• Preface •

Audience for the Book

This book is written for workforce development and performance improvement professionals (or professionals in the making) who need to learn how to conduct program evaluations for their internal or external clients. If you are one of those practitioners, assess your current evaluation-related knowledge and skills by using these five levels—novice, advanced beginner, competent, proficient, and expert. If you fall into the *novice* or *advanced beginner* level, this book is an appropriate one for you to use.

While working in the workforce development and performance improvement capacity in various types of organizations, you may associate yourself with the professional communities of human performance improvement (HPI), human resource development (HRD), and/or training and development (T&D). This book explains how to conduct a program evaluation in the HPI, HRD, or T&D context. Although *workforce development* and *performance improvement* are points of similarity among HPI, HRD, and T&D, it is quite a mouthful to say "program evaluations conducted in the workforce development and performance improvement context." Therefore, in this book, we will treat HPI as a broader concept than HRD and T&D and explain how to conduct program evaluations in the HPI context.

Approaches Used in the Book

It is often said that the best way to learn something new is to do it on your own. This *learning-by-doing* approach is beneficial in many ways—you likely find your learning process more meaningful, retain your knowledge and skills longer, and readily be able to transfer your knowledge and skills to similar situations.

This book is written with the learning-by-doing approach in mind. It helps you learn how to conduct a program evaluation by actually completing a client-based program evaluation. Because it is likely your first full-blown formal program evaluation, you are advised to select a small-scaled evaluation project.

Evaluators use different evaluation designs and approaches depending on the purpose and type of their evaluation, and it would be impossible to explain various evaluation designs in one book. Instead, this book focuses on conducting a program evaluation using a descriptive case study type evaluation design, which you as a novice or advanced beginner level evaluator can easily learn to use and still produce a reasonably comprehensive evaluation project.

This book walks you through the steps to conduct a program evaluation in the HPI context by investigating multiple dimensions of a program, through triangulating

multiple data sets, which can be applied to both formative and summative evaluations. Once you are familiar with the overall evaluation procedure, you are encouraged to learn more about different evaluation designs, including experimental or ethnographic studies. It will enable you to select and apply the most appropriate methodology for your individual evaluation projects.

Content of the Book

This book explains a 10-step evaluation procedure for conducting a program evaluation:

1. Identify an evaluand.

2. Identify stakeholders and their needs.

3. Identify the purpose of evaluation.

4. Develop a program logic model.

5. Determine dimensions and importance weighting.

6. Determine data collection methods.

7. Develop data collection instruments.

8. Collect data.

9. Analyze data with rubrics.

10. Draw conclusions.

In addition to the micro-level 10 steps listed here, the book explains macro-level tasks to be performed during a program evaluation, including feasibility and risk factor assessments and formative and summative meta-evaluations.

The Introduction describes several evaluation terms and frameworks used in the 10 steps, which are grouped into three phases: identification, planning, and implementation.

Starting with Chapter 1, individual chapters explain the micro-level 10 steps and macro-level tasks to be performed. Chapters 1 and 2 explain the first three steps of the *identification* phase where you identify (or analyze) a program to be evaluated, a.k.a. an evaluand (Step 1), its stakeholders (Step 2), and the purpose of the evaluation (Step 3). As in any projects, it is important to assess feasibility of your evaluation project and risk factors from the beginning of the project. Chapter 3 describes ways to assess feasibility and risk factors regarding your evaluation project. The project identification phase will result in writing a statement of work to be submitted to your client, as described in Chapter 4.

Chapters 5 through 8 explain the *planning* phase of your evaluation project. During this phase of your project, you develop a program logic model (Step 4), determine dimensions and importance weighting (Step 5), and determine data collection

methods (Step 6). During those steps, you need to revisit Chapter 3 to continue to assess your project feasibility and address risk factors. You also start conducting formative meta-evaluations to ensure that you are using an appropriate evaluation design. The planning phase will result in writing an evaluation proposal that you submit to your client.

Once your evaluation proposal is approved by your client, you follow Chapters 9 through 14 to complete the *implementation* phase of your project and write an evaluation report. During this phase, you need to continue to assess and handle ethical concerns that may arise while collecting data, analyzing data, and reporting results. You conduct formative meta-evaluations to ensure the quality of your data collection instruments and data analysis process. The output of completing all 10 steps is your evaluation report. You conduct a summative meta-evaluation before you share the final report with your client and other stakeholders. Depending on your responsibility and accessibility, you may assist the client and stakeholders to take action on your evaluation findings, such as implementing solutions that you recommended to improve the program quality.

As shown in Figure P-1, the 10 evaluation steps are aligned with the ADDIE process (**A**nalysis, **D**esign, **D**evelopment, **I**mplementation, and **E**valuation), which is commonly used in instructional design and other performance improvement projects.

Use of the Book

This book was originally written as a textbook for a graduate-level evaluation class, but it may be used for an upper-level undergraduate class. Downloadable resources for this book are provided at the SAGE website at **https://study.sagepub.com/chyung**.
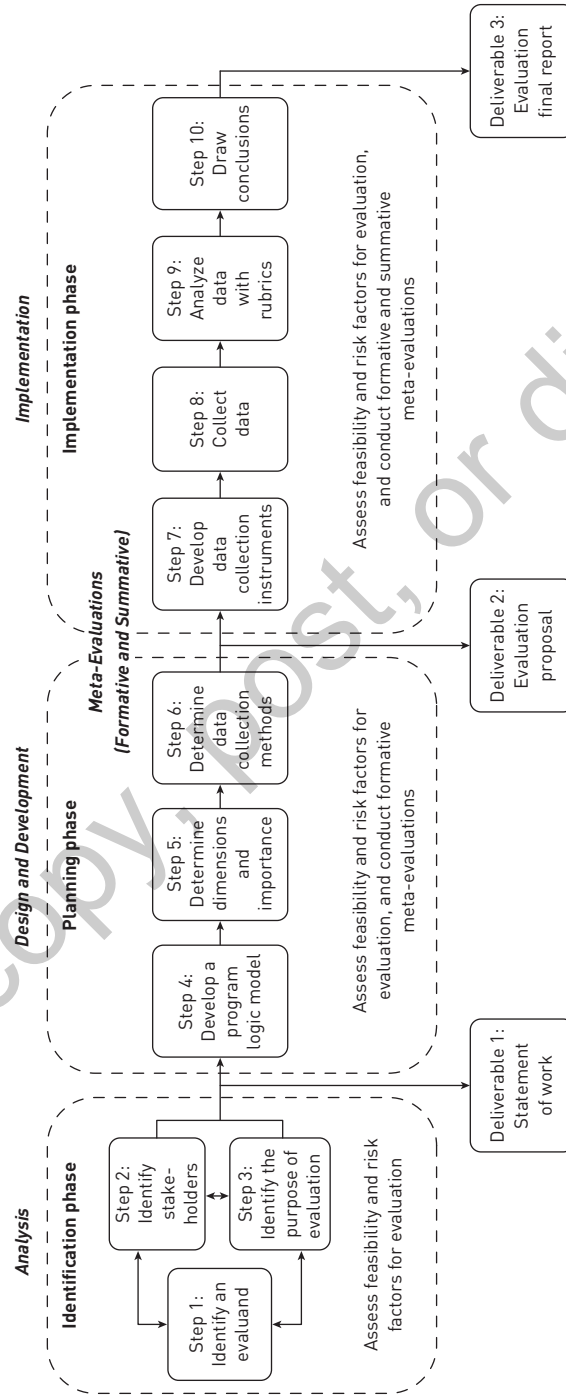
If you are an instructor who adopted this book for your evaluation class, you want to design the class to be *project based* rather than totally lecture and discussion oriented, so that your students can actually conduct their own evaluation while learning the content of the individual chapters.

For a 15-week course, you can assign each chapter to each week to facilitate the development of student evaluation projects, as shown in Table P-1. You can use this weekly schedule in a face-to-face, blended, or online course. You may want to ask your students to propose their own evaluation project topics and select several of the most feasible evaluation projects as team projects, rather than having each individual student complete a project.

If you are a student who is taking an evaluation class for which this book is used as a textbook, it is assumed that you are new to program evaluation and do not possess a lot of knowledge in evaluation methodology. You will benefit from working with a couple of classmates to complete a chosen evaluation project as a team project.

If you are a professional who needs guidelines for conducting a program evaluation, you may use this book as a reference, while conducting an evaluation project with your coworkers in your workplace or for your clients.

FIGURE P-1 ● The 10-Step Evaluation Procedure Aligned With the ADDIE Process

Analysis

Identification phase

Step 2: Identify stake-holders

Step 3: Identify the purpose of evaluation

Step 1: Identify an evaluuand

Assess feasibility and risk factors for evaluation

Deliverable 1: Statement of work

Design and Development

Planning phase

Step 4: Develop a program logic model

Step 5: Determine dimensions and importance

Meta-Evaluations (Formative and Summative)

Step 6: Determine data collection methods

Assess feasibility and risk factors for evaluation, and conduct formative meta-evaluations

Deliverable 2: Evaluation proposal

Implementation

Implementation phase

Step 7: Develop data collection instruments

Step 8: Collect data

Step 9: Analyze data with rubrics

Step 10: Draw conclusions

Assess feasibility and risk factors for evaluation, and conduct formative and summative meta-evaluations

Deliverable 3: Evaluation final report

Phase	Week	Chapter	Class Activities
TABLE P-1 ● Use of Book Chapters and Class Activities in a 15-Week Course			
Identification	1–3	Introduction 1. Identify an Evaluand (Step 1) and Its Stakeholders (Step 2) 2. Identify the Purpose of Evaluation (Step 3) 3. Assess Evaluation Feasibility and Risk Factors (macro-level tasks)	• Discuss and complete chapter assignments. • Bring in evaluation topics. • Discuss feasibility and risk factors for individual projects. • Select feasible projects and form evaluation teams (three or four students in each team).
	4	4. Write a Statement of Work (Deliverable 1)	• Present a statement of work (per team).
Planning	5–7	5. Develop a Program Logic Model (Step 4) 6. Determine Dimensions and Importance Weighting (Step 5) 7. Determine Data Collection Methods (Step 6)	• Discuss and complete chapter assignments. • Provide feedback on teams' evaluation steps and outputs as a form of meta-evaluation (macro-level tasks).
	8	8. Write an Evaluation Proposal and Get Approval (Deliverable 2)	• Present a proposal (per team). • Provide feedback on teams' proposals as a form of formative meta-evaluation (macro-level tasks).
Implementation	9–13	9. Develop Data Collection Instruments I: Self-Administered Surveys (Step 7) 10. Develop Data Collection Instruments II: Interviews, Focus Groups, Observations, Extant Data Reviews, and Tests (Step 7) 11. Collect Data (Step 8) 12. Analyze Data With Rubrics (Step 9) 13. Draw Conclusions (Step 10)	• Discuss and complete chapter assignments. • Provide feedback on teams' evaluation steps and outputs as a form of formative meta-evaluation (macro-level tasks).
	14–15	14. Write a Final Report and Conduct a Summative Meta-Evaluation (macro-level tasks, Deliverable 3)	• Present a final report (per team). • Provide feedback on teams' final reports as a form of summative meta-evaluation.

Acknowledgments

pages of class handouts grew over time, and it became a collection of comprehensive guidelines. Then, in spring 2016, I was awarded a sabbatical leave to focus on converting my guidelines into this book. I came back from my sabbatical with a 300-page manuscript. During the subsequent semesters, I used the manuscript as a textbook in my evaluation class, to refine the content and make it more useful to my students.

Therefore, I thank my students at Boise State University for giving me the reason to write this book. I selected the content of this book largely based on my students' needs. When they asked for more examples, I added more. When they were confused with certain steps, I provided more explanations about the steps. I give special thanks to Ms. Ieva Swanson, an OPWL graduate, who worked as my research assistant and provided thorough editing of the content. Her contributions and feedback helped make the content of this book easy to understand and follow.

In this book, I aimed at presenting an evaluation procedure that is *systematic, systemic*, and *needs-focused*, which are among the fundamental principles of workforce development and performance improvement. I thank the following people for their pioneering work, laying out critical foundations for conducting program evaluations and influencing me to develop the content of this book with those goals in mind. I did not originate the concepts and ideas that go with the 10 steps of evaluation that I present in this book; I give full credit to the pioneers.

First, Michael Scriven's work, especially his Key Evaluation Checklist, was instrumental in developing the systematic 10-step evaluation procedure. Scriven's book *Evaluation Thesaurus* and his numerous articles on evaluation are tremendously valuable to evaluation practitioners. Many of the main concepts and steps explained in this book, such as evaluand, three types of impactees, goal-free evaluation, dimensions, importance weighting, meta-evaluation, and more, are based on Scriven's work. I also found E. Jane Davidson's book *Evaluation Methodology Basics* to be a great source for learning the application of Scriven's Key Evaluation Checklist. Some of the explanations of the concepts provided in this book, such as application of importance weighting, rubric development, and synthesis of dimensional results, were influenced by the content presented in her book.

Second, Robert Brinkerhoff's evaluation approach with a systemic perspective, as illustrated in his book *The Success Case Method*, inspired me to emphasize the use of a system-focused approach during evaluation. Brinkerhoff's training impact model and the W. K. Kellogg Foundation's work on providing guidelines for developing program logic models are also very useful for conducting training evaluations. These logic models are introduced in this book as necessary ingredients for taking a systemic view while designing and implementing an evaluation project step-by-step.

Third, Michael Quinn Patton's utilization-focused evaluation was influential. Along with the use of systematic and systemic approaches to workforce development and performance improvement, another fundamental principle is that interventions should be designed based on the needs of the organization and stakeholders. Patton's notion that evaluation should be designed based on the intended users' needs (i.e., how they intend to use evaluation findings) is clearly aligned with the principle of workforce development and performance improvement, as I point out in this book. Those who are interested in Patton's evaluation approach are encouraged to read his book *Utilization-Focused Evaluation*.

Finally, I cannot thank my friend, colleague, and husband, Don Winiecki, enough for the constant encouragement and emotional support that he has given me throughout the process. It is awesome to have such a smart and patient person near me to bat ideas around.

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