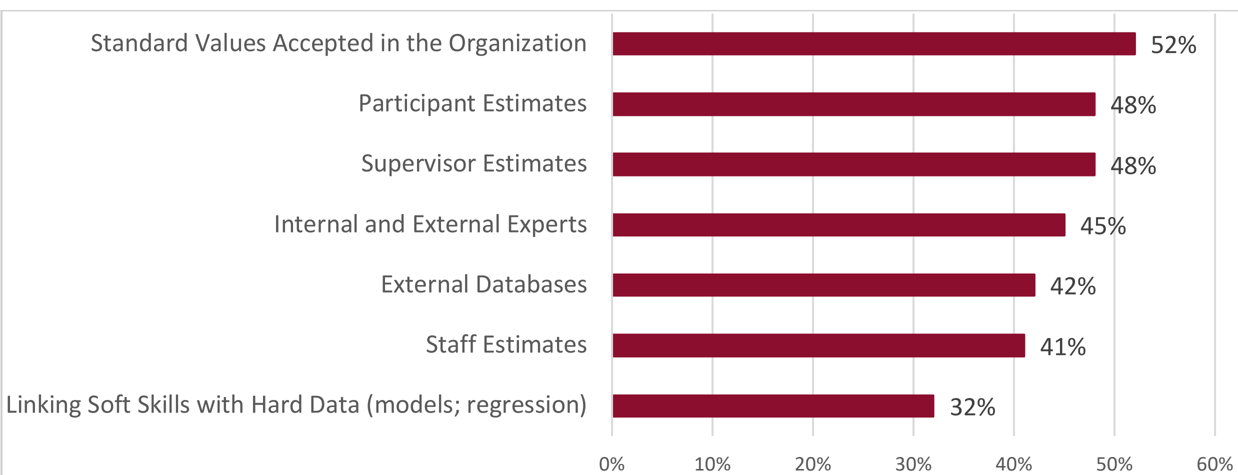
Data Collection Preferences*



Isolation Preferences*



Converting Data to Money*



*Survey of Users, N = 246

Use of Technology

- Data Collection
- Analysis
- Reporting

Complete Report

- General information
- Methodology for impact study
- Data analysis
- Costs
- Results
- Barriers and enablers
- Summary of findings
- Conclusions and recommendations
- Exhibits

The Impact Study Serves Several Purposes

- The method of communicating results, only for those audiences needing detailed information.
- As a reminder of the resources required to produce major studies.
- As a historical document of the methodology, instruments, and processes used throughout the impact study.
- A teaching and discussion tool for staff development.

Methods of Communication

- Meetings
  - Executives
  - Management
  - Stakeholders
  - Staff
- Detailed Reports
  - Impact study
  - Case study (internal)
  - Case study (external)
  - Major articles
- Brief Reports
  - Executive summary
  - Slide overview
  - One-page summary
  - Brochure
- Electronic reporting
  - Website
  - Email
  - Blog/social media
  - Video
- Mass Publications
  - Announcements
  - Bulletins
  - Newsletters
  - Brief articles
  - Press releases

Notes:

Matching Exercise: Reporting Results

Instructions: For each of the following situations, please indicate the method used to report the results from an impact/ROI study for a particular program. Select from these methods:

A. Live meeting with executives
B. One-page summary of results
C. Website summary
D. Website video
E. Executive summary
F. Panel discussion
G. Newsletter article
H. Brief case summaries
I. Case study book
J. Executive scorecard

Write the letter in the box to reflect the strategy used. Use each letter only once.

Situation		Method
1.	Dale Carnegie had independent ROI studies conducted on two of its major programs: The Dale Carnegie Course and Leadership for Managers. When a study is developed, an executive ROI summary is sent to all stakeholders involved in the program, who provide essential data with explanations. These executive summaries are quick reads for the individuals who paid for or sponsored the program.	☐
2.	The Department of Transportation (DOT), a long-time user of the ROI Methodology, presented its impact study results in a one-page format. This simple format, designed to capture all the data sets of an ROI study, is sent only to executives who already understand the methodology and know what the data items mean. It provides a quick overview of the six types of data, including the method of isolation, the method of converting data to money, and the methods used to collect data.	☐
3.	An Environmental Protection Agency (EPA) places its impact/ROI studies on the website for use. In addition, for some major ROI studies, EPA has included a video of the presentation of results. The video is essentially a rehearsal of the presentation to the senior management team and recorded for posting after the meeting is conducted. This 20-minute video of the summary results includes slides with all the data sets, conclusions, and recommendations.	☐
4.	The Veterans Administration (VA) has been using the ROI Methodology for ten years. The website for the Employee Education System provides a summary of the progress made and specific goals. The website includes the number of individuals who have acquired ROI capability and how many individuals have achieved ROI certification. Individual ROI studies are presented, along with summaries of analysis and various trends in ROI use, including a meta-analysis of all the case studies. In addition, the website includes tools and templates to be exchanged among the team.	☐

5. ROI Institute conducted an impact and ROI evaluation for a management assessment center used by three UN agencies: The World Food Programme, the Food and Agriculture Organization, and the International Fund for Agriculture Development. The results were tabulated and reported to top executives in a live face-to-face meeting. The executives used the results of the study to make important improvements in the center. ☐

6. Memorial Regional Health System conducted an ROI study on the value of chaplaincy and used the results internally in the organization to adjust and improvements. The study was presented to a group of colleagues at a global conference. The presentation, a part of a panel discussion, showed how this methodology can be used in a soft skills area. ☐

7. UNESCO, The UN Educational, Scientific, and Cultural Organization developed a learning scorecard based on the data generated from evaluation. Recognizing that each program is evaluated at some level, this scorecard integrates levels of evaluation and provides data about the L&D contribution across the organization. This scorecard provided data that the executive group needed, distinguishing it from previous scorecards which focused primarily on inputs and reaction data. ☐

8. SkillNets, an Irish organization funded by both the private sector and the government, sponsored the implementation of the ROI Methodology in Ireland. As part of its support and funding for the programs, SkillNets offered consulting services to develop ROI studies across a variety of Irish companies and organizations. In exchange for receiving funding to help conduct studies, each organization gave permission to publish its case study and to be distributed throughout the country. The 15 brief case summaries provided insight to how these studies were conducted and the challenges and opportunities along the way. More than anything else, the case summaries, in booklet form, provided insight into the power of the ROI Methodology. ☐

9. The Ministry of Education in Oman conducted several ROI studies for programs in the schools and universities in the sultanate of Oman. In each of these studies, the impact and value of the programs were developed. These studies were published as a book of case studies and provided to key stakeholders and clients to show the value of education programs. Ultimately, the case study book provided effective, strategic data to help the team gain respect for the education function, improve support for education programs, and enhance the budget for the ministry. ☐

10. The Department of The Interior conducted an ROI study on a professional development program for the park rangers. The results were significant and impressive and uncovered some important changes to make the program even more successful. A summary of the study was placed in a newsletter for all the employees. The summary was an easy-to-read, engaging account of the program and brought much appreciation for and attention to the job of park ranger. ☐

Cost-Saving Approaches to ROI

- Plan for evaluation early in the process.
- Build evaluation into the process.
- Share the responsibilities for evaluation.
- Require participants to conduct major steps.
- Use short-cut methods for major steps.
- Use sampling to select the most appropriate programs for ROI analysis.
- Use estimates in the collection and analysis of data.
- Develop internal capability to implement the ROI process.
- Utilize web-based software to reduce time.
- Streamline the reporting process.

What are your approaches to saving/controlling costs?

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Matching Exercise: Implementation Strategies

Instructions: For each of the following situations, please indicate the method used to implement the ROI Methodology. Select from these methods.

A. Assess the status of the focus on results for programs
B. Assigning roles and responsibilities
C. Set goals and targets for the team
D. Build capability with the staff
E. Conduct ROI studies
F. Revise policies and procedures
G. Increase funding
H. Create ROI network
I. Brief managers
J. Improve support of programs/team

Write the letter in the box to reflect the method used.

Situation	**Method**
1. Interior Health began the implementation of the ROI Methodology by conducting an impact study on a new medical procedure. A team was assigned the responsibility to conduct the study and worked as a team, with the support of the ROI Institute, to complete the ROI study. The emphasis was to demonstrate the process and see how it worked with an actual study. This was the beginning of ROI implementation.	☐
2. As the Veterans' Administration implemented the ROI Methodology, one of the first actions was to assign specific duties and responsibilities. The entire team was involved in three different areas. First, there was a centralized ROI group who were experts in the ROI Methodology. They provided the direction and leadership for the rest of the organization. The next group was the representatives from each of its	☐

VISNS as one or more individuals became certified in the ROI Methodology and became the local expert in this process. The rest of the entire team had specific roles and responsibilities. It was the shared responsibilities that made this one of the most successful ROI implementations.

3. As part of the implementation of the ROI Methodology, a large religious organization developed specific guidelines, procedures, and policies for evaluation. Although procedures were in place, they had to be updated, improved, and expanded for the use of ROI. These procedures, developed with input and approval of the team, provided guidance and direction, as well as tools and templates to conduct studies in the future. ☐

4. The United Nations initiated a system-wide implementation of ROI. To develop serious capability with this process, a goal was set to have 50 individuals achieve the status of Certified ROI Professional within 18 months. In addition, 100 individuals were slated to build skills on the ROI process through a two-day workshop. This effort was designed for the UN to have its own internal capability to conduct studies and focus its programs on results. ☐

5. When the World Food Programme began implementation of the ROI Methodology, the first course of action was to administer a survey to the team. This survey assessed the current status of projects and programs, highlighting the extent to which these programs are focusing on results. This insight gave the team the opportunity to set particular goals based on the gaps the survey was revealing. ☐

6. The IT and Systems function in the Social Security Administration responded to executive requests to monitor the impact. As part of this process, the IT and Systems team examined each of their major projects and decided which projects would be evaluated and at which level. In addition, four projects were selected for impact/ROI analysis. This gave clear direction of where the team was going with their evaluation. ☐

7. As the National Security Agency implemented the ROI Methodology, it sought to bring in the help of the management team in a management briefing conducted for top leaders. It is important for managers and leaders to see the improvement made with impact studies. The manager's role in successful programs was also explored. This one-day briefing made a tremendous difference in the commitment and support for various projects and programs and the use of ROI. ☐

8. When the University of Southern Mississippi implemented ROI, an ROI network was created. A group of ROI-certified individuals and others trained in the ROI Methodology became a virtual network to exchange, critique, help, and support each other as they implemented the process. This network created the first conference on ROI in the public sector, designed to discuss the status of implementation and share success stories and new strategies. ☐

9. The National Training Program for Pulp and Paper Technology, funded in part by the National Science Foundation, is designed to help the pulp and paper industry build critical skills needed to retain jobs in the USA, and keep them from being outsourced to other countries. The project required an ROI study to show the effectiveness of the program. Through four major centers, skills were developed for major employers in the industry and an ROI impact study, conducted independently by the ROI Institute, provided the summary of the results. Because of the success of the project, NSF provided additional funding to support the continuation of the project. Ultimately, the funding will be provided by the pulp and paper industry as its program continues to enjoy success. ☐

10. The healthy living group of a large provincial health system in Canada culminated its first round of impact studies with presentations to executives. These briefings were followed by a reception attended by senior executives. The executive director presented the certificates, designating 12 individuals as Certified ROI Professionals. The CEO made a speech congratulating the group and emphasizing the importance of ROI. These actions provided tremendous support for healthy living programs and for the healthy living team to continue with its implementation of ROI in the organization. ☐

Management Involvement

Step in the Results-Based Process	Opportunity for Manager Involvement	Most Appropriate Strategy
Conduct analysis	High	Taskforce
Develop measurement and evaluation system	Moderate	Advisory committee
Establish program objectives	High	Advisory committee
Develop program	Moderate	Taskforce
Implement program	High	Program leader
Monitor costs	Low	Expert input
Collect and analyze data	Moderate	Expert input
Interpret data and draw conclusions	High	Expert input
Communicate results	Moderate	Manager as participant

How will you use involvement as a tool?

Why Programs Do Not Work

The lack of success of programs has been a persistent and serious problem facing organizations. Some studies have indicated as much as 60 - 80% of the information, skills, and knowledge presented in programs are not utilized on the job, in the community, or at home. Several studies revealing a variety of reasons for this lack of success include the following:

1. Immediate manager (or significant other) does not support the program.
2. The culture does not support the program.
3. No opportunity to use the program.
4. No time to implement the program.
5. Didn't learn anything that could be used.
6. The systems and processes did not support the program.
7. Didn't have the resources available to use the program.
8. Changed job and the program no longer applies.
9. This is not appropriate in our work unit.
10. Didn't see a need to use the program.
11. Could not change old habits.

This is a serious problem that is being tackled in a variety of ways in organizations.

Questions for Discussion

1. When considering the above situation, what specifically can be done to enhance the success of programs?
2. How important is the role of the manager (or significant other) of participants in programs?
3. What implication does this have for your programs?

Annual Program Review

- Review of previous year's programs
- Methods / levels of evaluation
- Results achieved from programs
- Significant deviations from expected results
- Basis for determining needs for next year
- Scheduled programs
- Proposed methods / levels of evaluation
- Potential payoffs
- Problem areas in program success
- Concerns from top management

Questions for Discussion

1. Will you conduct an annual review?
2. If so, what will be your approach?

Action Plan

Develop a plan of implementation for improving measurement and evaluation in your organization. Consider all the items included in this session. Identify a particular time frame and key responsibilities.

Issue	**Actions**	**Completion Date**	**Responsibility**

About ROI Institute, Inc.®

ROI Institute, Inc., founded in 1992 as a service-driven organization, assists professionals in improving programs and processes using the ROI Methodology® developed by Dr. Jack J. Phillips and Dr. Patti P. Phillips. This Methodology is the global leader in measurement and evaluation including the use of return on investment (ROI) in non-traditional applications. ROI Institute regularly offers workshops, provides consulting services, publishes books and case studies, and conducts research on the use of measurement and ROI. This makes ROI Institute the leading source of content, tools, and services in measurement, evaluation, and analytics. Working with more than 100 ROI consultants and 45 partners, ROI Institute applies the ROI Methodology in 20 professional fields in more than 70 countries. ROI Institute authors have written or edited over 100 books, translated into 38 languages. Organizations build internal capability with the help of ROI Institute and its ROI Certification process. By successfully completing this process, individuals are awarded the Certified ROI Professional® (CRP) designation, which is respected by executives in organizations worldwide.

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