

50684
CHAPTER 5

REVIEWS OF INTRODUCTORY OVERVIEW MONOGRAPHS

The books included here all have something to offer both the beginning evaluator and the established practitioner in the field. The goal of these reviews is to inform the reader about the content and probable relevance of these books, without attempting a full-scale critical review. The books are listed alphabetically.

The distinction between "formative" and "summative" evaluation is mentioned in each of the reviews. These terms were introduced by Michael Scriven in 1967 and are discussed in the Weiss book reviewed below. Formative evaluation produces information that is fed back during the development and operation of a program to help improve it. Summative evaluation is done after a program or type of intervention has been developed and provides information about its effectiveness to decision makers who are considering adopting it, usually in other sites or even for widespread general use. Much of the evaluation literature is concerned with the latter use of evaluation. However, *Resource Materials* is designed primarily for those concerned with formative evaluation in community mental health centers. Therefore those books or book chapters written from the point of view of formative evaluation are identified.

The reviews at the end of each part of *Resource Materials*, as well as the bibliography in part V, stress evaluation literature since 1970. An earlier bibliography and an extensive set of abstracts by Weiss, Louis, and Weiss covering material primarily from 1960 to 1970 may be found in: Davis, H.R. *Planning for Creative Change in Mental Health Services: Use of Program Evaluation*. DHEW Publ. No. (HSM)71-9057. Rockville, Md.: National Institute of Mental Health, 1971.

Attkisson, C.C., Hargreaves, W.A., Horowitz, M., and Sorensen, J.E., eds. *Evaluation of Human Service Programs*. New York: Academic Press, 1976.

This book is intended as an introductory text for a graduate or advanced undergraduate course in program evaluation. Unlike most of the monographs reviewed in this chapter, this book is focused on formative program evaluation, in which evaluation tasks are ongoing, and the

evaluator functions as a member of the management team of the organization. This is the pattern that has most commonly emerged in community mental health centers. It is an edited volume, but all the chapters were written specifically for the book. The editors and chapter authors worked closely to provide the coherence of style, continuity of content, and breadth of coverage necessary for the book to function as a course text. The intended audience is clearly professionals within community-based human service programs and students who will function in these roles. It does not attempt to deal with large-scale summative program evaluation; and it deals with evaluation from the viewpoint of State, Federal, or third-party funding agencies only to the extent that these external processes impinge on the internal activities of community-based programs. Nevertheless, the book may help funding agency professionals to better understand the complementary relationship between evaluation functions in funder and service-delivery organizations. The organization of the book bears some resemblance, not surprisingly, to the present *Resource Materials*. An introductory selection addresses current issues in the delivery of human services, reviews organizational theory, and sets forth the functions of evaluation within human service programs. Three subsequent sections deal with management information systems, assessment of community needs for services, and evaluation of program effectiveness. The contents of the book are listed below.

Introduction to the Field

Evaluation and the emerging human service concept. C.C.

Attkisson, A. Broskowski

Evaluation in the context of developments in human services. H.W. Demone, H.C. Schulberg, A. Broskowski

How to think about organizations: Classic and systemic theories. A. Broskowski, J. Driscoll

Roles and functions of evaluation in human service programs. C.C. Attkisson, T.R. Brown, W.A. Hargreaves

Evaluation on a shoestring budget. A. Beigel, A.I. Levanson

Integrated Management Information Systems

Developing information systems for human service organizations. J.E. Sorensen, J.R. Elpers

Basics of the MIS design and implementation process. J.R. Elpers, R.L. Chapman

A management information and planning system for indirect services. A. Broskowski, J. Driscoll, H.C. Schulberg

Assessment of Community Service Needs

Need identification and program planning in the community context. L.M. Siegel, C.C. Attkisson, L.G. Carson

Service utilization, social indicator, and citizen survey approaches to human service need assessment. R.A. Bell, G.J. Warheit, J.W. Buhl

Measurement and Evaluation of Program Effectiveness

Evaluating program outcomes. W.A. Hargreaves, C.C. Attkisson

Goal attainment scaling. T.J. Kiresuk, S. Lund

Using cost-outcome and cost-effectiveness for improved program management and accountability. J.E. Sorensen, H.D. Grove

Quality assurance in human service program evaluation. J.R. Woy, D.A. Lund, C.C. Attkisson

Evaluation of consultative services to schools. E.N. Taylor, R. Vineberg

Retrospect and Prospect

Evaluation: Current strengths and future directions. C.C. Attkisson, W.A. Hargreaves, M.J. Horowitz, J.E. Sorensen

Rossi, P.H., and Williams, W., eds. *Evaluating Social Programs: Theory, Practice, and Politics*. New York: Seminar Press, 1972.

The main emphasis in this book is on large-scale summative evaluations of major social programs. The editors have brought together papers by authors who have carried out such studies. The book is not designed primarily as a textbook, but as a review of the field in relation to several major social programs: compensatory education, manpower, income maintenance, Head Start.

After an overview by the editors, six chapters focus on the theory of evaluation research. Pre-experimental and experimental designs are examined, and there is an interesting critique, "Problems in making policy inferences from the Coleman Report," with a reply by Coleman. Then four chapters examine evaluation practice in relation to the four major social programs mentioned above. In a final pair of chapters each editor considers issues in organizing for large-scale evaluative research and suggests future strategies.

In its focus on large-scale research, this book could be relevant to mental health issues such as the evaluation of the Federal Community Mental Health Centers funding programs. The CMHC program has never been evaluated in the sense discussed in this book. On the whole, however, the book is less relevant than the others in this chapter for providing an introduction to mental health program evaluation.

Schulberg, H.C., Sheldon, A., and Baker, F., eds. *Program Evaluation in the Health Fields*. New York: Behavioral Publications, 1969.

This book might be thought of as a collection of readings touching on a variety of special topics in program evaluation. It overlaps somewhat in authors and topics with the more recent Struening and Guttentag handbook (see review following), but also covers areas not included in the other books reviewed in this chapter. It is a moderately large book, with 35 chapters and nearly 600 pages. The areas of coverage unique to this book are primarily within the field of health care, although a number of chapters provide examples of mental health evaluation studies in more detail than in most other overview books.

Struening, E.L., and Guttentag, M., eds. *Handbook of Evaluation Research*. Beverly Hills, Calif.: Sage Publications, 1975 (two volumes; Guttentag is first editor of volume 2).

This is the largest (and most expensive) of the books included in this review of monographs. It attempts an encyclopedic coverage of human service program evaluation techniques and issues. The editors invited leading experts in program evaluation to submit chapters. Like most of the

monographs reviewed here, the emphasis tends to be on summative rather than formative evaluation. Many individual topics are addressed in considerable technical depth. These chapters will be valuable reference sources for practicing evaluators, including those who have a formative role in the management of the organization they evaluate. Graduate students in program evaluation will see a lot of this handbook in the next several years, although its cost will limit its undergraduate use.

It is bound in two volumes totalling more than 1,400 pages. The first volume and part of the second discuss issues of the design, implementation, analysis, and utilization of evaluation studies. While these chapters cover the evaluation of human service programs in general, a major part of volume 2 discusses the evaluation of mental health programs. The contents of the two volumes are listed below.

Volume 1

- I. Preface. E.L. Struening, M. Guttentag.
- II. Policy and Strategy in Evaluation Research
Evaluation research in a political context. C.H. Weiss.
Developing and implementing a research strategy. D. Twain.
The logic of evaluation. W.E. Deming.
- III. Conceptualization and Design of Evaluation Studies
Reforms as experiments. D.T. Campbell.
The study of change in evaluation research: Principles concerning measurement, experimental design, and analysis. J.C. Nunnally.
A decision-theoretic approach to evaluation research. W. Edwards, M. Guttentag, K. Snapper.
A multivariate, nonrandomized matching technique for studying the impact of social interventions. C.C. Sherwood, J.N. Morris, S. Sherwood.
- IV. Development and Evaluation of Measures
Method and theory for developing measures in evaluation research. J. Nunnally, W.H. Wilson.
Validity, reliability, and special problems of measurement in evaluation research. R.L. Durham, J. Nunnally.
- V. Data Collection Through Interviews and Records
Interviewing in evaluation research. C.H. Weiss.
Evaluation through medical records and related information systems. A.S. Weinstein.
- VI. Evaluation Through Social Ecology
Psychology, ecology, and community: A setting for evaluative research. S. Lehmann.
Epidemiological models. M. Susser.
Social area analysis as a method of evaluation. E.L. Struening.
Social science in epidemiology: psychosocial processes and "stress" theoretical formulation. J. Cassel.
- VII. Data Analytic Methods
Multivariate methodologies for evaluation research. E. Eber.
Multiple regression as a general data-analytic system. J. Cohen.
How regression artifacts in quasi-experimental evaluations can mistakenly make compensatory education look harmful. A. Erlebacher, D.T. Campbell.
- VIII. Communication of Evaluation Results
The utilization and diffusion of program evaluations. H.R. Davis, S.E. Salasin.
Evaluation methodology: A selective bibliography. B.I. Milcarek, E.L. Struening.

Volume 2

- I. Preface. M. Guttentag, E.M. Struening.
- II. Politics and Values in Evaluation Research
The human side of evaluating human service programs. L. Gurel.
Politics, ethics, and evaluation research. G. Sjoberg.
- III. Cost-Benefit Approach to Evaluation
Cost-benefit analysis: A methodological exposition. J. Rothenberg.
Cost-effectiveness analysis in evaluation research. H.M. Levin.
- IV. Evaluation of Mental Health Programs
Evaluation of community mental health programs. P. Sainsbury.
The evaluation contract: Participative-systems-actualization-research. S. Pratt, M. Canfield.
Organizational studies of mental hospitals. M.P. Lawton, J. Cohen.
Consumer feedback in measuring the effectiveness of mental health programs. R.B. Ellsworth.
Evaluating residential treatment programs for disturbed children. R.P. Durkin, A.B. Durkin.
Differential use of mental health services: Social pathology or class victimization. R.N. Brandon.
The role of attitudes toward mental illness in evaluation of mental health programs. J.G. Rabkin.
The family as reactor to the mental illness of a relative. D.E. Kreisman, V.D. Joy.
- V. Selected Content Areas in Evaluation Research
Is early intervention effective? U. Bronfenbrenner.
Evaluation of public health programs. T.W. Bice, R.L. Eichhorn.
Evaluation of new careers programs. J. Grant, J.D. Grant.

Suchman, E.A. *Evaluation Research: Principles and Practice in Public Service and Social Action Programs*. New York: Russell Sage Foundation, 1967.

This was one of the best overview books on evaluative research to appear during the 1960's, and has been quoted frequently by later writers. It draws primarily on the author's experience in public health and emphasizes summative evaluation.

The first section of the book, and the most quoted, deals with conceptual aspects of evaluation. A historical account and critique of evaluation studies is followed by a conceptual analysis of the evaluation process and of the different categories of evaluation. The author discusses five such categories: (1) *Effort* (What did you do and how well did you do it?); (2) *Performance* (How well were your objectives attained?); (3) *Adequacy of Performance* (What is the degree to which program performance was adequate to meet the total public health need?); (4) *Efficiency* (Does this method yield the best attainment of your objectives at the least cost?); and (5) *Process* (What is it about the program, its recipients, its setting, or its specific effects that helps to explain its success or failure?). These concepts have helped a generation of evaluators maintain a balanced view of the evaluation process.

The middle section of the book deals with methodology. Suchman distinguishes evaluative from nonevaluative research, the former focusing on practical action in a specific context, the latter on establishing a theoretical model that can be validly generalized as widely as possible across

settings. Research design and measurement issues are discussed.

A final section on administrative issues discusses the use, or barriers to use, of evaluation results in program administration. It also examines the requirements for adequate administration of summative evaluation studies.

Tripodi, T., Fellin, P., and Epstein, I. *Social Program Evaluation: Guidelines for Health, Education, and Welfare Administrators*. Itasca, Ill.: F.E. Peacock, 1971.

As the title implies, this book was not written for evaluators or researchers, but for program administrators who must decide how to utilize evaluation. The authors differentiate between *mandatory* evaluations requested by funding agencies, evaluation that may result from pressure of *public criticism*, and *internal evaluation* aimed at improving the program. This is not a technical book on the evaluation methods for meeting these three needs. Instead, it is a brief (140 pages) and readable attempt to prepare administrators to participate meaningfully in planning for program evaluation. To this end the book discusses:

- The different kinds of evaluation
- The dilemmas one confronts in evaluation
- When to use evaluation consultants for evaluating different stages of program development.

The third point alludes to the idea of differential evaluation, or matching evaluation objectives and techniques to stage of program development. Each stage has its own objectives, and at each stage there are objectives that relate to program effort, effectiveness, and efficiency. At the stage of *program initiation*, the objectives are to secure the necessary resources for recruiting program clients and implementing program services. At the stage of *program contact*, the objectives are to bring together the program content and an appropriate clientele. At the stage of *program implementation*, one attends to the objectives that are closest to the ultimate program goals. The authors give examples of effort, effectiveness, and efficiency objectives at each of these three program stages.

The authors then present a snapshot of common evaluation techniques. For each they describe the procedure, its uses and costs, and list relevant references. The three procedures discussed are listed below:

1. Monitoring Techniques
 - Accountability audits
 - Administrative audits
 - Time-and-motion studies
2. Social Research Techniques
 - Experiments
 - Surveys
 - Case studies
3. Cost-analytic Techniques
 - Cost accounting
 - Cost-benefit analysis
 - Operations research

The final chapter discusses the use of consultants for various time-limited evaluation tasks. It may be as important to use a consultant to decide whether to evaluate a program, or how to select the evaluator, or how to prepare to negotiate a contract with the evaluator, as it is to bring in a technically competent evaluator for the evaluation itself. Tripodi et al. point out that a consultant may as often be inside as outside your organization, and they discuss the pros and cons of inside versus outside consultants for various evaluation tasks.

Weiss, C.H. *Evaluation Research: Methods of Assessing Program Effectiveness*. Englewood Cliffs, N.J.: Prentice-Hall, 1972.

This book presents program evaluation as the application of research methods to the evaluation of social programs. The basic theme is that evaluation uses the methods and tools of social research but applies them in an action context that is intrinsically inhospitable to them. The book assumes that the reader has some acquaintance with basic research methods and skims rather lightly over the mere technical aspects of measurement and design. Yet those who embark on evaluation with training only in traditional research methods often bog down in the complexities of the action setting. Therefore the book sets out to introduce the reader to "the realities of evaluation life."

The book is the shortest of those reviewed in this chapter, with just over 150 pages. It is intended for introductory courses in evaluation at either the graduate or undergraduate level, or as a supplementary text in courses on research methods. It would also be a sensible first book for service professionals who want an overview that emphasizes summative rather than formative evaluation. The major chapter topics are: purposes of evaluation, formulating the question and measuring the answer, design of evaluation, the turbulent setting of the action program, and utilization of evaluation results.

Zusman, J., and Wurster, C.R., eds. *Program Evaluation: Alcohol, Drug Abuse, and Mental Health Services*. Lexington, Mass.: Lexington Books, 1975.

This is an edited selection of invited papers that were written for a conference held in the spring of 1974. Under the sponsorship of the Alcoholism, Drug Abuse, and Mental Health Administration of DHEW, a planning panel nominated a group of people to be invited to provide their perspectives on various aspects of program evaluation. The chapters vary, some taking the perspective of large scale, summative evaluation efforts, while others take the more common formative evaluation perspective that is an on-going part of program management. The chapter entitled "Evaluation in Relation to Policy and Administration" by Carol Weiss discusses this distinction directly and might be a good place to start reading in the book. For the reader concerned primarily with formative evaluation (or the use of

evaluation in administration, in Weiss' terms), the chapters written primarily from this perspective are those by Smith, Fishman, Morrison and Sundel, Hargreaves et al., Kiresuk and Lund, Gardner, and Hargrove. The book is of moderate size (about 300 pages). The 18 chapters and their authors follow:

I. Theory and Overview

Evaluation in alcohol, drug abuse, and mental health programs: Problems and prospects. D. Mechanic
Evaluation: State of the technical art. D.M. Wilner
Quick reference outline of recent evaluative work. E.B. Gold

Techniques of outcome evaluation in alcohol, drug abuse, and mental health programs. S.B. Sells
Evaluation research in mental health: Lessons from history. A. Levine and M. Levine

II. Evaluation in Practice

Comprehensive approach to evaluation and community research. P. Sainsbury

The ideal and the real: Practical approaches and techniques in evaluation. W.G. Smith

A California five-county cost-effectiveness study. M.R. Hanson

Development of a generic cost-effectiveness methodology for evaluating the patient services of a community mental health center. D.B. Fishman

Development of a community assessment strategy for program evaluation in a comprehensive human services delivery system. B.J. Morrison and M. Sundel

III. Evaluation Techniques Applied to Individual Fields

Current applications of evaluation. W.A. Hargreaves, C.C. Attkisson, M.H. McIntyre, and L.M. Siegel

Alcoholism evaluation overview. D.G. Patterson

Federal evaluation and project performance. S.J. Mushkin

Process and outcome measurement using Goal Attainment Scaling. T.J. Kiresuk and S.H. Lund

IV. Crucial Issues in Evaluation

Responsibilities and rights of the evaluator in the evaluation of alcohol, drug abuse, and mental health programs. E.A. Gardner

Evaluation in relation to policy and administration. C.H. Weiss

Training for evaluators. P. McCullough

Evaluation in alcohol, drug abuse, and mental health programs: The service administrator's view. E.A. Hargrove

END