

***A guide to organisational  
evaluation of the impact of  
leadership and management  
development***

**Leadership** **7** Product  
**&**  
**Management**

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## Product 7

# A guide to organisational evaluation of the impact of leadership and management development

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## 1 Introduction

The leadership and management strategy is based on a whole systems approach, which is intended to be flexible enough to meet the needs of all types of managers, leaders and settings. The model promotes the development of learning organisations. An important part of the process of developing learning organisations is to gather and share information and knowledge through research and evaluation. This guide provides a framework to help evaluate the outcomes of leadership and management development at an individual, organisational and partnership level. As with other parts of the leadership and management framework, it should be dynamic and developmental. The aim is to provide a model which you can adapt to develop a co-ordinated and systematic approach to evaluating the impact of your leadership and management development strategy.

Organisations will have many of the components of an evaluation framework in place. The intention of this guide is to help you to promote the integration of individual and organisational development through effective evaluation. Comprehensive evaluation should inform the development of good models of practice and identify blocks to developing creative leaders and competent managers. It will lead to a consistent, accessible approach to training, qualifications and development as described in the Guide to Continuing Professional Development (**product 5**) and in the Whole Systems Model of Leadership and Management Development (**product 2**).

## 2 Context

The scoping study undertaken by Topss England<sup>1</sup> identified a lack of coordinated, effective research and evaluation to identify the impact or benefits of different types of development. Research into management development in Northern Ireland<sup>2</sup> found that where management development opportunities are offered they tend to be delivered through formal programmes.

Other learning opportunities, such as mentoring or structured on the job training that could assist leaders and managers to learn and develop on the job are generally not well developed or integrated into performance frameworks. Consequently most evaluation focuses on the experience, and possibly the learning, for the individual, rather than its impact on the organisation.

Evaluation often concentrates on the inputs and sometimes on the outcomes of the learning process *for the individual*. This is an important part of the process but validates whether a training intervention has achieved its objectives, rather than evaluating the effectiveness of a development programme *on the service delivery outcomes*. Evaluating the impact of a development strategy on the organisation is more complex. The cost benefit of leadership and management development should include the impact on measurable changes in services and improvements to human resource management, such as recruitment and retention or performance.

Evaluation is a fundamental step in any planning and delivery cycle, whether this is providing services or training and development. The cycle is:

- needs analysis
- plan/design
- deliver
- evaluate.

Evaluation in this context is the assessment of the value of the various aspects of leadership and management strategy to an organisation with a view to improving performance.

### 3 Evaluation framework

#### 3.1 Types of evaluation

You will need a range of different types of evaluation to meet a range of objectives and to address these complexities. Paul Gorman<sup>3</sup> identified two technical and two political types of evaluation.

<b>Table 1 Types of Evaluation</b>	
<b>Technical evaluation</b>	1. Formative evaluation elicits continuous feedback throughout a process.
	2. Summative evaluation is done on completion of programme, project or piece of work.
<b>Political evaluation</b>	1. Proving evaluations, e.g. that targets or performance indicators have been met.
	2. Improving evaluations, which is looking at what has been done and learning from it to improve performance.

When evaluating the impact of leadership and management development, it will be important for your organisation to have a balance of formative and summative, as well as proving and improving evaluation. It is also critical to be clear about the objectives of any evaluation activity.

For all levels and types of evaluation, you should set performance standards on the outcomes at the planning stage, so that evaluative judgments can be made. The pre-requisite for effective

evaluation of leadership and management development is that it is linked to the strategic business planning cycle. For example:

- the organisation needs to know if there are sufficient leaders and managers with the appropriate competences and qualifications to meet service delivery requirements in the short, medium and longer term, and
- managers also need to know that the learning opportunities provided best meet these needs.

### 3.2 Planning for evaluation

The table below, which is adapted from previous work by Harry Zutshi,<sup>4</sup> gives some examples of questions the organisation may need to answer to establish performance standards and outcomes. It is available towards the end of this publication as a diagnostic audit form (form 1) for you to fill in.

<b>Table 2 Diagnostic questions</b>	
<b>Needs analysis</b>	What information do you have about leaders and managers? What are the gaps? What do you know about the competence and skills mix? Are these appropriate for current and future service development? What recruitment and retention difficulties are there? How can these be addressed?
<b>The framework of leadership and management development</b>	Is there a leadership and management strategy? What are the strengths, weaknesses, opportunities and threats that will affect implementation? What parts of the framework are already in place? What needs to be developed? How will your Person Management Specifications and CPD processes be developed? How will leaders and managers be enabled to engage with appropriate qualifications? How is career progression into and through management supported by development opportunities including training and qualifications?
<b>Priorities</b>	What groups of leaders and managers will have priority in the short, medium and long term? Why have these groups been identified? What groups have been identified on the basis of developing under-represented groups or future service developments such as direct payments and new roles?
<b>Strategy</b>	To what extent is workforce planning for leaders and managers integrated with strategic and business plans? What priority is given to leadership and management by senior management? What mechanisms for workforce planning are in place and where are the gaps?

Once the issues have been identified and owned by the organisation, it is possible to develop an agreed plan to move forward. The action plan needs clear measurable objectives so that progress can be monitored and achievements recognized. The plan needs to embody the critical issues to achieve the required outcomes. Your plan will then relate to the context of the organisation with

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targets that link to workforce and business plans, as well as issues highlighted by external agencies. Form 2 (towards the end of this publication) provides the framework for a typical plan.

### 3.3 Framework for implementing evaluation

The proposed structure is an adaptation of the Kirkpatrick and Wadenhoe Models<sup>5</sup> with five different levels of evaluation. The first three levels apply to the more usual validation processes used for assessing training but have been extended to include the wider range of formal and informal workbased learning opportunities. Levels 4 and 5 apply to the effect of the individual learning on the organisation and stakeholders. The model also links to the evaluation standards of Investors in People (see table 3 below) and EFQM (European Foundation for Quality Management).<sup>6</sup>

<b>Table 3 Examples of relevant IIP criteria</b>
The business/service plan identifies broad development needs and specifies how they will be assessed and met. (1)
Training and development needs are regularly reviewed against service objectives.
Managers can describe specific actions that they have taken and are currently taking to ensure equality of opportunity in the development of people. (4)
Representative groups are consulted about the organisation's aims and objectives. (5)
People clearly understand what their development activities should achieve, both for them and the organisation. (6)
Organisations should demonstrate how the development of people has improved the performance of individuals, teams and organisation. (10)
Senior managers to understand the overall costs and benefits of the development of people and its impact on performance. (11)

The fundamental concepts in the EFQM Model of Excellence emphasise the need for a wider model of evaluation to demonstrate that change has been effective and has used learning to create innovation and improvement opportunities, that value-added partnerships are developed and maintained, and that organisations should strive to understand and respond to the expectations of their stakeholders.

Table 4 (next page) identifies five levels of evaluation for leadership and management development, within which a range of types of evaluation can be used to address learning and outcomes for the individual, the organisation and stakeholders.

<b>Table 4 Five levels of evaluation</b>	
<b>Level 5 Stakeholders' outcomes</b>	<p>What has been the impact on stakeholders of the leadership and management strategy?</p> <p>What has been the impact on service users, their carers and families?</p> <p>What measures were used?</p> <p>What has been learnt that will contribute to future development?</p> <p>How have partnerships been improved and maintained?</p> <p>What changes have been made to benefit stakeholders?</p>
<b>Level 4 Organisational outcomes</b>	<p>What has been the significant impact on the organisation's performance of the leadership and management development strategy?</p> <p>What has been learnt that will contribute to future development?</p> <p>What changes have been made to how the organisation operates?</p> <p>What are the outcomes from changes in performance?</p> <p>What is the overall cost-benefit of the investment in training and learning?</p>
<b>Level 3 Individual outcomes or application of learning</b>	<p>Has the learning produced any changes in culture, behaviour, relationships, equal opportunities and service delivery?</p> <p>To what extent has the learning transferred to the team or network?</p> <p>To what extent was the individual able to put into practice what was learnt?</p> <p>Has the learning improved performance?</p>
<b>Level 2 The learning outcomes</b>	<p>How effectively were social care values integrated into the learning?</p> <p>What learning outcomes were achieved?</p> <p>Did participants achieve the learning objectives in their Personal Development Plan and if so how?</p> <p>How will the learning objectives that have not been met be addressed?</p> <p>What has been learnt that would contribute to the development of future learning opportunities including training, qualifications and work-based learning?</p> <p>What new learning needs were identified?</p>
<b>Level 1 Reactions to the learning process</b>	<p>What were the reactions of participants to the training or learning opportunity?</p> <p>What were the reactions to the trainers, mentors/assessors, content or methods?</p> <p>What changed as a result of ongoing feedback?</p> <p>What else could be provided?</p>

For each level you will need to have a clear process and method for gathering the information and feedback.

Table 5 (next page) gives you some examples of what could contribute to evaluation activities for each stage. Form 3 (at the end of this publication) is an evaluation processes checklist for the five levels of evaluation and can be used by you to check what you already have in place and what you need to develop further.

<b>Table 5 Examples of processes for evaluation</b>		
<b>Level</b>	<b>Individual</b>	<b>Organisation</b>
<b>5 Stakeholder</b>	<p>Access to joint management learning opportunities with other agencies such as health, education, private and voluntary agencies.</p> <p>Using partnership networks as opportunities to extend on the job learning through work exchanges, shadowing, projects, placements and meetings.</p>	<p>Shared/ joint performance outcomes or service improvements.</p> <p>Benchmarking practice and outcomes with stakeholders.</p> <p>Assess priorities for change.</p> <p>Feed into decision making groups.</p>
<b>4 Organisational</b>	<p>Clarity about values and behaviours expected of managers and the link to organisational culture.</p> <p>Use of national occupational standards to audit learning needs against service needs.</p>	<p>Outcomes from inspection.</p> <p>Balance scorecards<sup>7</sup>—performance system to measure the healthy organisation, e.g. effective recruitment, selection and induction, approach to service users, etc.</p> <p>Range of proving evaluation based on targets both for individual managers' qualifications and learning and performance management.</p> <p>Range of improving evaluation identifying what has been learnt, gaps and future plans.</p> <p>Evaluate costs and benefits in widest sense.</p> <p>Commitment to Investors in People standard.</p> <p>Use EFQM model for quality assurance.</p>
<b>3 Application</b>	<p>Self assessment.</p> <p>360° feedback involving service users.<sup>8</sup></p> <p>Accredited learning and assessment.</p>	<p>Monitor supervision and appraisal systems.</p> <p>Skills benchmarking and learning assessment.</p> <p>Audit learning against Person Management Specifications and CPD profile.</p>
<b>2 The learning</b>	<p>Review Personal Development Plan based on learning needs analysis and career planning.</p> <p>Completion of learning logs.</p>	<p>Review Person Management Specification linking job description and competences .</p> <p>Review learning opportunities based on feedback.</p>
<b>1 Reactions</b>	<p>Structured ongoing feedback on learning opportunity.</p> <p>Self-assessment in key skills area.</p>	<p>Access to a variety of on and off the job learning activities – shadowing, placements, coaching, mentoring and projects – to enhance performance.</p>

<b>Form 1 Diagnostic audit</b>				
Diagnostic checklist	Already in place	Progress		Comments, e.g: What are the gaps? What progress is being made? What needs to be included in the action plan?
		Some	None	
<b>Needs analysis</b>				
1. Information on needs of leaders and managers				
2. Knowledge of competence and skills mix				
3. Appropriateness of skills to meet current and future challenges				
4. Information about existing qualifications of leaders and managers				
5. Information about recruitment and retention difficulties?				
6. Account has been taken of needs of under-represented groups in the needs analysis				
<b>The framework of leadership and management development</b>				
1. Effective leadership and management strategy				
2. Strengths, weaknesses, opportunities and threats that will affect implementation				
3. Plans for CPD are being implemented				
4. There are plans for implementing the person management specification				
5. There is agreement about qualifications requirements for leaders and managers				
6. There is effective induction for new managers				
7. There is effective induction for leaders moving between levels of management				
<b>Priorities</b>				
1. Decisions have been made about the groups of leaders and managers who will have priority in short, medium & long term				
2. The rationale for the priorities is clear				
3. Priorities take account of developing underrepresented groups, future service developments and new leadership and management roles, such as in integrated services				
<b>Strategy</b>				
1. Workforce planning for leaders and managers is integrated with strategic and business plans				
2. Leadership and management development is supported and encouraged by senior management				
3. Effective mechanisms for workforce planning are in place				



## Form 2 Action Plan

<b>Objectives</b> <i>State all objectives required to meet the agreed aims</i>	<b>Performance Indicators</b> <i>For each objective write a set of indicators of success and targets</i>	<b>Timescales</b> <i>Link timescales to indicators</i>	<b>Who is responsible? Who else is involved?</b> <i>Responsibility for action as well as reporting lines</i>
<b>Objective 1</b>			
<b>Objective 2</b>			
<b>Objective 3</b>			
<b>Objective 4</b>			

### Form 3 Evaluation processes checklist for the five levels of evaluation

Evaluation processes checklist by level of evaluation	Already in place	Progress		Comments, e.g: What are the gaps? What progress is being made? What needs to be included in the action plan?
		Some	None	
<b>Level 5 Stakeholder</b>				
1. Access to joint management learning opportunities with other agencies such as health, education, private and voluntary agencies				
2. Using partnership networks as opportunities to extend on the job learning through work exchanges, shadowing, projects, placements and meetings				
3. Shared performance outcomes or service improvements				
4. Benchmarking practice and outcomes with stakeholders Assess priorities for change				
5. Feedback to decision making groups				
6. Engagement and involvement of service users, their carers and representatives				
<b>Level 4 Organisational</b>				
1. Clarity about values and behaviours expected of managers and the link to organisational culture				
2. Use of national occupational standards to audit learning needs against service needs				
3. Outcomes from inspection				
4. Balance scorecards – performance system to measure the healthy organisation, e.g. effective recruitment, selection and induction, approach to service users, etc				
5. Range of proving evaluation based on targets both for individual managers' qualifications and learning and performance management				
6. Range of improving evaluation identifying what has been learnt, gaps and future plans				
7. Evaluation of costs and benefits in widest sense				
8. Commitment to Investors in People standard				
9. Use EFQM model for quality assurance				
<i>Form continues on next page</i>				

**Form 3 Evaluation processes checklist for the five levels of evaluation, *continued***

Evaluation processes checklist by level of evaluation	Already in place	Progress	Comments, e.g: What are the gaps? What progress is being made? What needs to be included in the action plan?
<b>Level 3 Application</b>			
1. Self assessment			
2. 360° feedback involving service users			
3. Accredited learning and assessment			
4. Monitor supervision and appraisal systems.			
5. Skills benchmarking and learning assessment			
6. Audit learning against Person Management Specifications and CPD profile			
7. Systems bring together feedback from levels 1, 2 and 3 and enable decisions to be made about future development activities for leaders and managers			
<b>Level 2 Learning</b>			
1. Review personal development plan based on learning needs analysis and career planning			
2. Completion of learning logs			
3. Review Person Management Specification linking job description and competences			
4. Review learning opportunities based on feedback			
5. System to validate a range of learning activities, not just training			
<b>Level 1 Reactions</b>			
1. Structured ongoing feedback on learning opportunity			
2. Self-assessment in key skills area			
3. Access to a variety of on and off the job learning activities – shadowing, placements, coaching, mentoring and projects – to enhance performance			

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## References

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- 1 McDonnell, F. *Leadership and Management Development—Scoping the Project* (2003) Topss England
- 2 *Review of Leadership and Management Development Opportunities for the Personal Social services – a first class service – PSS Training Strategy 2000-2003* (March 2002)
- 3 Gorman, P. *Managing Multi-disciplinary Teams in the NHS* (1998, Kogan Page)
- 4 Zutshi, H. *The Workforce Planning Guide* (1999, CCETSW London and South East)
- 5 Hall, P. Norris, P. and Stuart, R. *Making Management Development Strategically Effective* (1995, The Wadenhoe Centre)
- 6 European Forum for Quality Management [www.efqm.org](http://www.efqm.org)
- 7 Bramham, J. *Benchmarking for People Managers – A Competence Approach* (1999, Institute of Personnel and Development)
- 8 360° feedback is defined as the process of systematic collection and feedback of performance and behavioural information on an individual. This can include upward feedback from staff who are being managed, feedback from peers and downward feedback from the individual's line manager. Additional feedback can come from other stakeholders such as project managers, service users or partner agencies.

# **Leadership & Management**

## **– a strategy for the social care workforce**

This publication is one of a comprehensive set of ‘products’ from Topss England’s leadership and management project. They have been developed to enable managers across the sector to implement the recommendations in the main report.

The products are:

1. *What leaders and managers in social care do* – a statement on leadership and management in social care
2. The ‘whole systems’ model, including a ‘person management specification’
3. Mapping of leadership and management standards
4. National signposting links
5. Continuing Professional Development
6. A unit of competence for conducting supervision (this product is not included here, as it will be further consulted upon before publication)
7. A guide to evaluation.

These products are commended to all managers and leaders in social care – both adults’ and children’s services – including service users who are employers under direct payments schemes. Together the products make for a very thorough piece of work that will reward well time spent working through them and applying them to particular settings.

The products are distributed in a pack with the main report, and are repeated on a CD-ROM in the pack so copies can be made as required. They can also be downloaded from [www.topssengland.net](http://www.topssengland.net) Further copies of the pack are available on request, as are stocks of product 1 (the statement) for organisations to distribute more widely.

# 7 Product

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