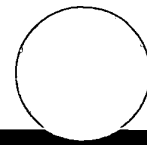




U.S. Department of Justice
Law Enforcement Assistance Administration



MF-1

Criminal Justice Planning and Management Series

Volume 4

Criminal Justice Evaluation Course:

79362
-79364

U.S. Department of Justice
National Institute of Justice

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material has been granted by Public Domain

U.S. Department of Justice
to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

1

2



3

4

5

6



7

8

9

10



11

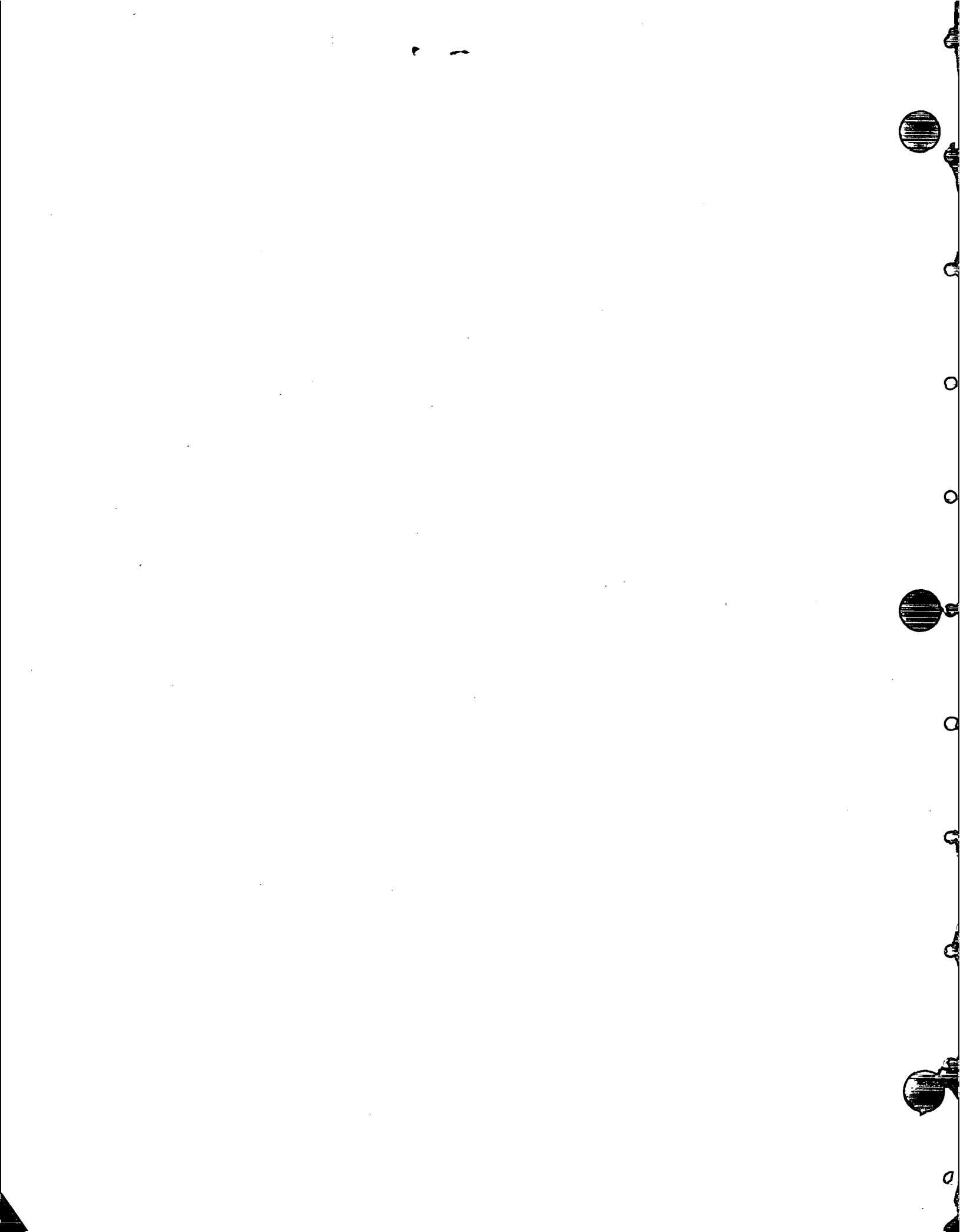
12



Criminal Justice Planning and Management Series

Volume 4

Criminal Justice Evaluation Course: Instructor Guide

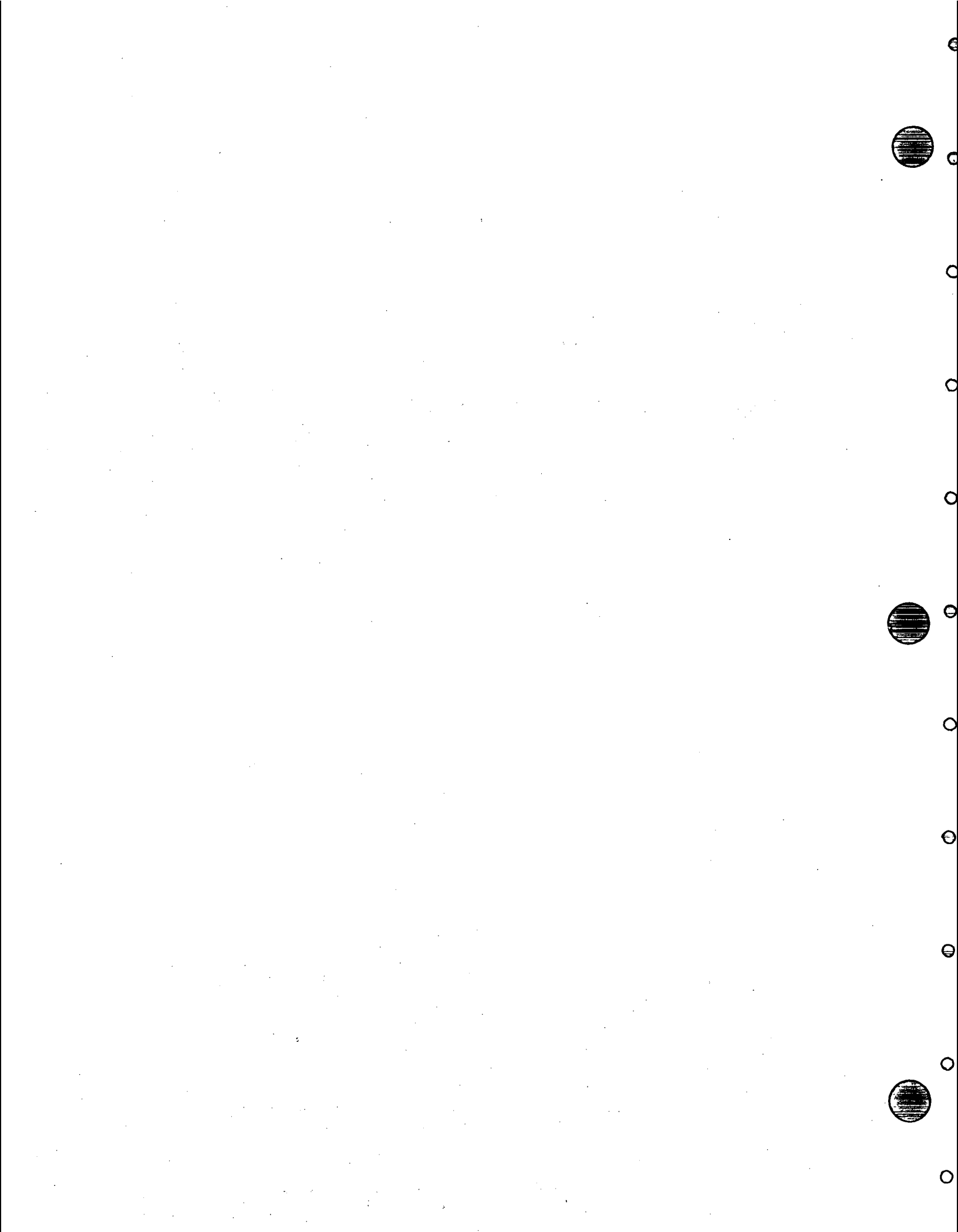


SEP 24 1981

TABLE OF CONTENTS

ACQUISITIONS

| | |
|-------------|---|
| MODULE 1: | INTRODUCTION TO EVALUATION |
| WORKSHOP A: | APPLICATION: EVALUATION PRACTICES |
| MODULE 2: | DETERMINING PROJECT LOGIC |
| WORKSHOP B: | DETERMINING PROJECT LOGIC |
| MODULE 3: | DETERMINING EVALUATION TYPES, DESIGNS, AND THREATS |
| MODULE 4: | PROJECT MONITORING DESIGNS |
| WORKSHOP C: | APPLICATION: PROJECT MONITORING |
| MODULE 5: | PROCESS EVALUATION DESIGNS |
| WORKSHOP D: | DESIGNING A PROCESS EVALUATION |
| MODULE 6: | DESIGNS FOR IMPACT ASSESSMENT |
| WORKSHOP E: | DESIGNING AN IMPACT ASSESSMENT |
| MODULE 7: | COLLECTION, ANALYSIS, AND INTERPRETATION OF EVALUATION DATA |
| MODULE 8: | PLANNING AN EVALUATION |
| WORKSHOP F: | DEVELOP AN EVALUATION PLAN |



Module 1
Introduction To Evaluation

OBJECTIVES

At the conclusion of this segment, the participants will be expected to:

1. Define project evaluation.
2. Identify the role of evaluation in the project planning and development cycle and show how evaluation relates to the general planning process model.
3. Understand the basic structure of the evaluation planning process.

LECTURE NOTES

1. Definition of evaluation.

- 1.1. Dictionary defines evaluation as: the process of ascertaining the value or amount of; appraising carefully. For this course, we define evaluation as: a systematic way of establishing the value and impact of a project.
- 1.2. People sometimes refer to planning and evaluating programs or projects, without making any precise distinctions. But in le/cj, a distinction between program and project is usually made.
 - 1.2.1. Program refers to a set of related efforts designed to address a particular problem under a common, general authority (e.g., all efforts directed at reducing juvenile delinquency would constitute a region's juvenile delinquency program).



1.2.2. Project refers to a specific planned intervention in a site or sites which addresses all or some aspects of a program (e.g., special counseling for status offenders, development of a group home network, and assignment of big brothers/sisters to juvenile offenders are all projects which are part of a juvenile delinquency program).

1.3. In this course, we will be concentrating on an approach to evaluating individual projects or specific types of intervention.

1.3.1. Evaluating projects tests different facets of programs.

1.3.2. Evaluating projects provide evidence of cumulative effects in different settings and times.

2. Project evaluation has two basic parts: describing the project and probing for cause-effect relationships among the elements of a project.

2.1. First, evaluation describes the project in sufficient detail so that its important elements and underlying logic are clear.

2.1.1. A description of both what is done (project events) and the effects is important for establishing value.

2.1.2. Relevant events may be features of the program or extraneous events that might affect results

2.1.3. Relevant effects may be desired results and outcomes or unanticipated consequences.

2.2. Second, evaluation examines cause-and-effect relationships, or the linkages and connections among the project's events and effects.

2.2.1. Some relationships are very simple, and very little evaluation effort is required to demonstrate cause-and-effect (e.g., funds are given to purchase riot helmets;

riot helmets are purchased).

- 2.2.2. But some relationships are very complex, and considerable evaluation effort is required to demonstrate cause-and-effect (e.g., aftercare services are provided for juvenile offenders to reduce recidivism; recidivism goes down).

- 2.3. Establishing the value of a project is not easy because it has to be done in the "real world."

- 2.3.1. Many things are happening all at once

- 2.3.2. Many events can effect the results, favorably or unfavorably.

- 2.3.3. The world will not stand still while we describe events and determine relationships

3. Evaluation terminology varies.

- 3.1. The terms used in this course were chosen because they often appear, but you may have another name for what we mean or our word may mean something else to you.

- 3.2. Project evaluation is an evolving technology, which has roots in many fields.

- 3.2.1. There are many conflicting ideas about project evaluation because many different people are contributing ideas.

- 3.2.2. Many of its ideas came from the logic of scientific experiments, from the methods of economics and engineering, from the desire to standardize and compare products and processes in industry, and from the need to measure effectiveness by the military.

- 3.2.3. Problems can be viewed differently by evaluators with different backgrounds (e.g., a lawyer and a sociologist).
- 3.2.4. For these reasons, different "experts" use different terminology, and different methods, and approach evaluation differently.
- 3.2.5. One purpose of this course is to aid in standardizing evaluation terms, at least in the le/cj system.
- 3.2.6. Even within fields like le/cj a continuous refinement of terms and methods is taking place
- 3.3. Different terms are used in evaluation to describe the same thing. For example:
 - 3.3.1. Process evaluation may be called mid-level evaluation, formative evaluation, short-term evaluation, or developmental evaluation.
 - 3.3.2. Impact assessment is also known as summative evaluation, long-term evaluation, or outcome evaluation (note: a glossary of terms of this course is provided at the end of the participant guide).
- 4. One important characteristic of project evaluation is that it informs decisions.
 - 4.1. Practical project decisions have to be made at different times.
 - 4.1.1. Whether to fund a project.
 - * is the problem severe enough?
 - * will the gains be worth the cost?
 - 4.1.2. Whether to continue supporting a project.

* is it progressing satisfactorily?

* do changes have to be made?

4.1.3. Whether to institutionalize a project.

* is the impact satisfactory?

* should the idea be used elsewhere?

4.2. Evaluation is the gathering, processing, and interpreting of information needed to inform these decisions, to answer the decision-maker's questions.

4.3. Without information, decision-makers can only guess how a project is operating and what results it is yielding; or guess that these results are due to the project and not other causes.

4.4. There is no need for information if no decision will be made, or if that information will not contribute to a pending decision (e.g., we are not likely to evaluate what happens when we replace a town's only police vehicle after it was destroyed by a flood).

5. There are several important reasons evaluation is performed in the law enforcement/criminal justice system.

5.1. Evaluation can provide feedback information to project managers so projects can stay on the track of accomplishing their goals and objectives.

5.2. Evaluation can be used to provide information to decision-makers as to whether a project appears to be accomplishing its objectives.

5.3. Evaluation can be used to determine whether the theory underlying a project is correct, i.e., does deinstitutionalization of status offenders reduce juvenile delinquency? This provides information on goal attainment.

- 5.4. Evaluation can be used to answer research questions and to test hypotheses. Evaluation research can add to the body of knowledge concerning criminal justice.
- 5.5. Evaluation can be used to promote accountability in the spending of tax dollars. The public should have some feedback on what public officials are doing with tax dollars. Money should not be wasted on projects which have no effect on reducing crime or making the system operate better.
- 6. Another important characteristic of evaluation is that it is future-oriented.
 - 6.1. Information about a project is helpful when it allows decision-makers to do something about the project in the future.
 - 6.1.1. What is past has already happened, and no decisions are going to change that; the funds already spent on a bad idea are gone (e.g., Baltimore's effort to reduce crime by offering to purchase any and all hand guns got them a lot of guns but no evident reduction in crime).
 - 6.1.2. Sometimes it is possible to decide how to repair a faulty project, or expand one that is working, or discontinue one that isn't succeeding; but these decisions are about the future, decisions as to what will be done next.
 - 6.2. Although evaluations can add to our confidence about project decisions, they cannot predict the future with certainty.
 - 6.2.1. Too many variables can affect project results, including some we know nothing about and some that have not yet happened.
 - 6.2.2. Past results are never perfect predictors of the future (as many "sure-thing" horse bettors know).

7. The role of evaluation in the project development cycle.

7.1. Evaluation interacts with and contributes to the project (and program) development cycle in a number of important ways. Understanding these different roles and functions helps to understand why the evaluation function should be considered an integral part of the total process and not something that is "tacked on" at the end of that process.

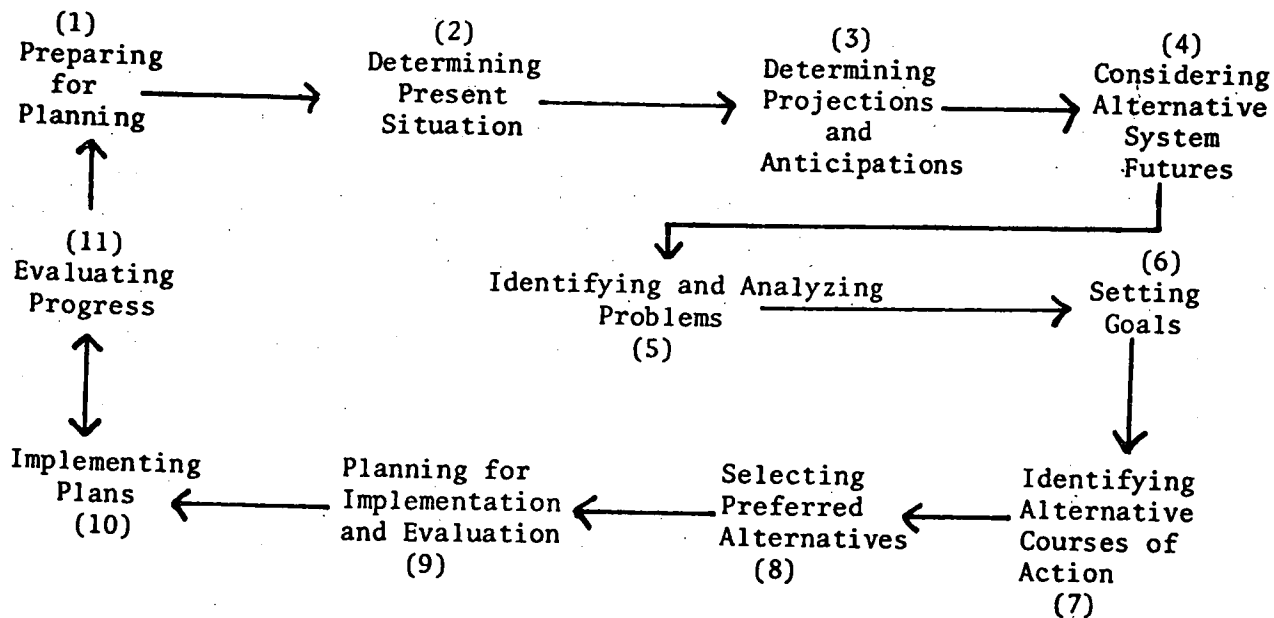
7.2. Since the planning process is at the heart of the project (or program) development cycle, a look at that process will help to establish the need for the integration of evaluation in all aspects of the development cycle.

8. The general planning process model.

8.1. It is based on the model used in the planning course.

8.2. It will serve to illustrate the relationships between the evaluation, analysis and planning as well as show the special inputs of the various evaluative functions and activities.

8. The General Planning Process Model.



General planning model here

(note: the following points are made with reference to the visual, using the numbered steps as indicated.)

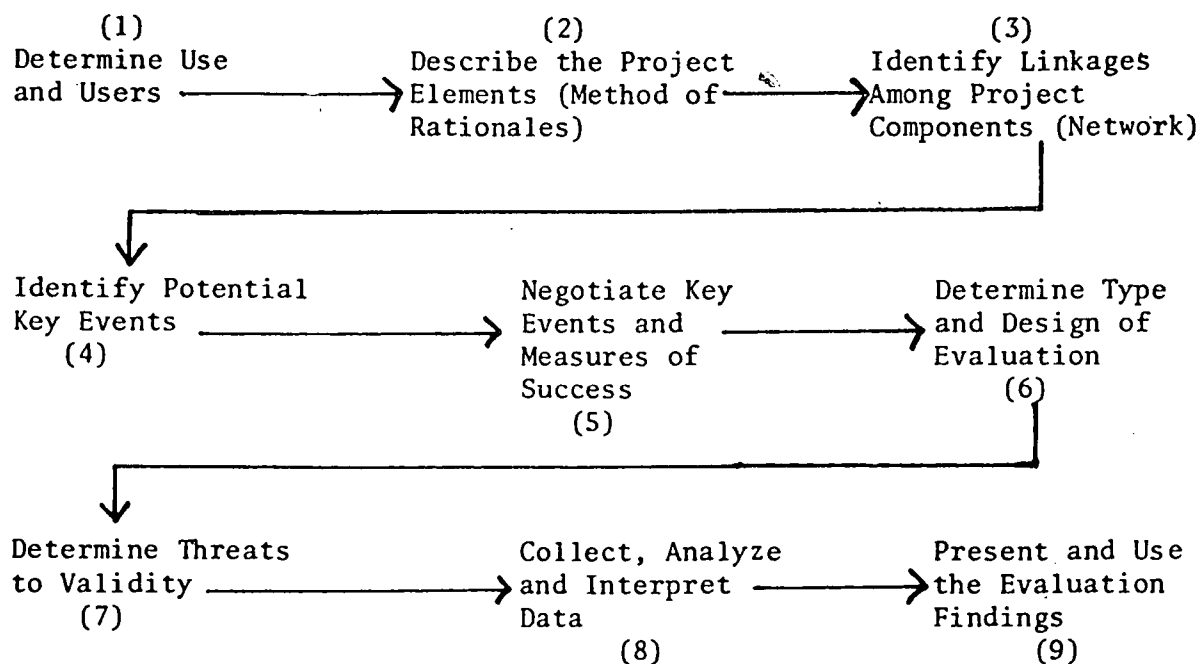
8.3. Note that the first four steps of the planning model should use whatever evaluative results may be available to the planners.

8.3.1. Local programs and projects that "work" ought to be considered for assimilation; those that do not ought to be dropped (steps 2, 3, and 4).

- 8.3.2. Programs and projects that have proven successful elsewhere would be additional sources of evaluative inputs to the planning process.
- 8.3.3. In short, the planning process starts from a basis of prior knowledge to avoid repeating mistakes and to take advantage of proven successes.
- 8.4. Second, note that the evaluative input also feeds into steps five, six, and seven--"identifying problems," "setting goals," and "identifying alternative courses of action."
- 8.4.1. The notion that every project should be formulated in measurable terms so it could be evaluated is a good reason to have an evaluator involved as early as possible in the planning process.
- 8.4.2. The way in which a problem is initially defined and formulated has much to do with how it would be determined whether or not the problem was "solved".
- 8.4.3. Many evaluation difficulties start at step 5, with inaccurate, imprecise, and ambiguous statements of the le/cj problem.
- * the analysis course deals precisely with this issue--how to define a meaningful le/cj problem correctly, using appropriate quantitative and qualitative techniques of analysis.
- 8.4.4. Evaluative input also helps ensure that goals and objectives set for the project are measurable (step 6).
- 8.4.5. Well-designed evaluation efforts follow naturally from well articulated and defined problems and project goals.

- 8.4.6. Results from evaluations of similar projects can be very helpful throughout this process, especially in identifying alternative approaches to the achievement of project or program goals (step 7).
- 8.5. The third place in the model where evaluation plays a role is in steps 8 and 9.
 - 8.5.1. Evaluation activities should be part of the project planning process.
 - 8.5.2. The resources expended in implementing a project should include those required for its evaluation.
 - 8.5.3. Decisions as to the type of evaluations to be done and the methods to be used to carry out evaluation are most usefully made early, when problems can be identified and alternatives can be considered.
- 8.6. The fourth points of contact is at step 10, where the project or program is being implemented.
 - 8.6.1. Since one of the most important functions of evaluation is to improve ongoing projects, the connection between steps 10 and 11 is shown in this version of the model as a two-way interaction.
 - 8.6.2. The evaluative function is closely tied to the operational aspects of a project, and is not an independent, external assessment "after the fact".
- 8.7. The fifth and final role for the evaluative function in the total project/program development cycle is related to the institutionalization process.

- 8.7.1. This is the area that is most often seen as the "proper" function of evaluation.
- 8.7.2. The essential questions to be answered are--"should the project be modified and re-tested, should it be transferred or institutionalized or should it be dropped"?
- 8.7.3. We have now completed the cycle but it does not end here, it simply re-cycles using the new knowledge gained to help in the continued planning and project development process.
- 8.8. To review the role of the evaluation function in the project development cycle:
 - 8.8.1. Evaluation functions interact with all other planning, development and implementation activities.
 - 8.8.2. Evaluation has its own cycle of planning, implementation and application.
 - 8.8.3. Evaluation planning starts early in the overall planning cycle.
 - 8.8.4. Implementation of the evaluation plan begins when the project begins.
 - 8.8.5. Application of evaluation results feeds into the decision process, both short-term (modification of ongoing projects and institutionalization of projects just evaluated) and longer-term (planning for future projects).

STEPS IN PROJECT EVALUATION

Course model goes here

9. At this point the evaluation model and course structure will be introduced and discussed. The model presents a series of steps which, when followed, complete the process of planning and carrying out an evaluation. The model is not necessarily strictly linear but it serves as an organizing device.

- 9.1. Determine use and users: this is an important first step in evaluation and has been covered earlier in this module.
- 9.2. Describe the project elements(method of rationales): this step will be covered in detail in module 2.
- 9.3. Identify linkages among project components (network): in this step the logic behind the project is more fully explored. It is covered in module 2.
- 9.4. Identify potential key events: this step begins the narrowing of the focus of the evaluation. It is covered in module 2.
- 9.5. Negotiate key events and measures of success: this step involves interaction between the evaluator, project staff, and decision makers. It is discussed in module 2.
- 9.6. Determine type and design of evaluation: once the initial steps have been completed the evaluation can be designed. This topic is first introduced in module 3 and then is covered in detail in modules 4,5, and 6.
- 9.7. Determine threats to validity: this step and the one preceding it are interwoven. Validity threats are introduced in module 3 and then are dealt with more fully in modules 4,5, and 6.
- 9.8. Collect, analyze, and interpret data: this step essentially deals with implementation of the evaluation. It is covered in module 7.
- 9.9. Present and use the evaluation findings: this is the final step in the evaluation process. The final module, module 8, covers this and details the evaluation planning process.

10. Instructor note: information on the current law enforcement assistance administration evaluation requirements should be discussed next.
11. Summary: the following points should be stressed.
 - 11.1. Evaluation is a systematic way of establishing the value and impact of a project.
 - 11.2. Evaluation is only worth doing when it supplies useful information to aid decision makers.
 - 11.3. Evaluation should be an early and integral part of the planning process.
 - 11.4. Evaluation has its own cycle of planning and development.



Workshop A
Application: Evaluation Practices

OBJECTIVES

At the conclusion of this segment, the participants should be able to:

1. Describe their evaluation practices relative to those in other jurisdictions and/or agencies.

2. Identify similarities and differences between their own roles and those of counterparts in other units and to identify strengths and weaknesses of their various evaluation approaches.

LECTURE NOTES

1. Preparation.

1.1. Read the objectives of workshop a out loud to the class. (note: a major "hidden" objective of this session is to provide instructors with an opportunity to note the backgrounds and skill levels of participants. This session also provides the participants a chance to get to know each other and develop a basis for participation for the remainder of the course.).

1.2. Ask class to read the introduction section (shown below) in their participant guides.

INTRODUCTION

The purpose of this session is to provide an opportunity to discuss the role of evaluation in the le/cj system and to allow you and your fellow participants to compare

evaluation terminologies, roles, and structures in your own jurisdictions. You will be divided into smaller groups for this session. Each group will make a report to the class on the results of its discussion.

An additional objective of this activity is simply to encourage you to get to know other course participants and begin to feel comfortable in contributing your questions and comments throughout the remainder of the course.

The instructor will go over each of the following steps with you before you begin. All of these steps except the last one are done in your small groups. Now is the time to clear up any difficulties you might have.

-
- 1.3. Ask the class to read over the workshop steps (shown below) and answer any questions. All steps except the last one are done in the small group setting.

-
2. Step one. Read descriptions of evaluative activity in other jurisdictions which have been assigned by the instructor.

- 2.1. Read over the descriptions assigned. These were compiled at the first annual meeting of spa evaluators, held in seattle on april 20-21, 1977, and published by the national conference of state criminal justice planning administrators (taxonomy of evaluation in the leaa state planning agencies by jack o'connell, june, 1977). The format has been changed somewhat from the published version but the content is essentially the same.

- 2.2. These descriptions are provided to suggest some of the elements that might be included when you begin to describe evaluation in your own jurisdiction, as well as to illustrate the variation in roles, terminologies, and structures in the le/cj system.

- 2.3. Note: spend about 5 minutes reading the assigned descriptions.
3. Step two. Describe evaluation in your jurisdiction on the worksheet provided (column one).
 - 3.1. Fill in the items about evaluation in your jurisdiction on the worksheet provided. Even if your own jurisdiction was one of the assigned descriptions, you may need to update the information provided and you will have to supplement the description in some areas.
 - 3.2. These notes are for your own use during the group discussion and will not be reported individually to the class. Do not be concerned if you are not sure about all the characteristics of your jurisdiction.
 - 3.3. Note: spend about 10 minutes on this step.
4. Step three. Discuss each of the items included in the worksheet.
 - 4.1. As a group, discuss the items on the worksheet in turn, considering the similarities and differences among the jurisdictions represented in your group.
 - 4.2. A second column has been provided on the worksheet for you to record comments about other jurisdictions, if you wish.
 - 4.3. As you discuss the items, where appropriate, try to point out the strengths and weaknesses of the approaches in your own jurisdiction as compared to other jurisdictions.
 - 4.4. Note: spend about 45 minutes on this step.
5. Step four. Prepare for presentation to group.
 - 5.1. Develop a 10-minute presentation which summarizes the similarities and differences among jurisdictions represented in your group, as well as any strengths and limitations of various approaches which were identified in your discussion. Organize your presentation around the items which were presented in the worksheet.

5.2. You can divide up the presenting task any way you wish.

5.3. Note: try to complete this step in 15 minutes.

6. Step five. Make presentation to class.

6.1. There will be an instructor-led class discussion after each presentation.

7. Select and assign five jurisdiction descriptions from among those provided in the participant guide. The participants should wait until they break into small groups to read the assigned descriptions.

8. Break the class up into small groups.

8.0.1. Make groups roughly equal in size.

8.0.2. If possible, avoid placing participants from the same organization or jurisdiction together

8.0.3. Assign a facilitator to each group.

8.0.4. Set a specific time for the groups to re-convene and make their presentations. (about 45 minutes should be reserved for this activity).

9. Application exercise in small groups

A facilitator should be with each group.

9.0.1. Confine your remarks to helpful guidance

9.0.2. Encourage them to keep on schedule.

9.0.3. Try to ensure that all participants get an opportunity to contribute to the discussion.

10. Class presentations and de-briefing

10.1. Each group would have about 10 minutes to make its presentation.

10.2. Each presentation should be followed by instructor comments and class discussion.

10.2.1. The instructor should use this opportunity to emphasize and reinforce important points made in the presentations, as well as to correct any errors or misconceptions.

10.3. The following points may require emphasis in the instructor critiques.

10.3.1. The variability of terminologies, evaluator/monitor roles, and structures across jurisdictions.

10.3.2. The diverse ways in which monitors/evaluators make inputs to the decision-making process.

10.3.3. The different roles evaluators play in making recommendations. To decision-makers.

10.3.4. The strengths and limitations of alternative evaluation approaches.

10.3.5. The relationship of evaluation activities to the project planning, development, and implementation cycle.

(note: a copy of the jurisdiction descriptions and the worksheet appear in the participant guide and the appendix of the instructor guide).



Module 2
Determining Project Logic

OBJECTIVES

At the close of this segment, the participants will be expected to:

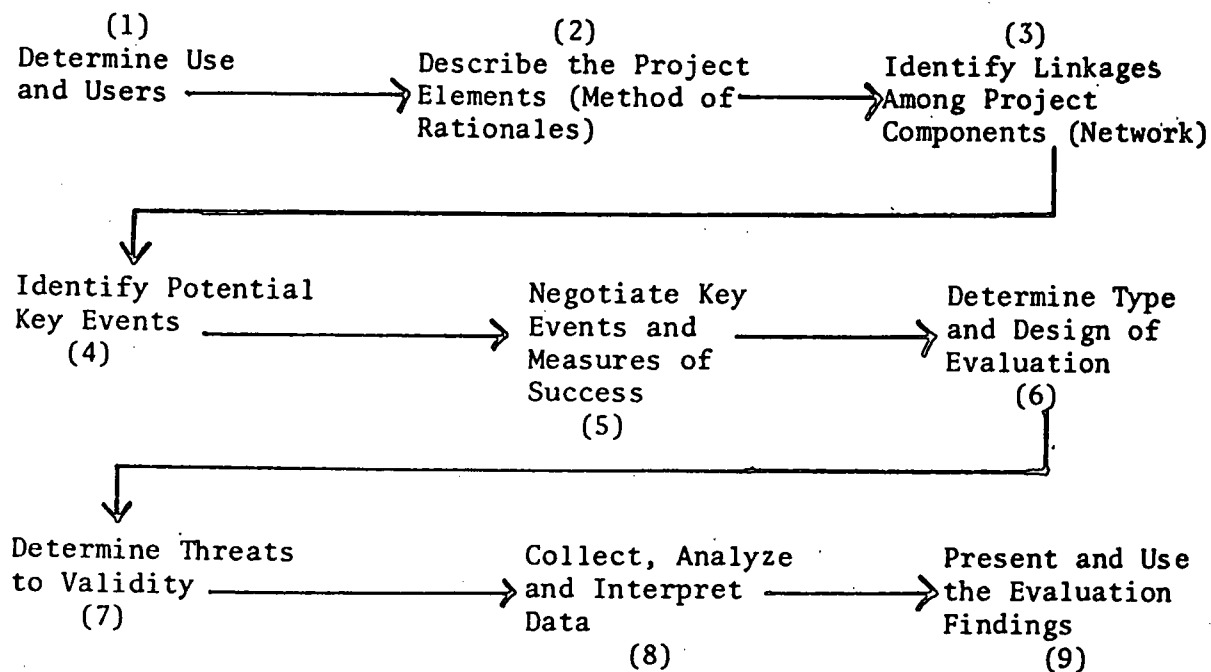
1. Understand the importance of the environment and context within which the project operates and the evaluation will be done.
2. Be able to use the method of rationales to describe a project.
3. Be able to network the logic of a project.
4. Be able to identify potential key events and formulate evaluation questions based on key events.

LECTURE NOTES

1. The structure of this segment and its role as an overview of the following concepts in evaluation. (at this point the course model is presented again. The instructor should point out what steps this module covers.)

Criminal Justice Evaluation

STEPS IN PROJECT EVALUATION



course model goes here

- 1.1. Exploring the logic of a project in order to determine the points at which an evaluation can be conducted in order to attribute causality is the central focus of this segment. (note: use the visual from module 1, steps in project evaluation, to show what is covered in this segment as an overview and the specific segments where the concepts are covered later on).
- 1.2. Key concepts which will be introduced:
 - 1.2.1. Project/evaluation environment.
 - 1.2.2. Method of rationales as a means to categorize project.
 - 1.2.3. Networking as a means of understanding the logic behind a project.
 - 1.2.4. Key events identification as a means of selecting project aspects to become the focus of the evaluation. Negotiation as a means to secure agreement on measures of project success.
2. An important starting point in evaluation is assessing the project and evaluation environment.
 - 2.1. Projects usually exist in a real world setting not in a laboratory.
 - 2.1.1. Because of this it is important for the evaluator to understand the project's history.
 - 2.1.2. The evaluator should understand the project's setting in the criminal justice system.
 - 2.1.3. The evaluator should understand the target users of findings.
 - 2.2. Most evaluations exist in a real world context.
 - 2.2.1. The evaluator should identify decision points and time evaluation reports to coincide with them.

- 2.2.2. The evaluator should identify the information needs of potential users and ensure that evaluation reports address those information needs.
- 2.2.3. The evaluator should identify the uses of evaluation.
- 2.3. The evaluator should be aware of the constraints related to conducting project evaluations.
 - 2.3.1. Decision-makers needs for information often exceed that which can be reasonably expected from an evaluation.
 - 2.3.2. Evaluation resources are often limited.
 - 2.3.3. The ability to time evaluations to coincide with the need for information often presents difficulties.
 - 2.3.4. The political context of many evaluations may strain the objectivity with which evaluation results are viewed.
- 3. The logic behind any change project can be described in a convenient way beginning with the "method of rationales."
 - 3.1. A "rationale" means an underlying reason: the logic that step one will lead to step two, or that event a will cause event b.
 - 3.2. The method of rationales divides the project components into a series of categories.
 - 3.3. Any number of categories can be used, but it is helpful to have at least four.
 - 3.4. The four project categories we use are: inputs, activities, results, outcomes.
 - 3.5. Organizing the components of a project in this way is an essential first step for evaluation.

4. The first category: inputs.

4.1. Project inputs are all the ingredients needed to bring about a change, the resources that have to be applied, the "new things" added to an ongoing state-of-affairs.

4.1.1. Some will have to be added, like new personnel, laboratory equipment, additional office space, or street lighting.

4.1.2. Some will already exist but have to be modified to suit the project's needs, like providing training for personnel, new procedures for conducting investigations, or revising existing agreements with other cj agencies.

4.1.3. Some will already meet project needs but have to be assembled for this specific purpose, like the services of a community employment agency, a vocational training facility that could be used by juveniles, or a computer program for analyzing court delays.

4.2. Project inputs often are not implemented all at the same time, they can be considered to be the nouns of the project.

5. The second category: activities.

5.1. Activities are the operations of the project, its processes, what is done with the inputs, how they are applied in a working setting.

5.1.1. With people inputs, project activities usually are concerned with their assignments and with what they do, like the responsibilities given to police recruits during a period of field experience or the activities of witness counselors assigned to a court.

- 5.1.2. With equipment and facility inputs, project activities usually are concerned with the use made of them, like the utilization of a half-way house for released offenders or the distribution of films from a crime prevention film library.
- 5.1.3. With procedural inputs, project activities usually are concerned with their implementation, such as the effort made by uniformed officers to collect witness statements or the ease in shifting to a four-day work week for prison guards.
- 5.2. Activities often are complex and frequently involve more than one input. They can be considered to be the verbs of the project.
 - 5.2.1. Many treatment projects, for instance, specify different rehabilitation services for individual offenders based on their needs.
 - 5.2.2. Many crisis-oriented projects, for instance, reach the activity stage only under special circumstances such as a riot or the taking of hostages.
- 5.3. Example: a burglary prevention project may involve instructing private citizens, intensive patrolling in certain areas, marking valuable property, and a vigorous prosecution of burglars.

6. The third category: results.

- 6.1. Results are the short-term effects of intended activities, what happened as a result, what was accomplished by what was done.
 - 6.1.1. Sometimes results are in terms of system operations, such as the number of arrests made or a reduction in response time to an accident scene.

6.1.2. Sometimes results are in terms of client services, such as the number of parolees placed in jobs or the degree of satisfaction expressed by victims toward the handling of their cases.

6.2. Almost always, results are aspects which most people would view as positive accomplishment, as an "end" as well as a "means" to some more global goal (e.g., reduction of crime).

6.3. Example: the implementation of a prison furlough project is not a result, but improved inmate cooperation and reduced divorce rates for inmates would be. Example: completion of 40 hours of crisis intervention training by police officers is not an immediate result, but a reduction in assaults against officers answering calls would be.

7. The fourth category: outcomes.

7.1. Outcomes are the long-range effects sought by the project, the expected ultimate goals.

7.1.1. Most outcomes are some variation of the three main objectives of the le/cj system:

- * reducing crime
- * IMPROVING THE QUALITY OF JUSTICE
- * IMPROVING THE EFFICIENCY OF THE SYSTEM (conserving resources, saving money).

7.1.2. Outcomes can be crime-specific (reducing auto thefts), victim-specific (protecting the elderly), or offender-specific (reducing recidivism).

7.1.3. Long-range outcomes often cannot be fully measured within the span of any one project, but it usually is possible to see whether everything is going in the right direction.

- 7.2. Any one project may contribute to an outcome, but no one project is likely to produce it by itself; this is particularly true the more comprehensive and more distant the expected outcome is.
- 7.3. Outcomes may not always be intended or anticipated. Because the components of the criminal justice system are interrelated, what occurs in one segment has an impact on what occurs in other segments. For example, a project designed to rapidly clear up a court backlog to improve the quality of justice may result in the unanticipated consequence of severely overloading the correctional system.
8. Desk exercise: have participants fill out the desk exercise. Be prepared to discuss differences of interpretation and stress that there is no one necessary "right" answer. The column headed "what is the specific measure of 'success'" will be filled out later in the module.

8. Desk Exercise on the Method of Rationales.

Directions: Read the project description given on the left hand column and for each of the components. Fill in the information in the second column only.

| Project Description | Is this an input, activity, result or outcome? | Measures of success? |
|--|--|----------------------|
| 1. The project consists of three restitution counselors to be hired by the juvenile court. | _____ | _____ |
| 2. To reduce recidivism of juvenile offenders | _____ | _____ |
| 3. To provide restitution to 200 victims of juvenile crime. | _____ | _____ |
| 4. To develop restitution plans for 200 juvenile offenders referred from court. | _____ | _____ |
| 5. To arrange face-to-face negotiation meetings between victims and offenders. | _____ | _____ |
| 6. To increase the juveniles' sense of accountability and responsibility. | _____ | _____ |

NOTES:

9. The next step in developing an evaluation approach is linking the project categories through networking.

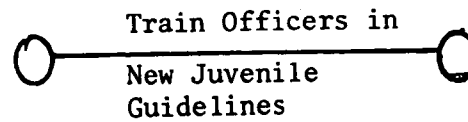
9.1. In order to establish the logic of the project, the connections between and among all the parts of the project identified in the method of rationales must be known.

9.2. These connections can be shown diagrammatically very succinctly using the following procedures:

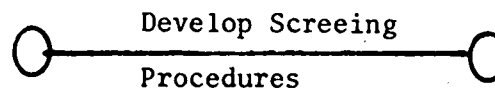
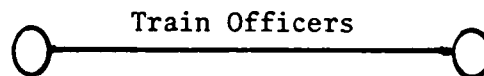
9.2.1. Each activity can be shown with the following symbol:

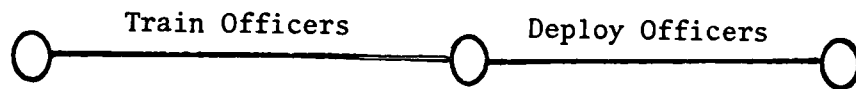


on the line is written the name of the activity. The first circle shows the beginning of the activity and the second shows the completion of the activity.

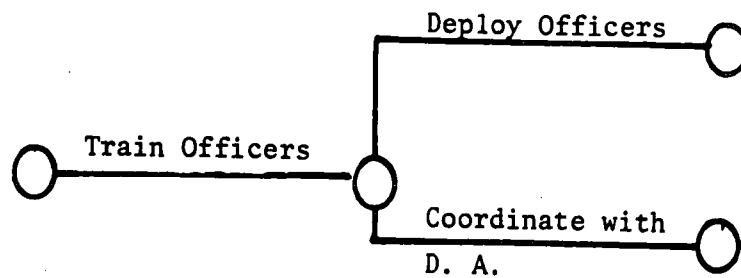


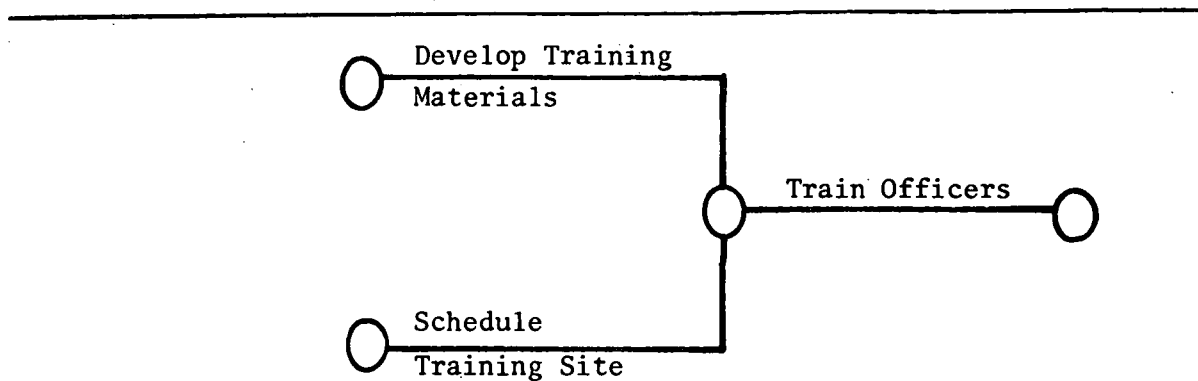
9.2.2. Some activities are independent and can be conducted simultaneously. They are shown as follows:





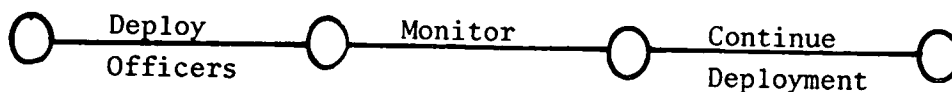
- 9.2.3. Some activities are dependent on other activities and, therefore, must be conducted in series. They are shown in one of the following ways:



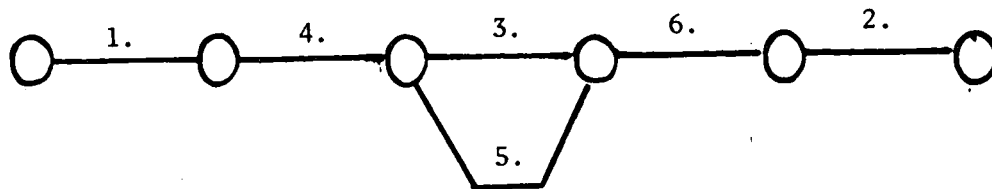


9.2.4.

Activities which are set in motion early in the project, continue throughout the project, and are to be monitored or evaluated periodically can be shown as follows:



- 9.2.5. Thus, monitoring and evaluation can be scheduled into the project.
- 9.3. All inputs listed in the method of rationales should be accounted for, i.e., in use, somewhere in the network of activities.
- 9.4. The achievement of results or outcomes listed in the method of rationales should be observable at certain points in the diagram.
- 9.5. All projects, no matter how complex, can be shown by combining these symbols into network diagrams.
10. INSTRUCTOR NOTE: use the mor exercise earlier presented to reinforce the concepts of network diagramming.
- 10.1. Refer participants back to previous desk exercise on method of rationales.
- 10.2. Participants should establish project linkages among the six project components.
- 10.3. Diagram can be on the bottom of the mor worksheet.
- 10.4. One possible diagram is as follows:



10.5. Anticipate questions.

- 10.5.1. Is the diagram above the only correct approach? No.
- 10.5.2. Can activities and results occur simultaneously? Yes.
- 10.5.3. Does restitution depend on face to face meeting? Maybe

10.6. Debriefing comments (numbers refer to original desk exercise).

- 10.6.1. Activity 4 depends on input 1.
- 10.6.2. Result 3 depends on successful completion of activity 4.
- 10.6.3. Activity 5 depends on activity 4 (in the sense that 4 most likely occurs first).
- 10.6.4. Result 6 depends on result 3 and activity 5.
- 10.6.5. Outcome 2 depends on result 6.

- 10.7. In this example each of the 6 project components may be considered key events because of the limited detail in the project design. However, there might be some discussion about whether activity 5 is a key event, especially given the equivocating wording of the activity on the work sheet.
11. Identifying key events is the next step in developing an evaluation or monitoring approach.
- 11.1. Since seldom can an evaluation consider all the elements of a project (that is, all the linkages between and among the inputs, activities, results, and outcomes), some selection process must usually occur to identify those which are to be considered during the evaluation. Key events, therefore, are those aspects of a project which are determined to be the focus of the evaluative effort.
- 11.2. Potential key events may be identified through an examination of the network diagram of the project's logic. The evaluator, by examination, may determine that certain linkages are essential to achieving the project's outcome. For example, an operation id project which has an outcome of crime reduction may have as an activity the purchase of property markers. Without the purchase of these markers the project cannot succeed. Therefore, the purchase of the markers becomes a potential key event. Examination may also reveal that some linkages are more important than others.
- 11.3. Key events may also be identified through negotiation among the evaluator, decision makers, and project personnel. Gaining agreement on the key events (or key event, since some projects may have only one aspect considered worth examining) to be evaluated may involve the following considerations:
- 11.3.1. Importance: the event is an essential and important aspect of the project or its objectives and/or the accomplishment of the event is of interest to decision-makers.

- 11.3.2. Timeliness-information on the event will be available soon enough for use in making judgements about the project, especially policy and resource allocation decisions.
- 11.3.3. Precision-the event can be measured with accuracy and changes calculated with confidence.
- 11.3.4. Resources-data on the event can be collected and processed without undue staff time and cost.
- 11.4. Key events may also be selected based on the professional judgement
- 11.5. Formulating evaluation questions is essentially a process of asking whether key events actually occurred and whether some element of the project "caused" some desirable effect. A way to answer evaluation questions is to negotiate measures of success.
- 12. Negotiation should occur regarding the measures of success of a project. Measures of success are specific amounts (or procedures for determining the specific amount) of a key event that is sufficient for project development or success.
 - 12.1. For each key event to be evaluated, you need to know how to determine whether or not the event was carried out as planned.
 - 12.2. Measures of success establish the standard against which to determine this (note: the term "performance objectives" is used by some to describe project activities to distinguish them from the term "objectives." The latter typically is associated with the results and/or outcomes of a project. No distinction is made in this course. Do not let the participants become hung up on terminology here, i.e., performance objectives vs objectives, since the important point is to communicate the need to establish specific standards related to project activities by whatever name.).

- 12.3. Vague or fuzzy measures lead to difficulties later because of their subjective interpretations.
 - 12.3.1. For example, the need to provide counseling "on demand" needs to be objectified into a specific definition of "on demand" (e.g., 12 hours, 3 hours, 2 days, etc.).
 - 12.3.2. Failure to do this opens the door to "after the fact" interpretations that can mask real problems.
- 12.4. A good measure makes three things explicit:
 - 12.4.1. What is expected (quantified if possible).
 - 12.4.2. When it is expected
 - 12.4.3. Conditions under which it is expected.
- 12.5. Making up numbers to satisfy the need for "objectivity" does not meet the needs of this requirement.
 - 12.5.1. The evaluator may want to try to determine the rationale behind certain statements to see if they are based on any kind of realistic assessment of what is achievable vs what sounds good in a grant request.
 - 12.5.2. There is a natural and understandable tendency to let enthusiasm for the project blur over common sense and this leads to impossible measures that may well portend the project's "failure" even before it starts.
- 12.6. A range of values is frequently more realistic than is fixed values.
 - 12.6.1. If 75 clients are supposed to be processed by october 15th, would 73 be considered a failure or problem and, if not, what would?

- 12.7. Be sure to get the appropriate concurrence from others (like project director, spa grants people) that the final statement of what constitutes "compliance" or "success" or "problem" is acceptable and if not, how it should be changed.
- 12.8. At this point have participants use the various mor categories in the desk exercise to list measures of success for each specific element.
- 13. Identification of key events and measures of success is achieved through examination of project logic and the network diagram, a consideration of the environment of the project, the purpose/ use of the evaluation, negotiation with interested parties and through professional judgement.
- 14. Module summary.
 - 14.1. This module deals with skills that are important first steps in developing an evaluation plan.
 - 14.2. The method of rationales enables a categorization of project components so that the logic of the project can be ascertained.
 - 14.3. Network diagrams allow the components identified through the method of rationales to be linked in a logical fashion.
 - 14.4. Identification of key events to be evaluated allows the evaluation to focus on those elements either essential to project success as discovered by networking or of special interest to decision-makers or project personnel.
 - 14.5. Determining what measures of success are for a certain key event allows the evaluator to further focus his/her efforts.

Workshop B Determining Project Logic

OBJECTIVES

This segment is an exercise that is aimed at developing competence in completing the first phase of evaluation for a given project--that of describing a project in order to understand its logic. The skills to be mastered are:

1. Applying the method of rationales to a project.
2. Specifying the logical linkages among the components(network).
3. Identifying potential key events.
4. Establishing evaluation questions and measures of success.

LECTURE NOTES

1. Purpose of workshop.

In this segment participants will practice applying the method of rationales to typical le/cj project descriptions. Understanding and describing the logic behind social change projects should be a major emphasis. Participants will also specify the logical linkages among the components (network) and identify potential key events.

The workshop consists of three parts. First, you will demonstrate the method during a walkthrough, explaining each of the steps in the process and answering any questions. Second, participants will apply the method themselves, working in small groups of 6-8. Third, the groups will present their work to the entire class.

2. Preparation.

2.1. Read the objectives for workshop b out loud to the class.

2.2. Summarize method or rationales. Although there is no actual lecture for this segment, it may be helpful to introduce the material with a very brief review of the following points that were presented in module 2.

2.2.1. The method of rationales

- * provides a way to understand the logic behind any change project.
- * divides the project logic into a series of components: inputs, activities, results, and outcomes
- * is an essential first step for program evaluation.

2.2.2. There is nothing "magic" about the method of rationales--it is the way of describing and understanding project logic in this course

- * some people use slightly different schemes.
- * some people divide project logic into more than four components.

2.3. Note: at this point, it would be wise to advise the participants that in this and all exercises, they are to critique and evaluate the work of the people who have stated a logic of the project. They should avoid redesigning projects or discussing whether the project itself is "good" or "bad".

3. Ask the class to read the introduction section of their participant guide.
4. Walkthrough. Have the participants read over step one in their guide and then read the materials as directed.
 - 4.1. Ask participants to read step two and then turn to their completed worksheets for the status offender project.
 - 4.2. Walk through the exercise by showing the visual of the completed worksheet and going through the items under each heading for each step.
 - 4.2.1. Emphasize that it is not necessary to work from left to right, filling in inputs first, then activities, etc. Many people prefer to work from right to left, or at least start with the results or outcomes and work back
 - 4.2.2. Answer questions as they arise.
 - 4.2.3. Try to spend no more than 15 minutes on the walkthrough to reserve the bulk of the time for the workshop activity.
 - 4.3. Have the participants read steps three, four, and five (below) before breaking up into small groups and answer any questions.
 - 4.4. Break up into small groups.
 - 4.4.1. Each group should have a facilitator.
 - 4.4.2. Set a specific time for groups to reconvene and debrief (allow a half hour for debriefing).
 - 4.5. Workshop exercise.
 - 4.5.1. Facilitators should not do the groups' work for them, but should clarify instructions or misunderstandings.

- 4.5.2. Emphasize that the project description should be taken as a given. This is not an exercise in critiquing a project description.
- 4.5.3. Encourage the group to stay on schedule.
- 4.5.4. Note: at least one hour should be devoted to this workshop stage.

5. Class presentation and debriefing.

- 5.1. Participants should be reassembled to review their results from the exercise. You have several options for presenting each group's results:

- 5.1.1. One group may present a complete worksheet representing their solution and the other participants may add to it.
- 5.1.2. The various groups may take turns filling in a portion of the worksheet (i.e., inputs, activities, etc.).
- 5.1.3. You also may present a visual of a completed worksheet which was compiled by an experienced evaluator and allow participants to comment and make revisions.

- 5.2. Critique and discuss the class presentations. In your remarks you may wish to re-emphasize:

- 5.2.1. The use of the method of rationales as a descriptive tool and as a first necessary step in project evaluation.
- 5.2.2. The distinctions among inputs, activities, immediate results, and outcomes

STATUS OFFENDER PROJECT

| | INPUTS | ACTIVITIES | RESULTS | OUTCOMES |
|---------------------------|--|---|--|--|
| STATED | <ul style="list-style-type: none">• Personnel<ul style="list-style-type: none">• director• manager• counselors• cook/house housekeeper• Appropriately equipped home• Supplies and materials | <ul style="list-style-type: none">• Routine care and supervision• Treatment, education, and recreational services• Utilization of community resources | <ul style="list-style-type: none">• Placement of clients | <ul style="list-style-type: none">• Eliminate institutionalization of status offenders |
| IMPLIED/ UNANTICIPATED | <ul style="list-style-type: none">• Screening arrangements | <ul style="list-style-type: none">• Arranging placements | <ul style="list-style-type: none">• Improved adjustment | <ul style="list-style-type: none">• Acceptable costs |

| WORK RELEASE PROJECT | | | | |
|---------------------------------|--|---|---|---|
| | INPUTS | ACTIVITIES | RESULTS | OUTCOMES |
| STEP ONE: Stated | <ul style="list-style-type: none"> • Personnel • Linkages between jail and employers and social service agencies | <ul style="list-style-type: none"> • Screen prisoners for eligibility • Develop individual rehabilitation plans • Supply counseling and job readiness training, either directly or by referral • Supply job placement services • Monitor prisoners on work release | <ul style="list-style-type: none"> • Placement of prisoners in jobs while serving sentences • Reduction of jail population • Better reintegration of prisoners | <ul style="list-style-type: none"> • Reduction of recidivism |
| STEP TWO: Implied/Unanticipated | <ul style="list-style-type: none"> • Criteria for acceptance and dismissal from program • Linkages between program and prisoners' families • Additional labor required to process prisoners in and out of jail each day | <ul style="list-style-type: none"> • Conduct termination proceedings for prisoners who violate conditions of work release • Develop a "budget" for each prisoner | <ul style="list-style-type: none"> • Reduction of jail costs • Improved supervision of jail • Reduction of prisoners' families requiring welfare support | |

6. Note: participant guide begins here.

INTRODUCTION

During this segment you will practice applying the method of rationales to an actual criminal justice project. First, however, the method will be demonstrated for you.

The method of rationales is used to set out the logic of a project in an organized way so as to make monitoring and evaluation possible. Important components of a project usually are presented in the proposal, but sometimes they are not. All of these components have to be identified, however, to determine what should be examined for assessment purposes, and to obtain agreement on which inputs, activities, results, and outcomes are the most critical for project success. Use this framework to identify significant project components.

After the demonstration, you will have a chance to apply the method of rationales to the exercise in a small work group.

During this workshop, we want to emphasize the logic behind social change projects. Identifying key project components is more important than how you categorize them, since classification questions can usually be resolved with the project staff when the method of rationales is applied.

The materials you will need for this segment (example, exercise, instructions, and worksheets) follow.

7. Step one read the example project description and the instructions for applying the method of rationales.

7.0.1. Read through the description and the instruction sheet.

7.0.2. The project description provided here, like the project materials you will encounter throughout the course, has been abstracted from information on a "real world" project. There are many details about the project that purposely

have been omitted. They are not critical to your task.

- 7.0.3. You may not agree with the logic of the project, or the way it has been described, or the way its objectives have been stated. (you often may encounter this situation on-the-job, as well.) it should not prevent you from completing the exercise, which consists of applying the method of rationales, networking, identifying potential key events, stating evaluation questions, and specifying measures of success for a typical (although simplified) project document.

PROJECT NARRATIVE

A GROUP HOME FOR STATUS OFFENDERS

- 7.1. I. PROBLEM STATEMENT. The need for assistance is as follows:

7.1.1. Approximately 3500 juveniles are adjudicated for status offenses each year in the country. Most are placed on probation or otherwise returned to the community. However, during the past three years, 121, 160, and 78 juveniles were committed to institutions.

7.1.2. Institutionalization for status offenders seems to be ineffective. Among those who were released in the past three years, there were 143, 150, and 136 instances of recidivism, including several who were returned more than once.

- 7.1.3. As part of the state's alternate residential environment for offenders, a residential center will be created to reduce the number of status offenders sent to institutions to zero.

7.2. II. OBJECTIVES. The objectives of this project are:

- 7.2.1. To divert all status offenders referred by the youth bureau or the family court as potential institutional commitments to an alternate residential setting.
- 7.2.2. To facilitate prompt re-entry of the child into his community--whether the child returns to his own home, the child is placed with relatives or foster parents, or the child is able to reenter society on his or her own.
- 7.2.3. To reduce recidivism among status offenders by 40% during a 3-year period following release.

7.3. III. IMPLEMENTATION PLAN. The tasks to be performed are:

- 7.3.1. To rent and prepare a home with the necessary kitchen facilities, furniture, and office equipment, suitable for housing up to 15 status offenders at any one time.
- 7.3.2. To provide food, laundry and related services to clients.
- 7.3.3. To provide 24-hour supervision, formal counseling and casework services, basic educational tutoring, and a comprehensive recreational program to clients in a physically, nonsecure setting.

- 7.3.4. To utilize existing community resources and volunteer involvement for health care, social activities, and other services.

7.4. IV. STAFFING. The following staff will be required:

- 7.4.1. A house director
- 7.4.2. A house manager
- 7.4.3. A full-time counselor
- 7.4.4. Two part-time counselors/tutors
- 7.4.5. A cook/housekeeper.

The house director will be responsible for staff coordination, the development of treatment plans, and day-to-day supervision of the residents. The director will live at the home.

The house manager will be responsible for food service, housekeeping, maintenance, and other administrative duties. The manager also will live at the home and substitute for the director in his or her absence.

The counselors will be responsible for carrying out the treatment, educational, and recreational programs.

INSTRUCTIONS:

APPLYING THE METHOD OF RATIONALES

7.5. Point one: describe the project in terms of the inputs, activities, results, and outcomes indicated in the project application or working description.

7.5.1. Do not infer or assume any aspects beyond those indicated in the application.

7.5.2. What are the intended inputs identified in this description? What are the activities, the results, the outcomes?

- * you may wish to begin with inputs or with outcomes. The order is not important, as long as you work through the project description to identify the specifics in each category.

- * where you classify specific entries is less important than identifying them. Evaluators may disagree on whether an element is best considered a result or outcome, for example. These questions can usually be clarified with the project staff.

7.5.3. Entries should be described as exactly as possible.

- * use observable terms where you can (e.g., in terms of concrete things or overt behavior).

- * incorporate detail where you can.

7.6. Point two: identify possible implied and unanticipated elements or components.

7.6.1. After the inputs, activities, results, and outcomes have been laid out from project descriptive information, it may become apparent that some important elements have not been identified. An evaluator needs to analyze the project to see what was overlooked, since these omissions

might strongly influence the project.

- 7.6.2. Implied project components may be identified by looking for "gaps" in the project description. For example, if an activity involves transporting clients, then an implied input must be vehicles or an agreement with the public transportation authority.
- 7.6.3. "unanticipated" project elements often are possible consequences of a project--results or outcomes--which have not been identified or expected by planners or project personnel but later may become evident to observers and/or staff. For example, if a police project hopes to produce an immediate result of increasing arrests for burglary, an unanticipated immediate result may be an increase in court backlog. Often, but not always, the evaluator can identify some of these possibilities in advance through examination of project logic and discussions with decision-makers.
- 7.7. Point three: network in order to identify the logical links within the project and select the key events central to the project's development. After the logic of a project has been described in detail it is necessary to decide upon those linkages among the inputs, activities, results, and outcomes most crucial for a project's development.
- 7.8. Point four: use specific logical linkages, among two or more projected events, to formulate three evaluation questions based upon identifiable key events and a measurable success criteria. One question should examine a linkage between inputs and activities; another--activities and results; and the third--results and outcomes.

8. Step two. Walk through the example with the instructor.

8.1. Turn to the completed worksheet for the status offender project. This has been prepared by an experienced evaluator, but note that there is no one "right answer." Evaluators may differ somewhat in how they complete the method of rationales, although we would expect their overall results to be similar.

8.2. Follow along as the instructor walks through the process of completing the worksheet. Now is the time to ask questions if you are not clear about the steps in applying the method of rationales or about differences among inputs, activities, results, and outcomes.

9. Step three: in a small group workshop, apply the method of rationales, complete a network diagram, and identify potential key events that could lead to preliminary evaluation questions. These tasks are based on the project description supplied in the participant guide.

9.1. Read the exercise description of the project provided. Remember that this description is based on "real world" project documents and may not be perfect. However, sufficient information is presented to complete the exercise.

9.2. Proceed to apply the method of rationales to the description, complete a networking diagram, and formulate three preliminary evaluation questions based upon identifiable key events and their measurable success criteria (measures of success) following the steps set out in the instruction sheet.

10. Step four: prepare for presentation of results.

10.1. Prepare the worksheets on the project provided for presentation to the class. You may be asked to present your worksheet or some portion of it to the class, or to comment on and supplement the worksheet of another group

10.2. Decide who will be group spokesperson in the class presentation.

10.3. Note: spend about 10 minutes preparing for the presentation

11. Step five. Participate in presentation of results.

11.1. Contribute your group's results as directed by the instructor.

11.2. An instructor-led critique and discussion will follow the presentation of results.

12. Note: a completed mor is provided in this instructor guide for a work release project. This project description and all necessary worksheets appear in the appendix. At the discretion of the instructor another project description might be substituted as long as it is an abstract for a real project.

Module 3
Determining Evaluation Types, Designs, And Threats

OBJECTIVES

At the conclusion of this segment, the participants will be expected to:

1. Describe the three types of evaluation. Identify the specific evaluation types and characterize designs to be applied in project evaluation.
2. Distinguish between descriptive and comparative designs.
3. Identify the treats to validity which may limit confidence in evaluation findings.

LECTURE NOTES

This segment begins with the types of evaluation. The type of evaluation chosen depends on the need for information. This course defines three types of evaluation: monitoring, process evaluation, impact assessment.

1. Project monitoring: the first type of evaluation.

1.1. Project monitoring is concerned primarily with describing inputs and activities and with tracking the relationships between inputs and activities.

1.1.1. It also describes the accomplishment of milestones throughout the project's life.

1.2. Project monitoring is a form of evaluation because:

- 1.2.1. It consists of describing events and examining causal relationships.
- 1.2.2. It is used to inform decision-making.
- 1.3. Project monitoring usually requires little investment because:
 - 1.3.1. The questions it is directed at are not usually difficult to answer.
 - 1.3.2. Most of the information needed is readily available (i.e., no special measures normally have to be developed).
- 1.4. Typical questions asked for monitoring purposes include:
 - 1.4.1. Is the project operational?
 - 1.4.2. Is the project on schedule?
 - 1.4.3. Does the schedule need to be revised?
 - 1.4.4. Do the standards for staff and equipment need to be changed?
 - 1.4.5. Is there evidence of any serious problem in the management or staffing of the project?
 - 1.4.6. Is technical assistance needed?
 - 1.4.7. Is it reasonable to expect the project to be successful?
 - 1.4.8. Are resources being used as intended? Are they adequate?

2. Process evaluation: the second type of evaluation.

- 2.1. Process evaluation is concerned with describing inputs, activities, and results, and with analyzing the causal relationships among them.

- 2.2. Process evaluation also involves the documentation of project experience for use in replications.
- 2.3. Conducting a process evaluation is more demanding than project monitoring, because:
 - 2.3.1. It requires more investment than project monitoring.
 - 2.3.2. It examines more remote results than project monitoring (e.g., does docketing more cases result in more cases being heard?).
 - 2.3.3. It is concerned with more complex interactions than project monitoring in terms of the numbers and kinds of causes and effects to be examined.
 - 2.3.4. Some of the information needed may have to be specially collected.
- 2.4. Typical questions asked for process evaluation purposes include:
 - 2.4.1. Are the inputs and activities sufficient to produce the desired results?
 - 2.4.2. Do changes need to be made? Where and how much?
 - 2.4.3. How can the project be made more efficient? What operations and procedures should be changed? What project strategies and techniques should be added or dropped?
 - 2.4.4. Should the project be continued?
 - 2.4.5. How much are various project operations costing?

3. Impact assessment: the third type of evaluation.

3.1. Impact assessment is concerned with describing inputs, activities, results, and outcomes, and with determining causal relationships among them.

3.2. Conducting an impact assessment is more demanding than process evaluation, because:

3.2.1. It examines more complex results than process evaluation (e.g., does hearing more cases result in an improved quality of justice?).

3.2.2. It is concerned with more complicated interactions than process evaluation.

3.2.3. Much of the information needed may have to be specially collected.

3.2.4. The conditions affecting the satisfactory transfer of the program to other settings need to be identified.

3.3. Typical questions asked for impact assessment purposes include:

3.3.1. Did the project accomplish its objectives? Why or why not?

3.3.2. What effect did the project have on the broader le/cj system?

3.3.3. Should a similar project be instituted elsewhere?

3.3.4. How does the project approach compare with other strategies?

3.3.5. Did the project results confirm its underlying theory or add to the body of knowledge?

3.3.6. Should the project be institutionalized?

3.3.7. What benefits were received at what costs?

4. Identifying appropriate evaluation questions.

- 4.1. There is no single set of questions that must be addressed in every evaluation.
- 4.2. Questions should be based on the project logic:
 - 4.2.1. Mor.
 - 4.2.2. Project objectives.
 - 4.2.3. External performance standards.
 - 4.2.4. Professional judgement.
- 4.3. Specific questions asked depend upon the information needed:
 - 4.3.1. Who is asking about the project?
 - 4.3.2. What decisions will be affected by the evaluation information?
- 4.4. Evaluation questions usually ask about the relationship between two or more key events.

5. Evaluation questions and attributing causality.

- 5.1. Whatever type of evaluation is used, evaluation is concerned with identifying, measuring, and interpreting causal relationships.
- 5.2. Most project evaluation is based upon the causal argument because the purpose is to determine whether the project produced the expected change, that is, did the project "cause" the "effect."
- 5.3. Most evaluation concerns identifying and interpreting logical relationships.
- 5.4. Project evaluation is based upon the causal argument of the form did "x" cause "y".

- 5.5. Evaluation designs are used to probe these causal relationships.

NOTE: the following sections on designs are repeated in later modules because of their use with the different types of evaluations. Instructors should be careful to coordinate presentations so that repetition serves to create proper emphasis and to enhance the learning process and not to become overly redundant.

6. Characteristics of descriptive designs.

- 6.1. DEFINITION: a descriptive design is a method of examining the relationships among and/or between project inputs, activities, results, and outcomes in a systematic, logical, non-inferential fashion using case-by-case analysis of events and/or clients.
- 6.2. These designs are one method of examining causal relationships among the components of a project.
- 6.2.1. It is a systematic, logical approach.
- 6.2.2. It is a non-statistical approach:
- * non-statistical in the sense that inferential statistics not commonly used.
 - * can involve numbers, percentages, ratios.
- 6.3. Descriptive designs can be used with all projects.
- 6.3.1. Is used when only the project is available to evaluate; no other comparison groups available.
- 6.3.2. Useful for exploratory analyses of projects.

- 6.3.3. Useful when data are "messy" and more rigorous procedures impossible.
- 6.3.4. Useful when in-depth analysis of project effects on limited cases or individuals is wanted.
- 6.4. Attributing causality with descriptive designs consists of offering explanations reasonable people would agree upon as being probable.
 - 6.4.1. Descriptive designs usually attempt to answer different questions than evaluation designs which rely on statistical tests.
 - 6.4.2. Descriptive designs are subject to evaluator's judgement and bias.
 - 6.4.3. The use of descriptive designs require that the evaluator ask "what else could have caused this result?" "what alternative explanations are there?"

7. Characteristics of comparative designs:

- 7.1. DEFINITION: a comparative design is a method of examining the relationships among and/or between project inputs, activities, results, and outcomes when control/comparison groups, pre-project baseline measures, or project groups receiving differing amounts or types of treatment are available for inclusion in the analysis. They encompass a variety of designs ranging from experimental to quasi-experimental to pre-experimental.
- 7.2. These designs represent a second method of examining causal relationships among project components.
- 7.3. They rely on structuring comparisons between differing amounts of a single treatment, between a treatment and no treatment, or between different treatments.

8. Some types of comparative designs are used when the evaluation is based on only certain information from the project itself, when the focus is on within project variability.

8.1. Unlike a descriptive design, these designs often involve an understanding of basic statistics and statistical analysis.

8.2. These within project variability designs are particularly beneficial under certain conditions.

8.2.1. Projects which have no comparison or control groups to assess differences in effects.

* for example, project clients cannot be compared with a similar group of clients not receiving the project "treatment"

8.3. Within-project variability can show up at all stages of a project.

8.3.1. Inputs--e.g., staff varies in years prior experience, amount of education.

8.3.2. Activities--e.g., counseling sessions vary in length, training can be given at different stages of one's career.

8.3.3. Results--e.g., some inmates stay enrolled in college course, parolees get different kinds of jobs.

8.4. These designs depend on the notion of variation among project components, on the notion of "more or less" to analyze relationships.

8.4.1. Example: does the fact that inmates have "more or less" education have any effect on the length of time they spend in counseling?

8.4.2. Example: what is the relationship between age of police officers and turnover rate?

8.5. Knowing how strongly different project variables are associated with one another may give evidence of what is working well in a project and what needs improvement.

8.5.1. Example: assume a correctional institution was interested in the relationship between age of inmate (an input) and completion of college courses offered by the education division (activity). If it were found that inmates under 25 years old tend to complete college courses, and inmates 40 years old or more do not, the prison education division could revise their approach to appeal more to younger inmates.

9. Within-project variability (i.e., "more or less") can be analyzed to show strengths of project relationships or the effects of differences in project relationships.

9.1. If interest is in strength of relationship, we want to know the degree to which one project variable (e.g., hours of counseling) is related to another project variable (e.g., number of disruptive behavior incidents).

9.1.1. Relationships can be high or strong (e.g., as hours spent in counseling change so do the number of disruptive incidents). This relationship might be positive (i.e. As counseling hours increase so do disruptive incidents) or negative (i.e., as counseling hours increase disruptive incidents decrease).

9.1.2. Relationships can be low (there is no apparent relationship between hours of counseling and number of disruptive incidents).

9.1.3. Note: to illustrate the above points, the instructor might want to draw on the board scattergrams.

9.2. If interest is in differences in project relationships, we want to know if different amounts of one project variable (e.g., inmate education level) is associated with different amounts of another project variable.

9.2.1. By separating the effects associated with different amounts of a variable, we can get information to help decide how to change a project

10. Characteristics of other comparative designs.

10.1. Other comparative designs can be applied when certain conditions exist.

10.1.1. Project has some other comparisons or control groups to be compared against.

* for example, success of public defenders who received special training vs a similar group not so trained.

10.1.2. Project has more than one treatment group, for example in a juvenile delinquency prevention project, some youths receive counseling while others receive tutoring.

10.1.3. Some kind of pre-project baseline data exist which can be compared with post-project performance.

* for example, success of public defenders before training vs success after training.

11. This group of designs is often classified by degree to which they meet standards of experimental, scientific research. They make use of information outside the project itself, (i.e., pre-project data and/or comparison groups) and attempt to examine such information systematically.

12. Threats to validity.

12.1. NOTE: the following information should be treated mainly in a summary fashion since participants will get more detail on the threats in conjunction with later modules.

12.2. Definition: a threat to validity is an explanation (other than project activities) for the observed effects.

12.3. A threat to validity also can be referred to as an "alternative explanation" for the apparent effect of the project or as a "rival hypothesis".

12.4. The more validity threats present, the less certain one can be about the attribution of causality.

13. Importance of threats to validity.

13.1. Threats to validity that are not controlled or ruled out with additional analysis can undermine the usefulness of evaluation information.

13.2. Threats to validity can result in incorrect information being used in decision-making.

13.3. Most designs have one or more weaknesses that reduce their effectiveness.

13.3.1. A weakness in a design is called a threat to its validity

13.3.2. A threat can be internal or external.

13.3.3. Internal threats relate to the results obtained from the study itself.

13.3.4. External threats relate to the ability to generalize those results to other audiences, settings and situations.

13.4. Internal threats to validity.

13.4.1. These are critical to all evaluations and are most specifically related to comparative designs. There are many types of threats. We will cover here only some of the more common ones.

13.4.2. Each threat can be thought of in terms of a statement of a rival hypothesis to be the one being examined.

13.4.3. (note: encourage class participation in going through the threats. Make use of a visual.)

13.4.4. History.

- * events external to project that can exert an influence on results.

- * very potent in some types of le/cj research.

- * other interventions being carried out in the same community can be very contaminating "histories" for your own study.

- * rival hypothesis is, "results were not caused by the intervention but by event x."

- * only a comparable control group can provide a real answer to this threat.

13.4.5. Maturation.

- * people and institutions change over time and such changes can be mistaken for the impact of the intervention.

- * studies involving juveniles are particularly prone to such a threat.

- * rival hypothesis is "it would have happened anyway if you had not done anything."
- * the correction is to have a comparable control group that would also show such "growth" if it is maturation.

13.4.6. Testing.

- * when measurement involves the active participation of only one group, a "testing" effect may occur that will contaminate the intervention effect.
- * people may act differently as a result of being measured--maybe positively and maybe negatively.
- * rival hypothesis is "the impact obtained was artificially created by the data collection activity in the experimental group and not by the intervention".
- * one answer is to use the same tests and measures on the control group, which is most often done anyway.
- * another answer that can often be used in social action studies is to use existing records or other unobtrusive ways of getting the data or information, so there is no testing effect to worry about.

13.4.7. Statistical regression.

- * a threat based on the fact that "nature" does not like extremes and will revert, by itself, to a more normal condition.
- * a city with a way below average crime rate one year will probably be higher next year and vice versa.

- * the rival hypothesis would sound like "things are so bad they had to get better," or its opposite.
- * putting street lights in the highest crime areas of a city may be susceptible to this threat.
- * the answer again lies in having a control group that will show whether a change in the experimental group was a "real one" or not.

13.4.8. Selection.

- * this threat is directly related to the randomization process.
- * random assignment to control and experimental groups is the ideal answer to the threat that the 2 groups are not the same.
- * a group can be randomly assigned to experimental and control and still not be representative of the overall population because it was not randomly drawn from that population.
- * matching can achieve some control over selection but is generally less desirable.
- * if pretest scores are available it is very desirable to match pairs on the basis of those scores and then randomly assign one of each pair to the experimental and one to control.
- * the rival hypothesis is that "the impact was a result of the non-equivalence of the two groups used in the study".

13.4.9. Experimental mortality.

- * if the sample size at the beginning of an impact study is greater than it is at the end, then mortality has occurred.
- * since dropout patterns are not likely to be random, the sample may be quite different from the beginning one.
- * trying to keep the group intact may improve internal validity but lower external, since in the real world the group would change anyway.
- * rival hypothesis would be "no wonder the program looked good--all the bad apples left before it was over.".
- * a comparison or control group that could be modified by removing scores from those who resemble the "leavers" in the experimental group would allow you to partially answer the threat.
- * this is a difficult threat to handle and one should take a clinical look at the cause for the dropouts.

13.5. External threats.

13.5.1. Lack of random selection from the population.

- * makes it difficult or impossible to apply the results to other groups.
- * two samples drawn randomly from a large population are not only equivalent to each other but are equivalent to other samples from that population and to the population as a whole (within the limits of sampling theory).

- * the definition of "population" depends on the scope of the impact study and the generalization to be made, i.e., all juveniles in u.s., juveniles in state a, juveniles in city b, or juveniles in home c.
- * if the population is c, a random selection of c's cannot be generalized to city b, state a or to juveniles in general.
- * is new york city "like" huntsville, alabama?, is huntsville, alabama "like" greenburg, s.c.?
- * is detention home "a" like "b" in terms of key variables like age, sex, socio-economic status of families, ethnicity, etc.?

13.5.2. Lack of realism.

- * efforts to carefully control a study may decrease internal threats to validity but increase external by losing realism.
- * this is a dilemma faced by all social action research-- if you try to use true-experimental designs you may make the study more valid but also more artificial and non-generalizable and if you don't, the results themselves have less validity and are also non-generalizable.
- * some of the better quasi-designs offer the best compromise between valid internal and external findings.

14. Controlling validity threats: there are a number of ways to reduce the likelihood that the outcome of a project is due to a rival hypothesis.

- 14.1. The choice of a design is the key way to control threats.

- 14.1.1. Generally speaking, true experimental designs have the fewest threats, quasi designs the next most and pre-experimental the most.

- 14.2. One can extend project elements over time, randomly assign subjects (project clients, groups, or areas) to different project treatments, or use inferential statistical tests to reduce the level of uncertainty. These will be discussed in more detail later.

15. Module summary: the important concepts of this module should be reviewed at this point. There are three types of evaluation, two categories of evaluation designs, and six commonly considered internal validity threats as well as two important external threats. This progression will be followed as each type of evaluation is discussed in the effort to apply the various designs and eliminate validity threats in the modules that follow.



Module 4 Project Monitoring Designs

OBJECTIVES

Upon completing this segment, the participants will be able to:

1. State the purpose and definition of monitoring evaluation.
2. Determine the characteristics and limitations of descriptive designs as they apply to monitoring evaluation.
3. Determine the characteristics and limitations of comparative designs as they apply to monitoring evaluations.
4. Apply descriptive designs to monitoring evaluation.
5. Identify the threats to validity confounding descriptive designs.

LECTURE NOTES

1. Purpose and definition of monitoring evaluation.
 - 1.1. One of three types of evaluation: the others are process evaluation and impact assessment.
 - 1.2. Project monitoring can be approached in two fundamentally different ways, depending on the type of information that is needed for a decision.
 - 1.2.1. It can emphasize compliance where the focus is whether the project is doing what it said it would and when it said it would.

- 1.2.2. It can emphasize the diagnostic function where focus is on whether inputs are sufficient to produce activities and on ways to make projects better. When project monitoring is viewed as a type of evaluation the diagnostic function is most significant.
- 1.2.3. Information is used to help bring about meaningful changes.
2. This type of evaluation assesses the extent to which project inputs are related to project activities consistent with those that were planned when such knowledge would be of value to those who need the information.
3. The role of project monitoring in informing decisions.
 - 3.1. Monitoring is one type of evaluation.
 - 3.1.1. It is concerned with informing decisions, just as the other types of evaluation.
 - 3.1.2. Although it often is not as complex as process evaluation or impact assessment, it does help improve projects by gathering and interpreting information about them.
 - 3.1.3. Monitoring is not an audit although it may analyze budget information.
 - 3.2. Monitoring primarily is concerned with the first two components of a project.
 - 3.2.1. Those resources needed to get the project underway, or project inputs.
 - 3.2.2. Those processes the project carries out, or its activities (sometimes called accomplishments),

- 3.2.3. And sometimes monitoring data contribute to the analysis and understanding of a project's immediate results and outcomes.
- 3.3. Monitoring is the type of evaluation usually applied early in a project.
 - 3.3.1. Before inputs and activities have stabilized, and when they may require change.
 - 3.3.2. Other forms of evaluation may not be appropriate because immediate results and outcomes are not yet available.
 - 3.3.3. Monitoring information should be directed primarily to the project, and emphasize ways the project can be improved.
- 3.4. The principal purposes of monitoring are to:
 - 3.4.1. Describe what is happening in the project,
 - 3.4.2. Assess whether its inputs and activities are proceeding as planned,
 - 3.4.3. Identify discrepancies that may affect the likelihood of the project's ultimate success, and
 - 3.4.4. Diagnose those problems so that they can be remedied.
- 3.5. This information is needed by:
 - 3.5.1. Project personnel so they can respond to problems and build on their achievements;
 - 3.5.2. Planners and specialists so they can provide any necessary technical assistance or plan subgrant modifications;

3.5.3. Project and program evaluators so they can assemble the important facts about the project from accurate documentation;

3.5.4. Supervisory board members so they can assess how much progress is being made and decide on continuations in an informed way.

4. Project monitoring as an aid to project development.

4.1. The aim of monitoring is to systematically help projects get and stay "on-track".

4.1.1. Monitoring which focuses only on uncovering errors is not very helpful.

4.1.2. Good monitoring helps detect problems before they become serious.

4.1.3. For this reason, it is important for monitors to work with project staff, not on them.

4.2. Some of the problems a project can have are due to poor planning and management.

4.2.1. The budget may be insufficient or the schedule unrealistic,

4.2.2. The project's operators may have too little direction,

4.2.3. There may be poor coordination between the project and other offices or agencies,

4.2.4. There may be an inefficient utilization of resources

4.2.5. There may be a lack of compliance with regulations or grant conditions,

4.2.6. And, above all, there may be a lack of responsiveness to early signs of difficulty.

- 4.3. Other problems a project can have are due to unforseen events.
 - 4.3.1. Sometimes planned inputs will not be available, or delayed or more expensive than expected.
 - 4.3.2. Sometimes planned activities cannot be accomplished because of an unexpected change in policy or newly imposed requirements.
 - 4.3.3. Sometimes the problems to be addressed by the project will be resolved in other ways or have a rapidly diminishing priority.
- 4.4. And still other problems a project can have are due to an erroneous logic.
 - 4.4.1. Projects usually involve a certain amount of risk that if this is done, that will happen.
 - 4.4.2. Projects also are predicated on the idea that something will not happen unless this is done.
 - 4.4.3. Both kinds of assumptions can be wrong.
- 5. The method of rationales can be a useful tool in assisting with a monitoring evaluation.
 - 5.1. The mor aids in laying out the logic of the project.
 - 5.2. Networking links project components, showing their logical relationships.
 - 5.3. Key events define the potential monitoring evaluation questions.
- 6. Key project events and elements are potential monitoring evaluation points and must be related to the needs of those who can use the information obtained.

7. Descriptive designs are used to examine relationships between inputs and activities.

7.1. Most input-activity relationships in most le/cj projects do not need to be examined by a descriptive design or any other evaluation method.

7.1.1. Some are straightforward and obvious (e.g., purchase of new radio and it being used).

7.1.2. Some are not related to significant project objectives (e.g., janitorial service contract).

7.2. Descriptive designs are used to examine input-activity relationships.

7.2.1. When there is doubt that the inputs were sufficient to have produced the activity.

7.2.2. When there is the possibility that the activity could have been produced by something other than the planned input (e.g., something outside the project).

7.2.3. When there is likely to be high interest in a specific input-activity relationship because of cost or because it is essential to the project's service delivery (e.g., are correction officers counseling inmates?).

7.3. Descriptive designs are applied in distinct steps:

7.3.1. First, identify and describe the project's planned inputs and activities.

* accomplished by the method of rationales.

* is always the first step of any evaluation.

7.3.2. Second, identify the intervening events and steps which link specific inputs to their expected activities.

7.3.3. Third, analyze available information to determine whether linkages occurred and judge whether inputs were sufficient to have "caused" the expected activity:

- * causality can never be proved absolutely.
- * with descriptive designs, causal statements are based on explanations that reasonable people would agree as being probable.
- * causal judgments based on the notion that "x" produced "y" and not something else.

7.4. Example: demonstration of descriptive design.

(note: the purpose of this example is to demonstrate how the descriptive designs are applied in examining an input-activity relationship. One specific relationship from the project described below is used to demonstrate the method. A visual can be used to support your demonstration.)

project description. A youth employment project in a large city takes high-school aged juvenile offenders referred to it by juvenile court judges. The project trains the youth in basic job and education skills, provides counseling, and helps them find jobs. A facility with suitable space and educational materials was acquired. Two group counselors, one vocational counselor, and one guidance counselor were hired. The various kinds of counselors perform specific counseling depending upon each youth's needs and background.

The group counselors are to provide group counseling daily to youth with characteristics "x" and "y." Because group counseling is central to the project and is costly, the

project director wants to examine this aspect to ensure it is working as intended.

7.4.1. The input-activity relationship to be examined is group counselors (input) and counseling (activity).

7.4.2. The linkages were identified as below:

- * hiring two counselors with m.a.s and qualified in group counseling.
- * youth with "x" and "y" characteristics only are referred to group sessions.
- * group sessions are led by either group counselor for 30 minutes daily.
- * records of group sessions are filed and signed by either group counselor.

7.4.3. The monitor/evaluator analyzed information to determine if linkages occurred by:

- * checking records to see if all youth at group sessions were "x" and "y"
- * checking if all project "x" and "y" youth are attending sessions
- * interviewing some "x" and "y" youth to verify they were at sessions and if either group counselor led them
- * checking the credentials of the two group counselors to ensure they have proper experience.

7.4.4. The monitor/evaluator's interpretation would vary depending on what was found:

- * if the linkages could be verified for, say, 40 of the 50 "x" and "y" youth in the project, then one could claim that the inputs produced the activity,
- * if the linkages could be verified for, say, 30 of the 50 youth,
- * or if it was found that youth other than those with "x" and "y" received group counseling,
- * or if the vocational and guidance counselors also led group sessions,
- * or if either of the group counselors were not qualified in group work,
- * then claims that the inputs produced the expected activity could not be made with high certainty.

7.5. Descriptive designs facilitate the development of reasonable explanations.

8. Limitations of descriptive designs:

- 8.0.1. Highly subjective
- 8.0.2. Does not control for influence of factors outside the project
- 8.0.3. Cannot be too confident in conclusions drawn.

9. Descriptive designs and validity threats.

- 9.1. Uncontrolled threats to validity undermine the usefulness of the evaluation information.

9.2. Descriptive designs do not control for many of the validity threats discussed earlier. Note the instructor should now deal quickly with the following validity threats in the context of the difficulty a descriptive design has in controlling for them.

- 9.2.1. History
- 9.2.2. Maturation
- 9.2.3. Testing
- 9.2.4. Mortality
- 9.2.5. Regression
- 9.2.6. Selection.

9.3. Threats to validity lead to the question of whether rival hypotheses may account for the observed relationship reducing the confidence in the results obtained.

10. Comparative designs can be used to examine relationships between inputs and activities.

10.1. Most questions about input-activity relationships do not warrant the resources or time needed for within project comparisons.

11. Some comparative designs examine within project variability.

11.0.1. Focuses on whether "more or less" of some project variable has "more or less" effect on another variable.

11.0.2. Usually requires collecting special data.

11.0.3. Often involves interpreting statistics.

11.1. Example: as an illustration of the within project comparative design might want to examine the relationship among the age and years of experience of police officers (the input) and attendance at special after-work training sessions (an activity). This design method could tell us, for example, that younger police officers aged 21-26 enroll in

training sessions more than those aged 31-36.

12. Other comparative designs examine the relationship between a project input and activity compared to another project activity.

- 12.0.1. Based on comparisons with other groups or pre-project baseline data.

- 12.0.2. Many of these comparative designs can be used, they vary in complexity and rigor

- 12.0.3. Involves manipulation and interpretation of statistical data.

- 12.1. Example: one group of police officers trained in crime prevention might be compared with a similar group not so trained to see which group enrolled more citizens in prevention programs.

13. Comparative designs tend to control validity threats to a higher degree than descriptive designs. This will be dealt with in more detail later.

14. Activity: applying a descriptive design.

The remainder of this segment consists of a desk activity which should take about 15-20 minutes to complete. The desk activity gives participants some "hands on" practice with descriptive designs. The purpose is to reinforce principles already discussed in this segment and to increase participants skills with the descriptive designs.

PROCEDURE

This activity is based on a brief project description. A specific input-activity relationship is given as being of particular interest to evaluate. Questions are presented which require participants to furnish the intervening links that connect the input and the activity and to state how they might go about verifying if these links occurred. The project description is intended only to set the context; participants should be able to answer the questions on the basis of their own common sense knowledge and experience.

One procedure to follow would be:

- 14.1. Explain purpose of activity to participants.
- 14.2. Read the project description and the questions to participants.
- 14.3. Ask participants to answer the questions, working individually at their desks.
- 14.4. Discuss answers of selected participants with the class as a whole.

The participant guide contains all the materials needed. The pages following this contain some suggested "answers" and discussion points you can use as you see fit.

PROJECT DESCRIPTION

The city police department developed, with spa funds, a crime prevention program with a purpose of getting citizens to enroll in the program by requesting the police department to check their houses or offices and recommend security measures. The prevention unit will operate for six months. Four officers were assigned to the prevention unit and received special training. The unit staff set up a booth in different parts of the city on different days and discussed prevention with interested people. They handed out various pamphlets and enrollment cards to be sent to the police department. Also, enrollment cards and special posters were distributed throughout the city for the general public. In a few weeks' time, the police department has received 100 requests (both card and telephone) to check homes and offices for security needs.

The police chief wants to know if the prevention staff was responsible for generating the interest in crime prevention. As project monitor, your job is to determine whether the requests for assistance can be attributed to the prevention staff. You elect a descriptive design for this purpose.

The input-activity relationship to be examined is prevention staff (the input) and

receipt of requests (the activity).

Questions and possible answers.

15. What are some possible linkages which connect the input with the activity?

- 15.0.1. Four staff selected and assigned to prevention unit.
- 15.0.2. Staff receive training in prevention and how to meet the public.
- 15.0.3. Prevention materials (booth, pamphlets, posters) produced.
- 15.0.4. Schedule established for location of prevention unit.
- 15.0.5. Citizens stop at booth and discuss prevention with staff.
- 15.0.6. Citizens enroll in program by completing card.
- 15.0.7. Citizens request police department to come to home or office (by card or telephone).

16. How would you go about finding out if the linkages occurred?

- 16.0.1. Get names from citizens requesting police department prevention checks (100 total possible).
- 16.0.2. Call each person to ask where and when card picked up and/or what prompted them to call.
- 16.0.3. For each reference made to prevention unit, check records to see if unit was in that location on date mentioned.
- 16.0.4. Check personnel records to ascertain if assigned staff were at booth on day mentioned.

17. What kinds of "proof" would you require before you would feel fairly comfortable in claiming that the inputs were sufficient to have "caused" the activity?

Assuming most citizens could be contacted (say, 80) and that about 75% (n=60) of these indicated they enrolled at the prevention booth, and assuming that it could be verified that the prevention staff was at the proper locations on the days specified, it would be reasonable to claim the staff was responsible for generating the requests.

If a much smaller percentage of citizens said they enrolled at the prevention booth (say 50%), or if the dates and locations of the prevention staff could not be verified, or if you found that the prevention staff were assigned to other duties and that other police officers often "filled-in," then one would be less certain in claiming causality.

Remember: the best level of explanation that can ever be attained with a descriptive design is one which reasonable people can agree is probable. Certainty can never be absolute, and standards of "success" (80%) or "failure" (50%) are arbitrary.

18. The major thrust in performing monitoring evaluation is to identify and understand significant discrepancies between planned and actual project inputs and activities in order to modify projects to make them more effective.

18.1. The monitor-evaluator examines input-activity relationships in order to judge whether the inputs are sufficient to produce the activities.

18.2. The monitor-evaluator should be aware that interpretation of the relationships early in project histories should be made with caution.

18.2.1. Many projects have start up difficulties.

18.2.2. Project activities usually become more routine as the project gets older.

18.3. Often a monitoring evaluation may reveal discrepancies between planned inputs and activities and those actually observed. The significance of these differences needs to be determined.

18.3.1. The most important reason for performing a monitoring evaluation is to diagnose problems so the project can get on track.

18.3.2. There should be a cooperative atmosphere between the monitor-evaluator and the project so that discrepancies noted do not threaten the project such that remedial action becomes difficult.

18.4. The monitor-evaluator often needs to make some assessment of the external environment's impact on the project.

19. Summary.

19.1. Monitoring should be performed to provide information to decision makers.

19.2. Developing an mor, network, and key event analysis are important steps in doing monitoring.

19.3. Descriptive designs are most useful in performing monitoring.

19.4. Monitoring should have as a major purpose assisting projects.



Workshop C
Application: Project Monitoring

OBJECTIVES

Upon completion of this segment, the participant should be able to:

1. Identify the specific designs applied in the report and describe how they were utilized.
2. Assess whether the interpretation of the findings was consistent with the information/data reported.
3. Judge the adequacy of the report for use by various decision-makers (monitoring unit manager, project director, supervisory board members).
4. Compare the clarity, organization, and adequacy of the report with those prepared at the participant's agency.

LECTURE NOTES

1. Preparation.

1.1. Introduction

There is no actual lecture to give to this segment. You should read the segment objectives aloud and briefly explain the basic rationale of the segment (outlined below) to the participants.

1.2. Rationale of this segment

An integral part of most monitors' jobs is the preparation of monitoring reports. One way to get improved reports is giving those who perform the monitoring task a chance to review monitoring reports prepared by their peers. Participants' assessments of the

adequacy of monitoring reports prepared by other evaluators should provide a meaningful way to identify strengths and weaknesses of the monitoring reports. That is, participants should be able to surface some major discrepancies between what monitoring reports ideally "ought" to look like for the audience addressed and what many evaluators realistically can produce, given the practical constraints under which they work.

In addition, reviewing and analyzing actual monitoring reports also provide an opportunity to reinforce many points covered in earlier training materials. Monitoring reports to some degree have to touch upon the project objectives investigated, the measures used for each objective, data collection methods applied, the evaluation methodologies employed, data analysis techniques utilized, and the presentation of findings.

- 1.3. Ask the participants to read the instructions included in their participant guides and answer any questions that arise.
- 1.4. Divide the participants into break-out groups, each with a facilitator.
 - 1.4.1. Set a specific time for the groups to reconvene and make class presentations (reserve about one hour for presentations).

2. Small group exercise.

In the small group, the facilitator should help the participants follow this general agenda and keep on schedule:

- 2.0.1. Step one: participants read monitoring report (10-15 minutes).
NOTE: the actual example is in the participant guide.
- 2.0.2. Step two: participants review method of rationales of project, if provided, (15 minutes).

2.0.3.

Step three: participants discuss participant guide questions (one hour). NOTE: a useful set of questions is the following:

- * is this an example of a monitoring report? Why?
- * how well were relationships between inputs and activities described?
- * which extraneous influences were present?
- * which extraneous influences were examined and dealt with?
- * were the findings reported clearly?
- * were the findings reported fairly?
- * are the conclusions consistent with the findings?
- * are the recommendations consistent with the conclusions?
- * compared with the course ideals how adequate is the report for decision makers?
- * would a method of rationales, network, and key events process have strengthened this report? Explain.
- * what would your decision be regarding needs for technical assistance?
- * would you have planned the evaluation (in terms of what was examined and how) differently?

2.0.4. Step four: participants prepare for class presentation (15 minutes).

2.0.5. Step five: reconvene for class presentations and discussion.

The facilitators are in the best position to judge how to get participants to interact among themselves and relate the digest evaluation reports to their own experiences and previous training.

3. Class presentations and debriefing.

3.1. Each group should have about 15 minutes to make its presentation.

3.2. Each presentation should be followed by instructor comments and class discussion.

3.2.1. The instructor should use this opportunity to emphasize the important points made in the presentations that reflect and reinforce points covered in the different lectures, as well as to correct any errors or misconceptions.

3.3. The following points may require emphasis in the instructor critiques:

3.3.1. The use of the method of rationales in getting consensus about the components of a project and its logic

3.3.2. The characteristics of project monitoring.

- * focuses on inputs and activities, and on the consistency of actual inputs and activities with those planned.

- * like other evaluation types, helps establish the worth of a project and makes inputs to decision-makers.

- * often used in early stages of project before immediate results and outcomes can be assessed.

- * often used where primary interest is in helping the project get and stay "on track," can help identify needs for corrective action or technical assistance.

3.3.3. The characteristics and uses of evaluation designs in monitoring.

- * the particular utility of the descriptive design in project monitoring as a step-by-step logical, non-statistical approach.

- * the utility of the descriptive design where number of clients is low and "treatments" vary.

3.3.4. Issues in the interpretation of project monitoring data.

- * establishing fiscal compliance.

- * establishing substantive compliance.

- * verifying the relationships and linkages among inputs and activities.

- * consideration of external influences on the project.

- * diagnosing the reasons for discrepancies between planned and actual inputs and activities.

3.3.5. Major concerns in the presentation of monitoring findings.

- * tailoring reports to the needs of supervisory board members, project managers, monitoring/evaluation managers.

- * reporting findings vs making recommendations for project modification and/or funding recommendations.
- * maintainability and degree of confidence as factors in developing recommendations.
- * appropriateness of pre-defined formats.
- * timing and distribution of monitoring reports.

3.4. NOTE: the monitoring report is found in the participant guide and in the instructor guide appendix.

Module 5
Process Evaluation Designs

OBJECTIVES

Upon completing this segment participants will be able to:

1. Describe the use of descriptive designs in process evaluation.
2. Describe the use of comparative designs in process evaluation.

LECTURE NOTES

NOTE: the following sections on designs are repeated from earlier modules because of their use with the different types of evaluations. Instructors should be careful to coordinate presentations so that repetition serves to create proper emphasis and to enhance the learning process and not to become overly redundant.

1. Characteristics of descriptive designs.

1.1. In process evaluation, is a method of examining causal relationships among inputs, activities, and results of a project.

1.1.1. It is a systematic, logical approach.

1.1.2. It is a non-inferential approach. P4 although descriptive designs may use statistics, they seldom use inferential statistics.

* can involve numbers, percentages, ratios.

1.2. Descriptive designs can be used with all projects.

1.2.1. Are used when only the project is available to evaluate; no other comparison groups available.

1.2.2. Can be used in lieu of more quantitative, formal evaluation approaches

1.2.3. Useful for exploratory analyses of projects.

1.2.4. Useful when in-depth analysis of project effects on limited cases or individuals is wanted.

1.3. Descriptive designs essentially involve a case-by-case analysis of project events or individual clients. Generalizations are based on a number of individual case analyses.

1.4. Example: finding out from individual work releasees how helpful a work release program was in getting them a useful job, in preparing them to perform the job, in giving them the means to support themselves; determining what program services they were given, when, and what happened afterward, etc., is an example of individual case analysis as applied as a descriptive design.

1.5. Descriptive designs can be used when comparative designs cannot.

2. The purpose of a descriptive design in a process evaluation is to examine cause-effect relationships among project inputs, activities, and results.

2.1. Central task is to determine if some result "z" was caused by project inputs and activities.

2.1.1. Inputs, activities, and results have to be linked together to form a network of hypotheses about what should lead to what.

- 2.1.2. Judgments have to be made that immediate result "z" was due to project activity "y," which in turn was produced because of planned project input "x".
- 2.1.3. If linkages can be established, one can talk about project causes and effects.
- 2.2. A descriptive design is applied in three distinct steps:
 - 2.2.1. First, describe the project's planned inputs, its activities, and its results (i.e., method of rationales).
 - 2.2.2. Second, on the basis of available project information (reports, project records, client interviews) analyze it to establish links among results and project activities and inputs.
 - 2.2.3. Third, judge which inputs/activities were sufficient to allow the claim that the project caused the results observed.

NOTE: causality has been previously introduced. This treatment is more detailed since it is more appropriate to discuss causality when trying to attribute project activities (causes) to project results and outcomes (effects).

- 3. Causal relationships can never be established absolutely.
 - 3.1. Evaluation never can establish perfect cause-effect relationships.

- 3.1.1. Criminal justice projects are influenced by many external factors.
- 3.1.2. Always a chance that effects are due to causes outside the project.
- 3.2. There are several general criteria which may be used to attribute causality. All of the following should be present in order to confidently attribute causality.
 - 3.2.1. One event precedes another in time.
 - 3.2.2. The events are related or associated.
 - 3.2.3. The relationship is not accidental or spurious.
- 3.3. Attributing causality with descriptive designs consists of offering explanations reasonable people would agree upon as being probable.
 - 3.3.1. Descriptive designs are usually less precise than evaluation designs which rely on statistical tests.
 - 3.3.2. Descriptive designs are subject to evaluator's judgement and bias.
 - 3.3.3. The use of descriptive designs require that the evaluator ask "what else could have caused this result?" "what alternative explanations are there?". These questions are equally true when using comparative designs.
- 4. Activity: note: to tie together the major points made about the descriptive design in process evaluation, get participants involved in a discussion.
 - 4.0.1. Ask participants for an example of a project that lends itself to a descriptive design and discuss how one might trace its results to project activities and inputs.

- 4.0.2. If students have trouble coming up with an example, you could ask if any of them have worked with a juvenile diversion project. These projects usually can be used to illustrate linkages among inputs, activities, and results.

5. Characteristics of comparative designs:

- 5.1. These designs represent a second method of examining causal relationships among project components.

- 5.2. They rely on structuring comparisons between differing amounts of a single treatment, between a treatment and no treatment, or between different treatments.

6. Some types of comparative designs are used in process evaluation when the evaluation is based on only certain information from the project itself, when the focus is on within project variability.

- 6.1. Unlike a descriptive design, these designs involve an understanding of basic statistics and statistical analysis.

- 6.2. These within project variability designs are particularly beneficial under certain conditions.

- 6.2.1. Projects which have no comparison or control groups to assess differences in effects.

* for example, project clients cannot be compared with a similar group of clients not receiving the project "treatment".

- 6.3. Within-project variability can show up at all stages of a project.

- 6.3.1. Inputs--e.g., staff varies in years prior experience, amount of education.

- 6.3.2. Activities--e.g., counseling sessions vary in length, training can be given at different stages of one's career.
- 6.3.3. Results--e.g., some inmates stay enrolled in college course, parolees get different kinds of jobs.
- 6.4. These designs depend on the notion of variation among project components, on the notion of "more or less" to analyze relationships.
 - 6.4.1. Example: does the amount(hours) of counseling juveniles receive have an effect on the number of subsequent episodes of disruptive behavior in schools?
- 6.5. Knowing how strongly different project variables are associated with one another may give evidence of what is working well in a project and what needs improvement.
- 7. Within-project variability (i.e., "more or less") can be analyzed to show strengths of project relationships or the effects of differences in project relationships.
 - 7.1. If interest is in strength of relationship, we want to know the degree to which one project variable (e.g., hours of counseling) is related to another project variable (e.g., number of disruptive behavior incidents).
 - 7.1.1. Relationships can be high or strong (e.g., as hours spent in counseling change so do the number of disruptive incidents). This relationship might be positive (i.e. As counseling hours increase so do disruptive incidents) or negative (i.e., as counseling hours increase disruptive incidents decrease).
 - 7.1.2. Relationships can be low (there is no apparent relationship between hours of counseling and number of disruptive incidents).

7.1.3. Note: to illustrate the above points, the instructor might want to draw on the board scattergrams.

7.2. If interest is in differences in project relationships, we want to know if different amounts of one project variable (e.g., inmate education level) is associated with different amounts of another project variable (attitude toward participation in a prison education program).

7.2.1. By separating the effects associated with different amounts of a variable, we can get information to help decide how to change a project.

8. Activity: note: participants will get a chance to work with this type of design later in this segment. However, in order to ensure they understand the basic logic of it at this point, get students involved in discussion so that you can check their level of understanding.

8.0.1. Ask participants for a project that they have worked with that has been or could be evaluated by examining within project variability. Get them to explain what project relationships were of interest and discuss with them.

9. Characteristics of other comparative designs.

9.1. Other comparative designs can be applied when certain conditions exist.

9.1.1. Project has some other comparisons or control groups to be compared against.

* for example, success of public defenders who received special training vs a similar group not so trained.

9.1.2. Project has more than one treatment group, for example in a juvenile delinquency prevention project, some youths receive counseling while others receive tutoring.

9.1.3. Some kind of pre-project baseline data exist which can be compared with post-project performance.

* for example, success of public defenders before training vs success after training.

9.2. Unlike the other types of designs discussed these make use of information outside the project itself (i.e., pre-project data and/or comparison groups) and attempt to examine such information systematically.

10. This group of designs is often classified by degree to which they meet standards of experimental, scientific research. NOTE: this discussion is primarily an introduction to evaluation designs and continues the discussion from module 3. More complexity and detail are added in module 6.

10.1. Experimental designs:

(R) X O

(R) O

Where: r=random assignment, x=treatment or intervention, o=observation.

(R) X1 O

(R) X2 O

- 10.1.1. Most "scientific".
- 10.1.2. Randomly formed control group(s) available
- 10.1.3. Are ideal designs to strive for.
- 10.1.4. Random assignment to groups essential because this controls validity threats.
- 10.1.5. Permits highest degree of confidence in results.
- 10.1.6. Most rigorous of all evaluation designs
- 10.1.7. Often impractical due to cost, time, or ethics involved.
- 10.1.8. (note: use visual to illustrate experimental design).

10.2. Quasi-experimental designs:

X O

O

X1 O

X2 O

- 10.2.1. (note: use visual to illustrate).
- 10.2.2. Less precise than experimental
- 10.2.3. Do not meet strict requirements of scientific experiment.
- 10.2.4. Non-equivalent comparison groups used rather than randomly formed groups
- 10.2.5. Do not control all relevant "rival causes".
- 10.2.6. Have to be more cautious in attributing observed effects to the project.
- 10.2.7. Are more feasible to apply in much real world project evaluation.

10.3. Pre-experimental designs:

O X O

X O

- 10.3.1. (note: use visual to illustrate).
- 10.3.2. Least rigorous of the comparative designs.
- 10.3.3. Compare pre-project measures against post-project performance.
- 10.3.4. Control few "validity threats".
- 10.3.5. Can have least confidence in results.

- 10.3.6. Can provide insightful information in early stages of projects.

11. Activity: applying comparative designs in process evaluation.

This activity provides "hands on" practice with using comparative designs for process evaluation. One aim of the activity is to reinforce the main principles and concepts of process evaluation: that it encompasses project inputs, activities, and results; that it is conducted on ongoing projects; that it is done to provide information to project decision-makers so that they can refine the project and improve its effectiveness.

The second aim of the activity is to reinforce what was taught about comparative designs.

Procedure

The participant guide contains a brief description of an ongoing project that is to be evaluated. The underlying "logic" of this project is presented in the completed method of rationales. Two specific issues of interest to the project director are given, each of which is followed by a set of questions that deal with how an evaluation could be set up to yield information relevant to the issue. One specific procedure to follow is:

12. Explain purpose of activity to participants.
13. Participants read project description and completed method of rationales.
14. Ask participants to answer the questions for the first issue, working individually at their desks.
15. Discuss answers with class as a whole.
16. Ask participants to answer questions for the second issue(optional).

17. Discuss answers.
18. Summarize main points of comparative designs which focus on within project variability.

The participant guide contains all the materials needed to complete this activity. The following pages of these lecture notes consist of the project description, method of rationales, and possible approaches or "designs" for evaluating each issue. The latter can be used as starting points for class discussions.

Project Description

In 1975, the public school system of a mid-western city developed, with leaa support, a special satellite instruction center for juvenile delinquents referred by the court. The center is designed to serve delinquents 12-14 years old with a history of poor scholastic adjustment and evidence of a "problem" home environment. Individualized instruction is available to all center enrollees, with counseling and group social activities as optional components.

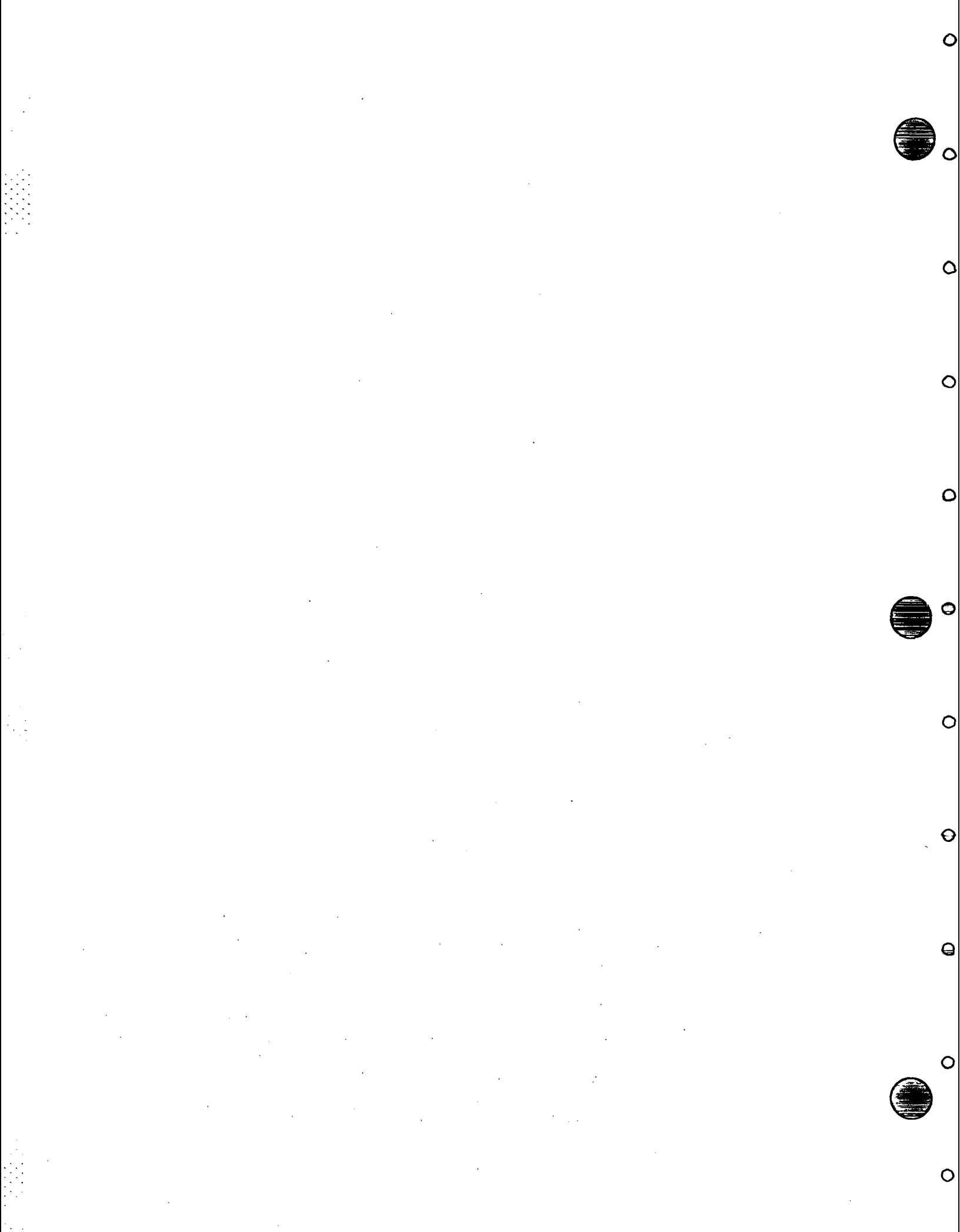
The theory of the project is that a bad home environment leads to poor academic performance and disruptive school behavior (truancy, discipline problems), conditions which in turn contribute strongly to a pattern of delinquency. The center's program seeks to remedy the youths' scholastic difficulties, as a means of improving their self confidence and social adjustment, reducing police contacts, and ultimately reducing the incidence of juvenile crime for project youth.

The center admits youths from the ages of 12-14, who have been selected and referred by a juvenile court judge on the basis of prior school and family history and upon concurrence with the school system. At intake, each youth takes a standardized scholastic achievement test to assess current grade level, as well as a battery of psychological tests which includes a measure of self-concept and an "anti-social" scale. After the test results are evaluated, an individualized instruction program is prescribed for each student; in addition, some students are enrolled in group counseling twice weekly. Finally, some students are assigned to structured group social activities.

Youths enroll in the center at varying points in

Method of Rationales

| Inputs | Activities | Immediate Results | Outcomes |
|--|---|---|-----------------------|
| Staff -counselors -school psychologist -media specialists -instructors Equipment -films -TV -self-paced programed materials -reference books Space -classroom -counseling -testing Agreements with juvenile judges Criteria for referrals and discharge Agreements and liaison with public school system | Psychological testing Achievement testing Group counseling Development of indi- vidual educational plans Individualized in- struction and per- formance testing Meet with volunteer and community groups Social group activities | Few contacts with police within 12 mos. Less school truancy Less school ab- senteeism Less disruptive behavior in school Higher self- concepts | Reduced recidivism |



the year and may spend a maximum of 9 months in the project. Students when they have reached their appropriate grade levels or when project staff think they have gained all that they can from the project are discharged. Most youths spend at least 4-6 months at the center although a few are discharged by the second or third month. Although project staff believe some students could profit from a lengthier program, the nine-month limitation has been adopted because of the great demand. Maximum capacity at any one time is 25 but 50-60 different students may participate over a one-year period.

Method Of Rationales

Mor example goes here

ISSUE 1

Because there is such high demand for the project--the court would refer more clients if there were room--no one can stay in the project more than nine months. Some clients remain less than 9 months if the staff sees sufficient improvement to justify referring them back to the regular school program. The project director is curious to know whether the incidence of police contacts in the year after

discharge varies among clients who remained in the project for different lengths of time.

19. What project relationship would you look at in order to provide information relevant to this issue?
20. What kinds of data would you collect, and how, in order to examine this relationship?
21. Briefly describe how you would set up your evaluation so that you could fulfill the project director's needs?

POSSIBLE ANSWER

Length of time participating in the project and additional contacts with the police within one year after leaving the project are the relevant variables. Data would be collected from both project and police records. One might examine the relationship as below.

| | | Months in Project | | |
|---|-----|-------------------|-----|-----|
| | | 0-3 | 4-6 | 7-9 |
| Number of clients in contact with police within 12 months | Yes | | | |
| | No | | | |

22. Note: the following issue can be used to show how to apply comparative designs other than those which use within project variation in a process evaluation setting.

ISSUE 2

This project makes available three types of services: individualized academic instruction, group counseling, and structured group activities. Youths enrolled may receive varying combinations of these

services. Some receive academic help only, some receive academic help and counseling, others receive all three. Each service requires substantial resources to provide, so the project director is quite interested in knowing whether the various combinations of service produce any differential effect on the amount of disruptive school behavior. Behavior in the 12 months following discharge from the project is of particular interest to the project director.

23. What project relationship would you look at in order to provide information relevant to this issue?
24. What kinds of data would you collect, and how, in order to examine this relationship?
25. Briefly describe how you would set up your evaluation so that you could fulfill the project director's needs?

POSSIBLE ANSWER

The project variables or relationships of greatest concern are the different project "treatments" (academic, counseling, social groups) and number of reported incidents of disruptive behavior of clients in school. The critical data would be the means and number of kids getting academic only, academic and counseling, or academic, counseling and social groups and the number of reported incidents from the school systems. Information about the kinds of treatments could be obtained from project files; information on incidents would probably have to be gotten from school records.

| | | Academic | Academic + Counseling | Academic + Counseling + Social groups |
|---|--------------|----------|--------------------------|---|
| Number of incidents of reported behavior | 5 or more | | | |
| | 3-4 | | | |
| | 0-2 | | | |

Workshop D
Designing A Process Evaluation

upon completion of this segment, participants should be able to:

1. Develop a method of rationales, network, and key events for a project evaluation.
2. Develop a series of questions leading to development of a process evaluation.
3. Identify the specific designs to be applied in the project evaluation.
4. Identify the threats to validity which may limit the evaluation.
5. Identify design modifications to the evaluation which would reduce or eliminate the threats.

LECTURE NOTES

INSTRUCTOR NOTE: this workshop allows participants to practice designing a process evaluation. The focus here is on project results. It is recommended that the project description used here also be used in workshop e on impact assessment designs. The project description is found in the appendix.

-----+
|
| INTRODUCTION:the general purpose of this segment is to
| develop a process evaluation based on a project description for
| a criminal justice project. The exercise is not unlike the
| activities you may have already experienced, when asked to
| develop and conduct an evaluation of a particular project or
| series of projects. Your task will be to determine what the
| project intends to accomplish with an array of resources and to
| establish an evaluation which will show the project's
| performance (success or failure) in achieving what it was funded
| to do.

| The exercise provides you with an opportunity to develop
| the project method of rationales and network; identify the key
| events; identify a series of questions relevant to evaluating
| the project's performance; select the designs you would use in
| conducting the evaluation; and consider the threats to validity
| associated with the design selected. The project presented is
| an actual operating project and, as such, presents a realistic

situation to you as the evaluator in having to design the means for assessing the project's worth.

You have been requested by your agency head to develop an evaluation which accurately represents what the project accomplished during the first year. Assume that the grant application did not include an evaluation plan thus necessitating your activities at this point.

Instructions:

1. Read the project description.
2. Develop a method of rationales, network, and identify key events.
 - 2.1. As a group develop the mor and construct the project network.
 - 2.2. As a group identify the potential key events.
3. Identify the evaluation questions felt to be necessary in determining the project's successes and failures based on the identified key events.
 - 3.1. The group should reach consensus on several questions which would be answered by the evaluation. Several important questions can be identified as examples-it is not necessary to identify every question which could be asked.
 - 3.2. The questions are to be related to the key events.
4. Identify the type of evaluation and evaluation designs used in answering the significant questions posed by the group.
 - 4.1. In addressing the types and designs used, attention should be given by the group to the project categories (inputs, activities, results) involved in the questions.
5. Address the threats to validity which may be related to the evaluation design.
 - 5.1. In identifying the threats which may be related to the design, the group should discuss why some threats appear to be of concern and why others may not.

5.2. The group should give thought to how serious the threats may be to the evaluation.

5.3. Consider what design changes should be implemented to reduce the impact of the threats on the evaluation.

6. Prepare for presentation to the group.

6.1. The group should identify who will record the information to be presented and identify who will make the presentation.

6.2. You have 10 minutes to present your evaluation design to the other groups.

6.3. The outline for your presentation is as follows:

6.3.1. Mor.

6.3.2. Network

6.3.3. Key events.

6.3.4. Evaluation questions

6.3.5. Evaluation design.

6.3.6. Threats to validity

6.3.7. Improvements to evaluation design.

7. Note: the project description for this workshop is found in the participant guide and in the appendix.



Module 6
Designs For Impact Assessment

OBJECTIVES

At the conclusion of this segment, the participants will be able to:

1. Describe the use of comparative designs in impact assessment.

LECTURE NOTES

1. This segment focuses on the use of comparative designs applied to impact assessment which utilize information "outside" the project or compare more than one treatment within a project. Recall that impact assessment focuses on project outcomes and the extent to which project inputs, activities, and results "cause" those outcomes.

- 1.1. This comparative approach is based on the use of two groups, one called experimental and one called control.

- 1.1.1. The experimental group is the one exposed to the intervention.

- 1.1.2. The control group is not so exposed.

- 1.1.3. Real, not spurious, differences between the two indicate the impact of the intervention.

- 1.1.4. Very small or no differences would indicate a lack of impact.

- 1.2. Equivalence between experimental and control groups is the critical factor in the comparative approach.

- 1.2.1. If the two groups are not "the same" then inferences about what caused the impact or lack of impact are weakened.
- 1.2.2. Matching groups to get equivalence has limitations.
- * cannot know what is important and what is not.
 - * becomes very difficult when number of variables is large.
- 1.2.3. Randomization is preferable to matching.
- * allows chance to determine membership in one group or another.
 - * allows the strongest cause-and-effect statements to be made about the relationship between intervention and impact.
 - * makes it possible to generalize the results to other groups that are a sample of the same population.
- 1.2.4. Many le/cj impact assessment studies have difficulty in using randomization because of:
- * lack of control over group membership assignments.
 - * legal and/or ethical prohibition against certain kinds of assignments that involve a denial of "right to treatment," "due process," and "equal protection".
 - * in regard to prisoners, one legal opinion stated "our advice is that you try to avoid treatment programs which deliberately seek to differentiate between discrete groups of prisoners."

- * such considerations would apply to the juvenile area as well.

1.2.5. Despite the real problems that one can encounter in random assignment, it should not be rejected without serious consideration.

- * overly subscribed treatment programs can benefit from randomized assignment as the fairest way to make assignments.

- * internal assignment within a program or treatment (to different types of counselors, for example) can be randomized without legal or ethical problems (if that key event is important to your study).

1.3. The different comparative designs are defined and evaluated largely on the basis of the way equivalence is achieved between groups.

1.3.1. Designs that are based on truly randomized selection are called "true experimental".

1.3.2. Designs that must use other methods to achieve or approach equivalence (e.g., matching) are called "quasi-experimental".

1.3.3. Since, as noted, true randomization is sometimes difficult to achieve in social impact research, the quasi-designs are frequently used to conduct comparative studies.

- * when properly done it is not "bad research" but the best that can be done under real world conditions.

- * learning how to use quasi research methods is the mark of the good social science evaluator.

1.4. A third category of designs is called "pre-experimental" because no control group is used.

1.4.1. They are often necessary to use in the absence of any alternatives.

1.4.2. They sometimes can be used in combination with other designs.

1.4.3. They can be useful decision aids even though they are not definitive studies and could be misleading.

NOTE: the following material has been first presented in module 3. It is presented again here for emphasis. The depth of treatment depends on the judgement of the instructor as to how well participants have grasped the concepts. Regardless, this presentation should be coordinated with those coming earlier.

2. Threats to validity.

2.1. Most comparative designs have one or more weaknesses that reduce their effectiveness.

2.1.1. A weakness in a design is called a threat to its validity.

2.1.2. A threat can be internal or external.

2.1.3. Internal threats relate to the results obtained from the study itself.

2.1.4. External threats relate to the ability to generalize those results to other audiences, settings and situations.

2.1.5. Generally speaking, true experimental designs have the fewest threats, quasi designs the next most and pre-experimental the most.

2.2. Internal threats to validity.

2.2.1. These are critical to all evaluations but are most specifically related to comparative designs.

2.2.2. You must understand each of them in order to design and interpret comparative studies.

2.2.3. Each threat can be thought of in terms of a statement of a rival hypothesis to be the one being examined.

2.2.4. (note: encourage class participation in going through the threats.

2.2.5. History.

- * events external to project that can exert an influence on results.

- * very potent in some types of le/cj research.

- * other interventions being carried out in the same community can be very contaminating "histories" for your own study.

- * rival hypothesis is, "results were not caused by the intervention but by event x."

- * only a comparable control group can provide a real answer to this threat.

2.2.6. Maturation.

- * people and institutions change over time and such changes can be mistaken for the impact of the intervention.
- * studies involving juveniles are particularly prone to such a threat.
- * rival hypothesis is "it would have happened anyway if you had not done anything."
- * the correction is to have a comparable control group that would also show such "growth" if it is maturation.

2.2.7. Testing.

- * when measurement involves the active participation of only one group, a "testing" effect may occur that will contaminate the intervention effect.
- * people may act differently as a result of being measured--maybe positively and maybe negatively.
- * rival hypothesis is "the impact obtained was artificially created by the data collection activity in the experimental group and not by the intervention".
- * one answer is to use the same tests and measures on the control group, which is most often done anyway.
- * another answer that can often be used in social action studies is to use existing records or other unobtrusive ways of getting the data or information, so there is no testing effect to worry about.

2.2.8. Statistical regression.

- * a threat based on the fact that "nature" does not like extremes and will revert, by itself, to a more normal condition.
- * a city with a way below average crime rate one year will probably be higher next year and vice versa.
- * the rival hypothesis would sound like "things are so bad they had to get better," or its opposite.
- * putting street lights in the highest crime areas of a city may be susceptible to this threat.
- * the answer again lies in having a control group that will show whether a change in the experimental group was a "real one" or not.

2.2.9. Selection.

- * this threat is directly related to the randomization process.
- * random assignment to control and experimental groups is the ideal answer to the threat that the 2 groups are not the same.
- * a group can be randomly assigned to experimental and control and still not be representative of the overall population because it was not randomly drawn from that population.
- * matching can achieve some control over selection but is generally less desirable.
- * if pretest scores are available it is very desirable to match pairs on the basis of those

scores and then randomly assign one of each pair to the experimental and one to control.

- * the rival hypothesis is that "the impact was a result of the non-equivalence of the two groups used in the study".

2.2.10. Experimental mortality.

- * if the sample size at the beginning of an impact study is greater than it is at the end, then mortality has occurred.
- * since dropout patterns are not likely to be random, the sample may be quite different from the beginning one.
- * trying to keep the group intact may improve internal validity but lower external, since in the real world the group would change anyway.
- * rival hypothesis would be "no wonder the program looked good--all the bad apples left before it was over.".
- * a comparison or control group that could be modified by removing scores from those who resemble the "leavers" in the experimental group would allow you to partially answer the threat.
- * this is a difficult threat to handle and one should take a clinical look at the cause for the dropouts.

2.3. External threats.

2.3.1. Lack of random selection from the population.

- * makes it difficult or impossible to apply the results to other groups.
- * two samples drawn randomly from a large population are not only equivalent to each other but are equivalent to other samples from that population and to the population as a whole (within the limits of sampling theory).
- * the definition of "population" depends on the scope of the impact study and the generalization to be made, i.e., all juveniles in u.s., juveniles in state a, juveniles in city b, or juveniles in home c.
- * if the population is c, a random selection of c's cannot be generalized to city b, state a or to juveniles in general.
- * is new york city "like" huntsville, alabama?, is huntsville, alabama "like" greenburg, s.c.?
- * is detention home "a" like "b" in terms of key variables like age, sex, socio-economic status of families, ethnicity, etc.?

2.3.2. Lack of realism.

- * efforts to carefully control a study may decrease internal threats to validity but increase external by losing realism.
- * this is a dilemma faced by all social action research-- if you try to use true-experimental designs you will make the study more valid but also more artificial and non-generalizable and if you don't, the results themselves have less validity and are also non-

generalizable.

- * some of the better quasi-designs offer the best compromise between valid internal and external findings.

3. A review of some comparative method designs. Note: after each group of designs the instructor should explain how well that group of designs controls for the validity threats that are discussed in the course. The stress should be on the notion that comparison, random assignment, and equivalency between control groups all help to control for these threats.

- 3.1. We know there are three categories of comparative designs; true experimental, quasi-experimental, and a category call pre-experimental.

- 3.2. Pre-experimental designs have minimal control over threats to internal or external validity. They are the least rigorous designs.

- 3.2.1. (note: use visual to explain these designs).

One Group Pretest-Posttest Design

O X O

X = Treatment

O ≡ Observation or measurement

- 3.2.2. The "one group pretest - posttest design": (note: review threats vis-a-vis these designs).

- 3.3. True experimental designs are the most powerful from a scientific point of view but often difficult to use in the real world. They represent a model on the basis of which the various compromises necessary in the quasi-designs can be understood.

- 3.3.1. The "classic pretest - posttest control group" design (note: see visual).

Pretest - Posttest Control Group Design

| | | | |
|-----|---|---|---|
| (R) | O | X | O |
| (R) | O | | O |

R = Randomly formed

- 3.3.2. "posttest only control group" design (note: see visual)

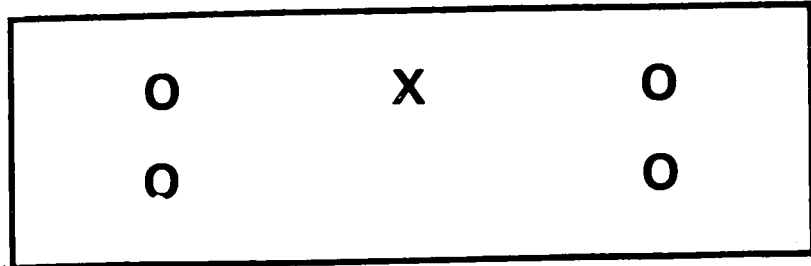
Posttest Only Control Group Design

| | | |
|-----|---|---|
| (R) | X | O |
| (R) | | O |

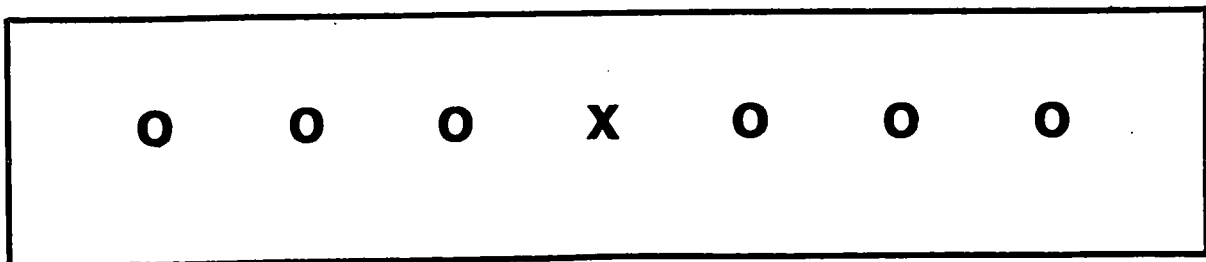
(note: review threats vis-a-vis these designs).

- 3.4. Quasi-experimental designs are large in number, there being many variations in the ways they attempt to compensate for the various threats to validity. The two presented here both provide useful knowledge on the basis of which better decisions can be made. These designs are also frequently more realistic in the way they can be carried out, thus achieving greater external validity than the "true" designs.

- 3.4.1. The "non-equivalent control group" design (note: see visual)

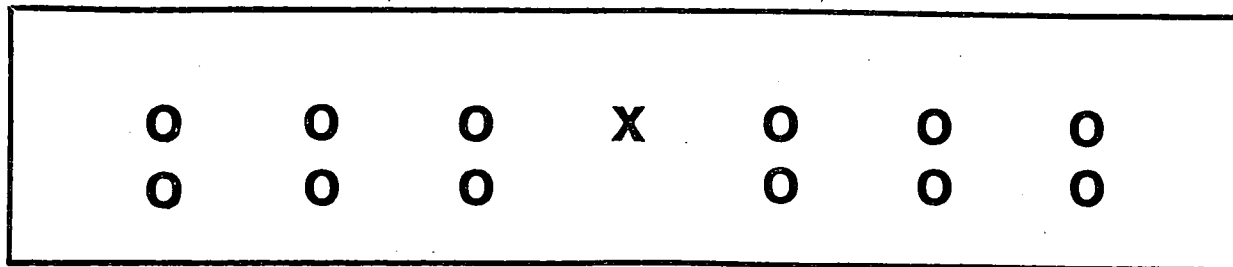
Non-equivalent Control Group Design

3.4.2. The "time-series design (note: see visual).

Time-series Design

* adding a control group makes this into a "multiple time-series" design, one of the best of the quasi-designs. (note: review threats vis-a-vis these designs.)

MULTIPLE TIME-SERIES DESIGN

**4. Presentation and interpretation of results.**

4.1. The design of a comparative impact study becomes the logical focus for the interpretation and presentation of results.

4.2. There are five major headings, each of which would allow you to make clear to the "user" the basic structure of the study, the conduct of the study, the results of the study, and the interpretations based on those results. Recommendations, if appropriate, would be similarly grounded in the study design and its threats.

4.2.1. First, why you chose the design you did in terms of decisions, objectives, available staff and other resources.

- * objectives of the project.
- * target audience.
- * decisions to be informed.
- * logic of project.
- * key events.

- * availability of data.
- 4.2.2. Second, what the strengths and weaknesses are in the chosen design
 - * threats, internal and external.
 - * rival hypotheses and their plausibility.
 - * positive aspects of design.
- 4.2.3. Third, how well did study actually follow design
 - * what compromises were made.
 - * how did they affect the integrity of the study, threats, and rival hypotheses.
- 4.2.4. Fourth, present results and relate to design strengths and weaknesses plus "field" problems, if any.
- 4.3. Fifth, interpretation of results must reflect the evaluation design and the context of the project evaluated.
 - 4.3.1. Recommendations should be made in the light of the necessary qualifications and they should be presented in specific, clear-cut, unambiguous, and easily understood terms.
 - 4.3.2. If a significantly positive or negative impact is found to be the case, you can generalize those results only to the population of which your data are a sample.
 - * you can speculate about its relevance to other populations based on assumed similarities between them.
 - * you must clearly differentiate between the two levels of statement, one a valid inference drawn from the study, the other an extrapolation

drawn from experience and/or common knowledge.

4.3.3. If you find no significant difference between the intervention and control groups you can only say that the study found no difference, not that there is no difference.

- * no study is perfect enough to exhaust all possibilities and use all possible measures.
- * you cannot state with certainty that a program had no effect (prove the null hypothesis).
- * you can only state with some level of confidence less than perfect that something did have an effect.

4.3.4. Replication is the best answer to a real increase or decrease in confidence in le/cj intervention.

- * if an intervention works in a variety of settings, even though each study may be faulty, we gain confidence in it.
- * if it doesn't work we lose confidence in this sense, we can begin to say that the program or project is "good" or "bad" or works or doesn't work in a definitive way.
- * this notion of building confidence on the basis of repeated studies is called consensual validity.

4.4. We should not be apologetic or defensive about our work. If we select the best design possible, and carry it out as well as it is possible to do so, we can present our results and recommendations, limitations and caveats included, with the knowledge that we have made a real and important contribution.

5. Activity: comparative design and interpretation in impact assessment.

+-----Note:--this-activity-is-not-in--the--participant--guide.--+
If it is to be used, it should be reproduced and used as a handout to participants. This activity should be considered optional depending on the amount of time available.

This activity will take about 60 minutes to complete. The general format is a desk activity where participants work on their own and then discuss their work with the entire class. The activity provides participants with "hands on" practice in designing evaluations, identifying validity threats, and interpreting data.

One aim of the activity is to reinforce the major principles and concepts of impact assessment; that it encompasses project inputs, activities, results, and longer-term outcomes; that the focus is on projects which have been in existence for some time; that it is done to inform decision-makers so they can decide whether to institutionalize the project or whether the project can be effectively implemented elsewhere.

The second aim of the activity is to reinforce what was taught about the comparative method: that it is one approach to examining cause-and-effect relationships; that it is applied when there is some other comparison group available against which the project being evaluated is compared or there is some kind of pre-project baseline data available to compare the project; that there are a number of specific "designs" subsumed under the comparative method ranging from pre-experimental to quasi-experimental to experimental designs; that these different designs vary in the degree to which they control threats to validity, or rival causes. The activity provides an opportunity to understand the purpose, use, strengths, and weaknesses of the comparative method but entails no statistical calculations.

PROCEDURE

The following segment contains all the materials that participants need to complete the activity: a brief description of a project to undergo impact assessment, five scenarios each of which introduce a

specific design, and a set of associated questions that deal with whether the validity threats are controlled or not, and the kinds of interpretations that could be made given hypothetical findings. These same materials are included on the following pages of these lecture notes along with some possible answers. At the instructor's discretion, the answers could be used as starting points for class discussions.

Each scenario introduces a specific kind of evaluation design as applied to the project described in the participant guide and these lecture notes. Assumptions are given for each scenario so that participants don't get "off track" worrying about missing project detail. The scenarios are meant to emphasize the validity threats selected evaluation designs control and the limitations which should be reflected in interpreting data.

One possible procedure to follow is:

1. Explain purpose of activities to participants
2. Participants read project description
3. Participants read first scenario and answer the questions, working individually at their desks
4. Instructor discusses answers with entire class
5. Participants read second scenario and answer questions
6. Instructor discusses answers with class
7. Repeat procedure for remaining scenarios.

PROJECT BACKGROUND

This activity will be built around a court delay/backlog reduction program funded by the spa through a prosecutor's office. The state court system has experienced large backlogs and delay in bringing field cases to trial. The state's 16 circuit courts have been widely criticized as being inefficient and ineffective in providing prompt justice.

The sponsored program consisted mainly of providing support services for the courts. It was hoped that these services would reduce delay and backlog and the number of cases that are currently being dismissed due to prosecutorial error or mistake. If this could be achieved, it was felt that the goals of improved criminal justice efficiency and fairness could be accomplished.

The approach taken by the program was to furnish certain circuit courts with additional manpower,

specifically investigators, trial coordinators and assistant prosecutors. The added staff was given the responsibility of coordinating prosecution witness services, including identification and location, scheduling interviews with assistant prosecutors, and providing transportation to the office and to court when appropriate. Additionally, new staff coordinated case scheduling, provided legal research and police liaison services and performed other administrative tasks. These services were not only desirable in and of themselves, but it was hoped they would increase the time prosecutors have for preparation and trial.

This program is nearing the completion of its third year. The state attorney general has requested an impact assessment to determine whether this effort was worthwhile and whether general state funds should be authorized to institutionalize it. Specifically, the attorney general is interested in the extent to which the project has had an effect on such things as reduction of case backlog, delay, and dismissal or nonprosecution because of prosecutor error or mistake.

SCENARIO 1

A court delay/backlog project was implemented in one circuit court three years ago. The project included staff for keeping statistical records of court activities. The evaluator compiled data for the third year on the average number of cases awaiting trial, the average length of time for cases to come to trial, and the number of cases dismissed because of prosecutorial error. Additionally, the evaluator was able to collect information describing the job activities of each project support staff member, the number of witnesses they interviewed, the number of witnesses aided in getting to court, and number of times they coordinated activities with police. The graphic representation of this evaluation design is:

X O

6. The results generated by this design would consist of descriptive statistics on the number of backlog cases, number of cases thrown out, and average time to trial for the third year of the project.

6.0.1. How confident would you be in attributing any results to the project? (very little; many factors could have contributed to results.).

6.0.2. How useful is this information to a decision-maker who must decide whether to institutionalize this project? (very little use.).

6.0.3. Would you recommend the project be institutionalized on the basis of this evaluation? Why? (almost always, no! There is little support to attribute results to project and on basis for comparing its effectiveness and efficiency.)

SCENARIO 2

For this scenario, assume the same situation as scenario 1, except that all the evaluator collected data on average number of cases awaiting trial, the average length of time for cases to come to trial, and the number of cases dismissed due to prosecutorial error for the third year of the project and for the year before the project was implemented. The evaluator compared pre-project data against third project year data. The graphic representation of this evaluation design is:

O X O

7. Assume that the evaluation showed a 30% reduction in case backlog between the year preceding the project and the third year of the project. would you feel safe in attributing this reduction in case backlog to the project? Why? (not very, but better than scenario 1. by controlling selection we at least know the comparability of types of cases between the two periods.)

would you recommend institutionalizing the project on the basis of this evaluative information? Why? (almost always, no. without control for history it is very hard to claim the project was primarily responsible for the effects.)

8. What if the evaluation indicated that case backlog increased 30% by the third year of the project.

Would you be safe in saying the project was a failure? Why? (the same threats that interfere with your confidence in positive results also interfere with your confidence in negative results. History, for example, could either produce "good" or "bad" effects.)

SCENARIO 3

Again, assume the basic situation as in the preceding two scenarios with this exception: that the evaluator was able to collect data on court backlog, time to trial, and number of cases dismissed for each of the three years prior to the project as well as for each of the project's three years. The graphic representation of this evaluation design is:

O O O X O O O

SCENARIO 4

For this scenario, assume that a court delay/backlog project was implemented in one circuit court. In order to conduct the impact assessment, the evaluator identified another circuit court that was similar in terms of caseload (annual filings), population and ethnic mix of jurisdiction served, and

urban-rural characteristics, but received no support services. The evaluator then collected case backlog and time to trial data on both circuit courts during the third year of the project. (this design was not covered in the lecture but you should be able to think through this very typical le/cj evaluation situation.) the graphic representation for this evaluation design is:

O X O

O O

SCENARIO 5

For this scenario, assume that at the planning stage four circuit courts were randomly selected to participate in the study. Further assume that for each of these four circuit courts it was possible to randomly select prosecutors who would be aided by the newly hired support staff so that all totaled, 50 prosecutors get support staff aid and 50 do not. Since it was of interest to determine whether support services improved efficiency and quality of prosecution, the evaluator collected pre and post project measures of average number of cases per prosecutor and number of cases thrown out due to prosecutorial error. The graphic representation for this evaluation design is:

(R) O X O

(R) O O

Workshop E
The Application Of Comparative Designs

OBJECTIVES

During this segment participants will be expected to:

1. Analyze a project by reviewing its method of rationales, its network, and the identified key events.
2. Design a project evaluation to accomplish an impact assessment.
3. Apply a comparative design.
4. Identify the threats to validity related to the design and to discuss their limitations on the findings of the evaluation.
5. Suggest design changes which would limit or eliminate the threats to the validity of the findings.

LECTURE NOTES

1. Preparation.

- 1.1. Read the above workshop objectives out loud to class.
- 1.2. Ask class to read the introduction section (shown below) in their participant guide (5 minutes).
- 1.3. It is recommended that the same project example, project proud, be used here as in workshop d. This will allow comparisons of the differences between process and impact designs. It will also speed the design process since participants will have already

Workshop E
The Application Of Comparative Designs

completed mor, network, and key events.

INTRODUCTION

The purpose of this workshop is to give your group an opportunity to apply one of the designs discussed in the lecture to a project and to analyze the strengths and weaknesses of the design as it relates to the conclusions and recommendations you could make about that project. Each group will make a presentation to the class on the results of their work.

This is not an exercise in data analysis. Statistical techniques are not relevant to the assignment. Nor do you need to have actual project data or results to accomplish the purpose of this workshop.

Your student notes are very relevant and can be used to carry out the various steps of the work.

The particular design your group will use is to be chosen randomly. One design will be a "true" design, the "pretest-posttest control group." The second and third ones will be quasi-designs, the "non-equivalent control group" and the "time series."

The instructor will go over each of the following steps with you before you begin. All of these steps except the last are done in your workshop group. Now is the time to clear up any difficulties you might have.

- 1.4. Read over each step with the class, and answer any questions.

STEP ONE

Read the project description (attached).

- 1.4.1. Read over the description of the project.
- 1.4.2. While some data are presented, they are not used for any analytic purposes.
- 1.4.3. There are many details about the project that have been purposefully omitted. They are not critical to your task. You have the basic project structure and the goals and objectives
- 1.4.4. Note: this step can be completed in about 5 minutes

STEP TWO

Review first worksheet containing the completed method of rationales for the project and then revise (if necessary) the networking and key event analysis.

- 1.4.5. As a group, review the inputs, activities, results and long-range outcomes given to you and decide which ones should be included in your key event analysis. You may use the second worksheet provided for this if you find it helpful.
- 1.4.6. The purpose of this step is to get group consensus on what the project is about, what it is trying to do, and to identify the most critical events to be included in the impact assessment study.
- 1.4.7. Assume that the various kinds of staff and other inputs are available to carry out the activities of the project. Note: you should complete this step in no more than 10 to 15 minutes. This step is to serve your own purposes only and need not be reported to the class.

STEP THREE

Apply your design to project.

- 1.4.8. Go over your class notes for your assigned design so that everyone understands the design itself.
- 1.4.9. On a group basis decide how you would "set up" the project to carry out that particular evaluation design, using the key events selected earlier. Assume that the project has just been funded but is not yet taking referrals.
- 1.4.10. Defining and clarifying the objectives of project proud would be an important consideration at this point.
- 1.4.11. Do not worry about time, or money, or people to do the job.
- 1.4.12. You may need to make assumptions about project proud and the metro area. That is perfectly acceptable, but make them as reasonable as possible. Example: if you need a control group you cannot "invent" another identical community. Work, to the extent possible, within the framework of the material you have been given. If you need random assignments, explain how it can be done and how you will get data from all your groups.
- 1.4.13. Note: this step should require about 1/2 hour.

STEP FOUR

Review threats and relate to project design.

- 1.4.14. Using the worksheet supplied, comment on each threat as it relates to your design and note any rival hypotheses that you can consider as possibly contaminating the study.
- 1.4.15. If the design avoids a particular threat, indicate how; if it does not, indicate why it doesn't and just how serious this problem might be.
- 1.4.16. You can do this as a group or each of you may want to complete his or her own worksheet. However, in either case master worksheet needs to be prepared for your presentation to the class
- 1.4.17. Your own notes should be a useful resource for this task.
- 1.4.18. Note: about 45 minutes should be adequate to accomplish this step

STEP FIVE

Impact of design on results and recommendations.

- 1.4.19. Decide among yourselves how the design would affect the way you would interpret the results and the nature of the recommendations you would make.
- 1.4.20. Consider the above under these conditions: (1) recidivism went down 40% (2) recidivism went down 20% (3) it stayed the same (4) it seemed to get worse in the sense that a fair number of offenses were committed within a short time period following the 3-month treatment period.

1.4.21. List the caveats and cautions that a balanced report, or a presentation to a decision making group, would have to include.

1.4.22. Note: spend about 20 minutes on this step

STEP SIX

Prepare for presentation to group.

1.4.23. Decide what you want to say and who will say it. You can divide up the presenting task any way you wish.

1.4.24. You will have about 15 minutes to make your statement to the class.

1.4.25. The outline of your presentation:

- * your design.
- * how you implemented it
- * internal and external threats and rival hypotheses.
- * impact of design and results and recommendations, with appropriate caveats and cautions.

1.4.26. Note: try to complete this step in 15 minutes.

STEP SEVEN

Make presentation to group.

1.4.27. There will be an instructor-led class critique of each presentation after it is completed.

2. Note: at this point the instructor guide resumes.
3. Make the random selection of designs to each group.
 - 3.1. Assignment of designs to groups is done as follows:
 - 3.1.1. Write the letters a, b, c, on a flip chart or blackboard for everyone to see.
 - 3.1.2. Pick any group and ask them to pick any one of the 3 letters; write group number next to the letter
 - 3.1.3. Do same for other 2 groups.
 - 3.1.4. Assign the design to each group by the following code:

| | | |
|--------------------|---------|--------|
| a=non- | control | group |
| equivalent | | |
| b=time | | series |
| c=pretest-posttest | control | |
| group | | |
 - 3.1.5. Write design next to group letter and number.
 - 3.2. Before breaking up into groups, announce when the groups will re-convene. (allow at least one hour for class presentations.).
4. Workshop exercise
 - 4.0.1. If possible, a facilitator should be with each workshop group.
 - 4.0.2. Do not do their work for them; confine your remarks to helpful guidance.
 - 4.0.3. Encourage them to keep on schedule.
5. Workshop results
 - 5.1. Each group will have about 15 minutes to make their presentation.

- 5.2. Each presentation is followed by a class discussion and critique period.
- 5.3. Comparison between designs is to be encouraged in the critique. The following points also might be included in your remarks:
- 5.3.1. The essential characteristics of the comparative approach.
- * the comparison of equivalent groups, one receiving the "treatment" and one not.
 - * the comparison of pre-project baselines and postproject measures.
 - * the 3 types of comparative designs (experimental, quasi-experimental, and pre-experimental).
- 5.3.2. Validity threats.
- * as controllable to some extent by careful selection and application of a comparative design
 - * all designs have some weaknesses.
 - * seriousness of a particular threat can only be assessed in light of the specific project being evaluated.
- 5.3.3. The benefits of using more than one evaluation method to increase level of certainty (e.g., using a descriptive design to "backup" a comparative design where it is not as rigorous as desired).
- 5.3.4. Interpretation of results and presentation of findings should reflect design strengths and weaknesses (note: a copy of the project proud materials and worksheets are in the participant guide.)

Module 7
Collection, Analysis, And Interpretation Of Evaluation Data

OBJECTIVES

At the conclusion of this segment, the participants will be able to:

1. Describe the common evaluation data collection techniques.
2. Describe the common sources of evaluation data.
3. Identify the major responsibilities of managing evaluation data.
4. Distinguish the major characteristics of data analysis approaches.
5. Describe the principle issues in interpreting evaluation data for causality.
6. Describe major factors in presenting evaluation data.

LECTURE NOTES

1. Self-reports by subgrantees and field visits are the two most common data collection techniques in project evaluation.
 - 1.1. Self-reports by subgrantees take many forms and have distinct strengths and limits
 - 1.1.1. Vary in format, length, etc., by each jurisdiction.

- 1.1.2. Should provide information on relationships between project components.
- 1.1.3. Advantages
 - * efficient.
 - * relatively cheap.
 - * takes little time of evaluator.
- 1.1.4. Disadvantages
 - * quality depends upon project director.
 - * irrelevant information magnified.
 - * in-depth analyses not possible.
- 1.2. Field visits to the project site are another data collection technique having specific advantages and limits.
 - 1.2.1. The visits should be preplanned and coordinated with project director.
 - 1.2.2. Specific information to be collected and project activities to be observed should be decided before the visit.
 - 1.2.3. Advantages:
 - * can observe project firsthand.
 - * can obtain in-depth information.
 - * permits flexibility in what to observe or collect.
 - 1.2.4. Disadvantages
 - * time-consuming.
 - * relatively expensive.

* can disrupt normal project operations.

2. Surveys and the use of standardized tests are two additional specialized data collection techniques sometimes used in evaluation.

2.1. Surveys are used to obtain information from a sample of the total target group.

2.1.1. Sample group has to be representative of target group.

2.1.2. Surveys can be completed through mailed questionnaires or by interviews.

2.1.3. Survey instruments have to be carefully designed so as not to waste time or result in misleading answers.

2.1.4. Random samples are drawn in such a way that each member of the target group has an equal chance of being selected.

2.1.5. Stratified sample is drawn on the basis of selected characteristics (e.g., so many males, so many blacks, etc.) so that the sample represents certain key population groups.

2.1.6. Statistical formulas available to determine adequate sample size.

2.2. Standardized tests also can provide useful evaluation data.

2.2.1. Many different kinds exist--attitude, educational ability, interests, personality.

2.2.2. Most are easy to administer.

2.2.3. All tests have certain limits to their validity and reliability although many are of high quality.

- 2.2.4. Many tests require special qualifications to interpret scores properly.

3. Activity: surveys and tests.

The purpose of this activity is to get participants to discuss their experiences with surveys and/or standardized tests and to get them to present their views of the feasibility and usefulness of these techniques.

- 3.0.1. Ask if anyone has used surveys or standardized tests.

- 3.0.2. Have them describe the project.

- 3.0.3. Ask for comments or other examples.

4. The best sources of data usually are those associated with the project.

- 4.1. Project records and files are important for information on project history, activities, and results.

- 4.2. Project staff are a good source on project operation, problems, and effects.

- 4.3. Project clients are good for supplementing information from other sources and for effectiveness of project operations and staff.

5. Aggregated data bases and the general public also are sources of evaluation information.

- 5.1. There are a variety of aggregated data bases which have already collected and organized data in specific areas.

- 5.1.1. Examples of data bases.

- * uniform crime reports (fbi).
- * state analysis centers (sacs--in some states).
- * different state agencies--department of corrections, probation/parole division.

- 5.1.2. Data collected from other sources always have a chance for errors--the further from primary source of data, the greater the chance of error.
- 5.2. The general public is an important source of evaluative data when the project is trying to make broad impact.
 - 5.2.1. Usually attitudes and opinions are collected.
 - 5.2.2. Example projects where public reaction may be wanted
 - * crime prevention efforts.
 - * property identification.
 - * street lights.
- 6. The major overall responsibilities in managing project evaluation data involve 1) ensuring that the data are collected when they are supposed to be, and 2) providing quality control over the data.
 - 6.1. Ensuring that data are collected when they are supposed to be is really a matter of having a thorough evaluation plan.
 - 6.1.1. The plan should say what data to collect, who, and when.
 - 6.1.2. Some kind of "tickler" system necessary to keep track of due dates for specific tasks.
 - 6.2. Quality control over data comprises several dimensions.
 - 6.2.1. Ensure accuracy of data that are submitted.
 - * randomly recalculate data reported.
 - * large-scale survey data being coded for computer processing is a point to check for accuracy.

- * find out the limitations and gaps of aggregated data bases.

7. Confidentiality of evaluation data.

Note: the instructor should be prepared to get participants to discuss the implications of court rulings and the increasing concern about the confidentiality of data in le/cj. Evaluation ethics might also be a topic for discussion.

- 7.1. How have they been affected by this in their jurisdictions?
- 7.2. How do they deal with this requirement in conducting and reporting evaluations?

8. Data reduction is the first step between collecting data and analyzing data.

- 8.1. Data are reduced to numbers so they can be manipulated and analyzed

- 8.1.1. Averages calculated.

- 8.1.2. Frequencies by category of client.

- 8.1.3. Percentages.

- 8.2. Data reduction consists of taking large amounts of nonstructured information/data and putting it into a fairly small number of categories.

- 8.2.1. This principle is true for both numerical and narrative data.

- 8.2.2. Data reduction equates to data codification.

- 8.3. Example: reduction of quantitative data.

Test scores for all wards in a juvenile institution are reported in ranges of scores by age.

TEST SCORES FOR WARDS OF JUVENILE INSTITUTION

| Score Age | 20-29 | 30-39 | 40-50 |
|----------------------------|--------------|--------------|--------------|
| 12-13 | 3 | 5 | 10 |
| 14-15 | 6 | 9 | 11 |
| 16 and Over | 2 | 3 | 5 |

8.4. Example: reduction of qualitative data

Opinions expressed by 50 judges in their own courts about the usefulness of computerized information systems were classified into one of three categories.

- * supportive of information system.
- * neutral.
- * against information systems.

9. Qualitative analysis.

- 9.1. Qualitative analysis is used when data consist of narrative descriptions, personal assessments, and other judgmental information.

- 9.1.1. Is usually unstructured.
- 9.1.2. Categories have to be created.
- 9.2. Qualitative analysis focuses on checking the logical consistency between planned and actual project operations.
 - 9.2.1. How the project was organized.
 - 9.2.2. Kinds of project activities occurring.
 - 9.2.3. Project staff's and client's judgments.
 - 9.2.4. "hard to measure" things like morale, professionalism of staff.
- 9.3. Some kind of qualitative analysis occurs in most, if not all, evaluation methods.
 - 9.3.1. Descriptive designs use a great deal of qualitative data.
 - 9.3.2. Comparative designs rely on qualitative data to aid in explanation of the findings.

10. Quantitative analysis.

- 10.1. Quantitative analysis is possible when the evaluation generates numerical data.
 - 10.1.1. Includes describing projects numerically:
 - * averages.
 - * percentages
 - * number of clients passing and failing.
 - 10.1.2. Includes calculating statistics:
 - * correlation coefficient.
 - * chi square.
 - * whole range of other inferential statistics.

- 10.2. Numbers are used as a means of categorizing and classifying. They may improve the precision with which judgements are made.
- 10.3. Quantitative analysis makes it easier to make inferences across evaluations and projects.
 - 10.3.1. Increased knowledge comes from replication
 - replication requires standard measures
 - standard measures require quantification.
- 11. The interpretation of evaluation data consists of attributing causality to the project.
 - 11.1. Causality has to be established among project input, activities, results and outcome relationships:
 - 11.1.1. Did inputs "cause" activities?
 - 11.1.2. Did activities "cause" results?
 - 11.1.3. Did results "cause" outcomes?
 - 11.2. Attributing causality requires that the data demonstrate that the cause is sufficient to have produced the effect.
 - 11.3. Example:
 - 11.3.1. Sufficient cause--court administrative reorganization leads to more cases heard each day, which reduced backlog.
 - 11.3.2. Insufficient cause--new and longer police training leads to overall crime reduction in a city (there is no reason to believe that the training was sufficient to have "caused" this magnitude of an effect).

12. Causality can never be attributed with 100% certainty.
 - 12.1. Criminal justice projects operate in the real world where many factors can affect what happens.
 - 12.1.1. Unexpected events can influence findings.
 - 12.1.2. Undetected factors can influence findings.
 - 12.1.3. Planned inputs and activities don't work as expected--they lead to other than planned results.
 - 12.2. Because of the uncertainties and inability to control all conditions evaluation can only attribute causality within limits.
 - 12.3. Attribution of causality ultimately is based on human interpretation of data and humans can be in error.

13. Activity: interpreting evaluation data

The remainder of this segment consists of a desk exercise which should take from 20-30 minutes to complete. The activity provides participants with "hands-on" practice in interpreting evaluation data.

One aim of the activity is to reinforce the main principles and concepts presented in earlier segments and to emphasize that evaluation provides information to decision-makers so that they can refine the project and improve its effectiveness.

The second aim of the activity is to reinforce learning about some of the issues in making interpretations of causality from evaluation data, particularly that there is always human judgment involved.

PROCEDURE

This activity is based on the special instructional center project for juvenile delinquents which was presented earlier (module 5). The two specific issues already discussed are presented, together with data prepared and analyzed by the project evaluator. Each set of data is followed by a set of

questions about how the information could be interpreted, what the rival explanations are, and how these findings could be useful to the project director and other decision-makers.

One procedure to follow would be:

1. Explain purpose of activity to participants
2. Participants read first issue and the accompanying data
3. Ask participants to answer the questions for the first issue, working individually at the desks
4. Discuss the answers with class as a whole
5. Ask participants to answer questions for the second issue
6. Discuss answers
7. Summarize main points of interpreting process evaluation data

The participant guide contains all the materials needed to complete this activity. The pages of the lecture notes which follow contain the participant guide material (the issues, data, questions) and some suggested "answers" which may be used as starting points for the class discussion.

Issue 1: the project director would like to know whether there is any relationship between the length of time clients participate in the project and additional police contacts in the following year. (you may recall that students stay in the program for a full "term"--set at 9 months maximum--or until they have improved enough academically to be referred back to the regular school program.)

the evaluator prepared the following contingency table to examine this relationship. He has eliminated 5 cases from consideration-- two students moved to another city before completing the project and three others were moved at the request of the court because of further serious delinquency.

| Months in Project | | | | | |
|--|-------|-----|-----|-----|-------|
| | | 0-3 | 4-6 | 7-9 | Total |
| New Police Contacts (12 months post-project) | Yes | 2 | 6 | 6 | 14 |
| | No | 4 | 31 | 6 | 41 |
| | Total | 6 | 37 | 12 | 55 |

1. What would be your first interpretation of the relationship based on the evidence presented above?

2. Are there "rival causes" or alternative explanations that you would consider if you were the evaluator? How would you go about examining these alternatives?

3. Do the data presented answer the project director's question? What cautions would you include in presenting these findings to the project director?

4. How could these findings be used to improve or modify the project? Would you make any recommendation for project modification based on this evidence?

POSSIBLE ANSWER

The contingency table data seem to suggest that 4-6 months in the project is optimal in precluding

further police contact. However, clients were not randomly assigned to specific periods of participation, and consequently, the rival causes (or validity threats) of selection, history, and maturation were not controlled.

One rival explanation could be that clients spending 7-9 months in the project were "hard core" cases and more inclined to end up in trouble with the police. The number of cases in the 0-3 months category is so small that no conclusion should be offered.

Given the limitations, the project director might suggest further research using 6 months rather than 9 months as the maximum project stay. On the evidence of the table alone, the project director should not make project modifications.

END DESK ACTIVITY

NOTE: the following three points should be treated in a review fashion.

2-b1

14. Rival causes, or explanations, of observed project effects must always be considered.

14.1. Due to the uncertainty surrounding criminal justice projects it is always possible that factors other than the project could have influenced the results.

14.1.1. Have to ask "what else could have caused the result".

* if expected relationship not found

* if expected relationship is found.

14.2. There are many possible rival explanations to be considered, but some are particularly relevant for criminal justice projects.

14.2.1. Maturation--as people get older they do things differently; juvenile projects can show a result that is due to aging process, not the project.

14.2.2. History--things happen, the world goes around; if a new law increases the age of juvenile delinquents from 16 to 18, caseload statistics will change.

14.2.3. Selection--when a client group is different than expected, or when project staff recruited have different characteristics than planned.

14.3. To the extent that such rival causes or "threats to project validity" exist and may have influenced the results observed, the interpretation of the results must take these outside influences. Into consideration.

15. Activity: rival causes or explanations.

In order to be certain that the class understands the concept of "rival cause" or "validity threat" have them discuss their own experiences regarding each of the rival causes mentioned--maturation, history, and selection.

15.0.1. Ask for an example of each rival cause

15.0.2. Ask how this affected their interpretation of causality.

16. Degree of certainty which can be placed in interpretation is one way of "assessing" interpretations.

16.1. Degree of certainty is directly related to number of rival causes (validity threats) controlled.

16.1.1. Many rival causes controlled--high certainty (or confidence).

- 16.1.2. Few rival causes controlled--low certainty (or confidence).
- 16.2. Descriptive designs yield low confidence interpretations.
 - 16.2.1. Few rival causes controlled.
 - 16.2.2. Logical but subjective.
 - 16.2.3. Open to other interpretations by other evaluators.
- 16.3. Within project comparisons better but still yields limited confidence interpretation.
 - 16.3.1. All rival causes not controlled.
 - 16.3.2. Open to misuse of statistics.
- 16.4. Comparisons between treatment groups or outside the project can yield high confidence interpretation.
 - 16.4.1. Experimental designs control rival causes.
 - 16.4.2. Quasi-experimental designs control some.
 - 16.4.3. Pre-experimental controls few or none.
 - 16.4.4. Randomization is key for controlling rival causes.
- 17. Two issues related to interpretation.
 - 17.1. Statistical vs practical significance.
 - 17.1.1. Variables can be statistically related but have no practical value (e.g., blond policemen get higher scores in target practice).
 - 17.1.2. Variables can be practically important but not significant statistically (e.g., the fact that more inmates from large cities enroll in college courses offered at prison than inmates from rural areas may have implications for the prison education counselor).

17.2. Statistical vs human analysis.

17.2.1. Statistics don't analyze, humans do.

17.2.2. Statistics are calculated by following a prescribed formula, what they mean depends upon human interpretation.

17.2.3. Statistics can be applied inappropriately and be meaningless to interpret, human can misinterpret good statistics.

18. Activity: participants should deal with this issue using the same project as described earlier.

Issue 2: all youths enrolled in the project receive academic help in the form of individualized instruction. Some youths receive academic help plus group counseling. Others received these two services, as well as special group activities. Because each service is rather costly, the project director wanted to know how well the different "treatments" (combinations of project services) "work" in affecting disruptive school behavior in the 12 months following client return to school.

The evaluator collected data from the project on clients receiving different services and on incidents of disruption reported by the school system. From this the following contingency table was constructed to examine this relationship.

Project Services Received

| | | Academic | Academic + Counseling | Academic + Counseling + Social Activities | Total |
|---|-----------|----------|--------------------------|---|-------|
| Number of School Dis- ciplinary Reports (12 mos. post-project) | 6 or more | 2 | 7 | 1 | 10 |
| | 3-5 | 5 | 5 | 7 | 17 |
| | 0-2 | 14 | 5 | 14 | 33 |
| | Total | 21 | 17 | 22 | 60 |

- 18.1. What would be your first interpretation of the relationship based on the evidence presented above?
- 18.2. Are there "rival causes" or alternative explanations that you would want to consider if you were the evaluator? How would you go about examining these alternatives?
- 18.3. Do the data presented in the tables answer the project director's question? What cautions would you include in presenting these findings to the project director?
- 18.4. How could these findings be used to improve the project? Would you recommend any project modifications based on this evidence?

POSSIBLE ANSWER

Contingency table data suggest at first glance that academic and academic plus counseling plus social group are more effective treatments in terms of number of reported school disruptions. It is not clear from the data why academic plus counseling was less effective particularly since counseling was a component of the treatment using all three services. One might want to dig into the reasons for this in a descriptive fashion.

Little confidence should be placed in this interpretation, since there was no random assignment to different treatments, and minimal control over rival causes. Selection is one key possible rival cause since it could have happened that the "worst" ended up in the academic plus counseling group. Maturation is a possible rival explanation, since kids at that age do change rapidly and become more mature. Perhaps what was observed was due to maturation and had nothing to do with being enrolled in the project.

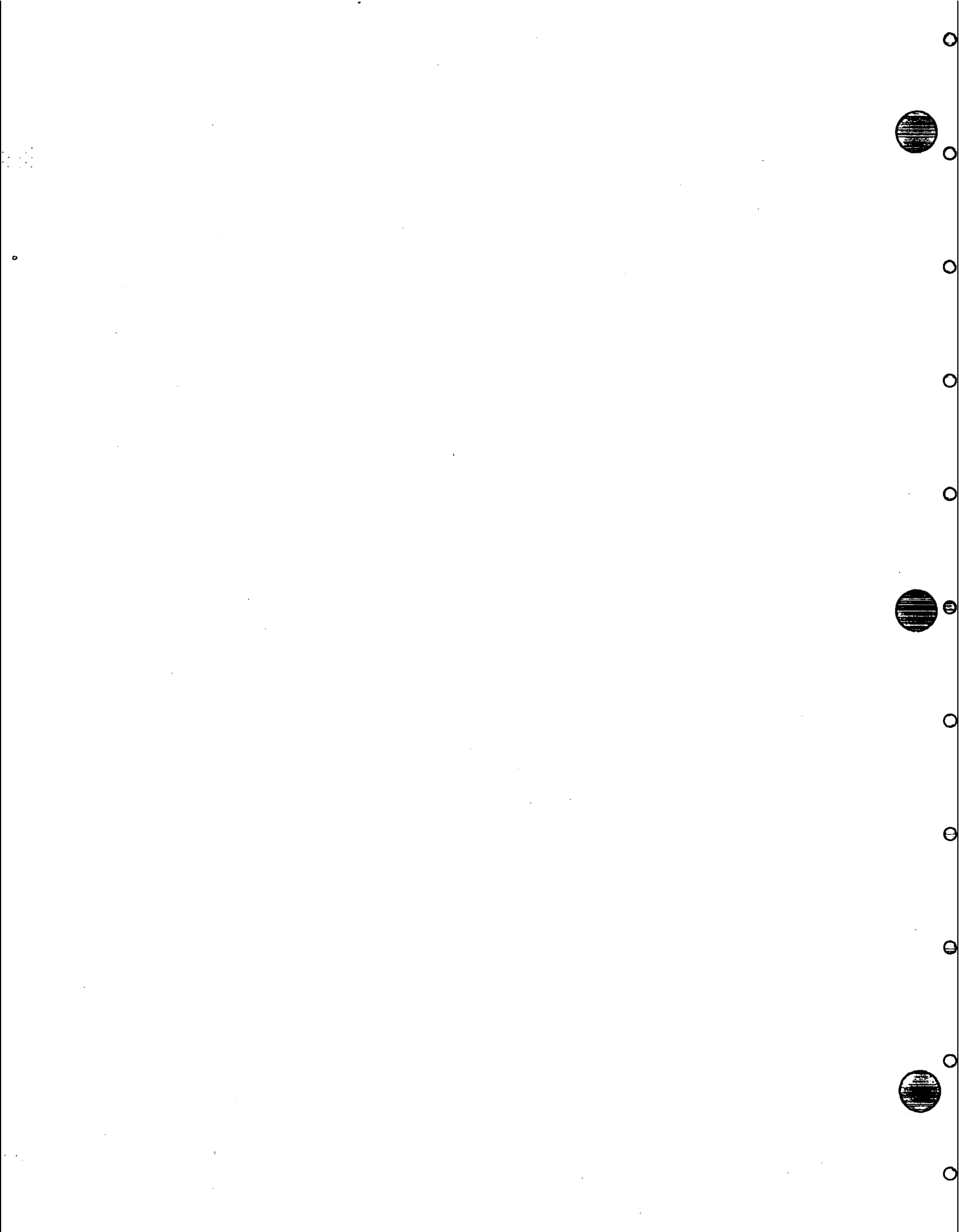
The project director might use these data as evidence that the project as a whole seems to be doing some good, but he is limited in claiming superiority of one treatment over another. The evaluation should be reluctant to recommend any major modification to the project on the basis of this analysis alone.

19. Evaluation reports and presentations should be tailored to the decision-maker's needs.
 - 19.1. Decision-makers typically want to know if a project is any good, not how the evaluator arrived at his conclusion.
 - 19.2. Presentation strategies probably will differ for different kinds of data.
 - 19.2.1. For largely descriptive and qualitative data that are primarily logic-based.

- * presentation should stress logic employed.
- * flow-chart and graphic representations often helpful.

19.2.2. For largely quantitative data.

- * statistical and technical detail presented as an appendix for the interested decision-maker.
- * statistical findings should be translated into layman's terminology.
- * statistical detail presented as graphs, tables.



Module 8 Planning An Evaluation

OBJECTIVES

At the end of this segment, participants will be able to:

1. State the reasons for planning the evaluation function and for having a written evaluation plan.

2. Identify and explain the steps involved in preparing an evaluation plan and in keeping the plan current and realistic.

LECTURE NOTES

1. The need for planning the evaluation function.

1.1. For the project staff the evaluation plan performs several functions.

1.1.1. It helps the project staff to check the project logic since the mor and the network enable a thorough review of the project logic.

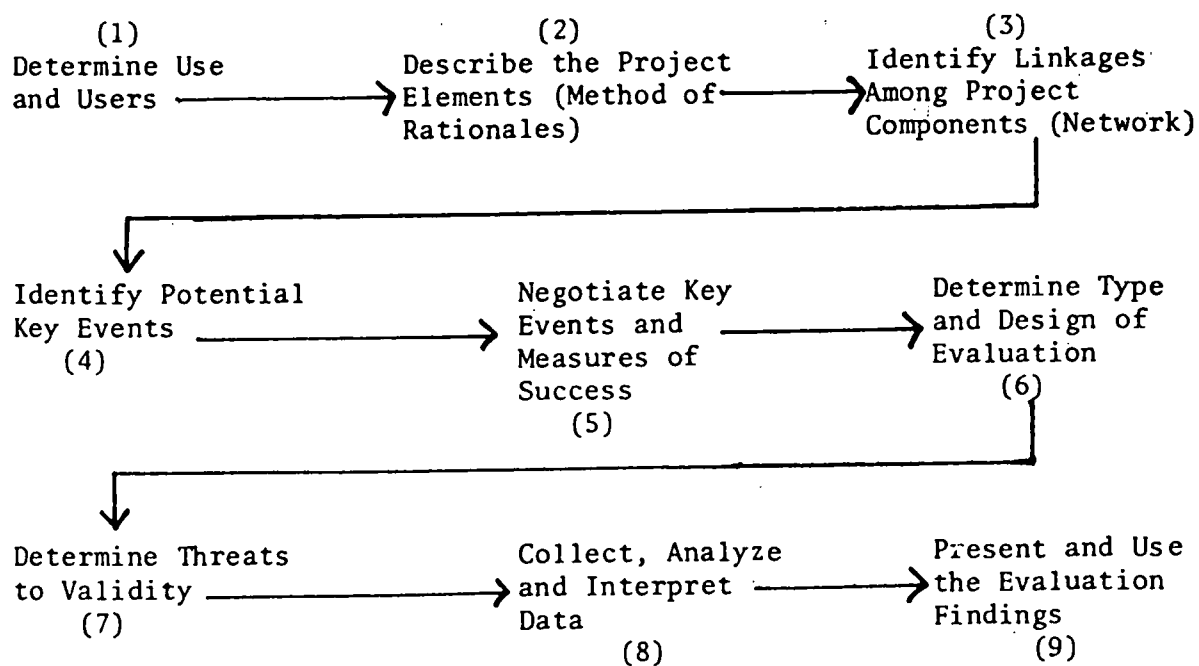
1.1.2. It lets the project know what to expect in terms of the aspects of the project which will be under close scrutiny.

1.2. For the evaluator the plan also serves several functions.

1.2.1. It aids in the effective use of scarce resources.

1.2.2. It identifies which type of evaluation is needed.

- 1.2.3. The plan should not be a routine checkoff, it should be the document which guides the evaluation.
- 1.2.4. The plan helps the evaluator to plan each evaluation in a unique fashion since each evaluation is different.
- 1.2.5. An evaluation plan helps the evaluator keep on time in order to provide information to decision-makers.
- 1.3. For decision-makers the evaluation plan also serves several functions.
 - 1.3.1. It identifies the selected key events so that every one knows what information can be expected from the evaluation.
 - 1.3.2. It identifies when results and outcomes can be expected.
- 2. The evaluation plan is developed in three stages.

STEPS IN PROJECT EVALUATION

- 2.1. The evaluation purpose-this identifies the focus of the evaluation and the logic of the project. (steps 1-7 of the model).
 - 2.2. The data collection plan identifies specific evaluation requirements and resources (step 8 in the model).
 - 2.3. Final considerations-these enable the evaluator to realistically review the plan, keep it current, and ensure that it stays viable during implementation(step 9).
3. Defining the evaluation purpose consists of seven steps.
- 3.1. Step 1. This involves a consideration of the evaluation environment. Why is the evaluation being conducted?
 - 3.2. Step 2. The project components need to be categorized, i.e., a method of rationales needs to be completed.
 - 3.3. Step 3. The project logic needs to be networked.
 - 3.4. Step 4. Potential key events need to be identified.
 - 3.5. Step 5. The type of evaluation must be determined.
 - 3.6. Step 6. The design of the evaluation must be determined.
 - 3.7. Step 7. Threats to validity must be considered in light of the design chosen.
4. Why is the evaluation being conducted?
- 4.1. An evaluation is performed to determine the value of a project.
 - 4.2. Evaluation assists in making decisions about the project. It informs decisions.
 - 4.3. If there is no decision to be made or no request for information about the project the evaluation is probably not worth doing.

- 4.4. Developing written reasons for doing the evaluation helps to focus the effort.
- 5. The method of rationales logically connects project inputs and activities with results and outcomes.
 - 5.1. A completed method of rationales may identify gaps in project logic.
 - 5.2. It can identify unanticipated and, possibly, unwanted results.
 - 5.3. It can provide the basis for a common understanding of the project by project staff, the evaluator, and decision-makers.
 - 5.4. The mor helps to identify key events.
 - 5.5. Remember that the method of rationales helps the evaluator to understand the way in which a project relates to long-range effects and the critical variables in that relationship. Recall the steps in completing an mor
 - 5.5.1. Be familiar with all components.
 - 5.5.2. Categorize the elements.
 - 5.5.3. Look for logic.
 - 5.5.4. Look for specificity.
 - 5.5.5. Check the correctness of your understanding of the project logic.
- 6. Note: a possible class discussion question is "what should you do if the logic is not there as you complete the mor?"
- 7. Networking further defines the relationships of project components.
 - 7.1. Networking allows the evaluator to link each component to a following component.
 - 7.2. Networking may allow the development of a sequential timetable for each event.

8. Key events are the inputs, activities, results, and/or outcomes that are crucial to the success of the project and must be related to the needs of those who can use the information.
 - 8.1. Complex projects may have many activities, results, and outcomes which could be evaluated.
 - 8.2. It is not possible to examine every project component and relationship.
 - 8.3. Evaluation must focus on the important and key aspects of the project. Remember the ways of determining key events discussed earlier.
 - 8.4. Key event analysis will result in more useful evaluations.
9. Once the key events to be evaluated have been determined, there must be a consideration of the type of evaluation to be conducted.
 - 9.1. Monitoring focuses on the relationships between inputs and activities.
 - 9.2. Process evaluation focuses on the relationships between and among inputs, activities, and results.
 - 9.3. Impact assessment focuses on the relationships between and among inputs, activities, results, and outcomes.
 - 9.4. These types differ in time frame and focus.
 - 9.5. They have important and diverse uses.
10. Once the type of evaluation is selected and the key events have been identified, the design of the evaluation must be specified.
 - 10.1. The design that is selected should seek to enable the evaluator to answer the question asked.
 - 10.2. The design may be descriptive or comparative, or some combination of the two.

11. The next step involves a consideration of validity threats.
 - 11.1. The evaluator should consider what threats are not controlled for by the design that has been selected. The threats are based on an examination of the key events to be analyzed and the measures of success.
 - 11.2. To perform this step the evaluator should consider the degree of accuracy that is desired in being able to state conclusions.
 - 11.3. The evaluator must consider how much uncertainty that the project "caused" the effects discovered is acceptable.
12. The next step in determining the data collection plan includes a consideration of the following:
 - 12.1. Step one: establish measures of success for each key event.
 - 12.1.1. A measure of success sets a standard to judge the progress of a given key event.
 - 12.1.2. If the process of planning a project has been carried out correctly there should be measures of success already well specified in the project proposal.
 - 12.1.3. Important types of questions to be asked are: "what proof do you need?" "how certain must you be?" This helps to focus on gaining agreement on measures of success.
 - 12.2. Step two: select appropriate methodology.
 - 12.2.1. For each key event to be evaluated the design to probe causal linkages needs to be specified.
 - 12.2.2. Designs for a given project may be descriptive, comparative, or some combination thereof.

12.3. Step three: determine availability of data/information.

12.3.1. The answer to the question of data/information availability for meeting decision-maker needs interacts very directly with the notion of available resources. Data may be available if you have the resources to obtain them, but not having such resources alternatives must be sought or the key event dropped from your plan.

12.3.2. Very detailed and/or complex data may require special forms and procedures, while aggregated or obtrusive data may be relatively easy to obtain.

- * knowing how many people came to counseling is a lot easier to find out than "when they came, how long they waited, how long they stayed," etc.

- * if the simpler approach will answer the user's needs, don't try to collect the difficult material.

- * however, the "fineness" of the data available must be appropriate to the fineness of the data needed to measure the objectives previously established (e.g., if data are collected in terms of days, then it is not possible to meet an objective that is established in terms of hours).

12.3.3. Check on confidentiality or security problems connected with the data you decide you need.

- * this could be a special problem with juvenile data--a court order or parental permission may be required to obtain certain kinds of sensitive records.

- * look for alternatives when it is apparent that you will have problems of this sort.

12.3.4. It may be possible to combine certain data collection activities so that what would have been difficult to obtain may be available through other channels or connected with other activities.

- * if other agencies are working with the project they may have what is needed.

12.4. Step four: determine how data will be collected. There are essentially three possibilities in terms of the general procedure one would follow.

12.4.1. The needed information will be automatically generated by the project and can be extracted almost as is.

12.4.2. Some formatting and manipulation of existing sources would be required to get the information.

12.4.3. The information will not exist in any form and some means will have to be devised to obtain it.

- * new forms.
- * phone surveys.
- * personal interviews.
- * site visits.
- * file searches.
- * questionnaires.

12.4.4. The question of "how" relates closely to "who" and to the availability question.

12.4.5. Remember that in general projects do a poor job of record-keeping and one cannot assume that what may appear to be the most obvious and simple kind of data will, in fact, be available to you from project records and files.

12.4.6. The standardization of the "what" and the "how: question by means of pre-formatted monitoring forms and one-day site visits, while perhaps necessary in some situations, is considered to be too "packaged" for really effective and efficient monitoring.

12.5. Step five:determine who will collect the data.

12.5.1. Specifically who is going to collect the information? Are you or a member of your staff going to collect it during a site visit? Will assistance from project personnel be required to obtain it? Can it be obtained from the completed monitoring form? From existing records and files? From modified forms or files?

12.5.2. If you have to ask project personnel to collect data for you, they should be aware of the use to which such information will be put and how it would be to their own benefit to provide it carefully and accurately.

12.5.3. Asking for information that has no identifiable use leads to sloppy and inaccurate data.

12.5.4. If you plan to verify the data you get from others, let them know this and that excessive errors will require corrective action.

12.5.5. Give as much advance notice as possible as to the need for data, particularly if project data collection must start before you will actually need to obtain the data for evaluation purposes.

- * if special forms would be required to get the needed information they must be designed, distributed, explained and possibly monitored during early use.

- * an early site visit would be an appropriate time to go over your entire data collection plan and to introduce any such new or modified forms or to convey any special instructions re record handling, filing, tabulating, etc.

12.6. Step six: determine when data will be collected/analyzed.

12.6.1. When are the data needed? Now that there is a more detailed understanding of what is available and how it will be collected, the timing of the data collection operation can be reviewed and specific target dates established

12.6.2. The key to the timing question is still the needs of the user of the data.

12.6.3. While there may be an understandable tendency to try to get management types or information as early as possible, there is also the danger that such data and information will be obtained too early.

- * a project needs time to "settle in" and to make the necessary staff and operational adjustments.

- * trying to obtain evaluative data during this time not only frustrates the project staff but may lead to premature recommendation for corrective action

12.7. Step seven: how will data be verified.

12.7.1. If plans do not include the time and resources needed to verify data there may be problems later in terms of having adequate manpower to do the job properly.

12.7.2. Where data cannot be verified and where error rates would be considered potentially high, alternative data sources may be sought.

- * the trade-off between accuracy and relevance may be a difficult one.

- * if the alternative source is not available, the effort to evaluate that item may need to be dropped.

12.8. Step eight: how will data be analyzed.

12.8.1. While a detailed analysis plan is not necessary at this point, some notion about how you will deal with the material you get is appropriate at the planning stage for purposes of resource allocation.

12.8.2. Consider the format of the information.

- * tables.
- * charts.
- * color-coded.

- * three-dimensional.
- * slides.
- * overhead.

12.8.3. How complex will the analysis be.

12.8.4. Simple descriptive.

12.8.5. Statistical.

12.8.6. Computer analyzed.

12.8.7. Who will need to understand it.

- * project director.
- * spa personnel.
- * supervisory board members.

12.8.8. Evaluation findings should be presented against the objectives that were originally established

- * do not vary from them unless such changes were previously agreed to.
- * making value judgements is not necessary if the information is presented factually and compared with the agreed-to objectives.

12.9. Step nine:determine how findings will be used and presented.

12.9.1. This step is the bottom line of evaluation, since its purpose is not to collect and analyze data but to inform others.

12.9.2. Identifying the channels of communication as part of the planning process avoids difficulties later.

- * many evaluation efforts are perceived by operational personnel as a way of grading them, not helping them.
- * finding out that the project was criticized without an opportunity to comment on the issue or to correct it alienates project people and does not serve the cause of monitoring.

12.9.3. Principles of good communication apply to all evaluation efforts

- * keep channels open in both directions.
- * do not allow information to be used in ways not originally intended.
- * do not change the findings because someone disagrees with them.
- * make your findings clear, simple and concise.
- * emphasize the positive aspects and carefully document the negative.
- * make recommendation, if appropriate, when negative findings are presented.
- * do not make personal references unless it is unavoidable.

12.9.4. The procedure for distributing and filing all types of reports should be worked out in detail.

- * is there a "working copy"?
- * who gets it?
- * what options do they have to change it?

- * how long do they have?
- * where does the final copy go?
- * what actions are to be taken?

12.10. Summary

12.10.1.

As a result of the previous steps it is now possible to complete the evaluation plan in detail and to be reasonably confident that it is do-able (you have the resources), understandable, and that it will provide information that will be of value to others. Furthermore, those who will be involved in the effort will know what to expect, when and why. The plan should be continually reviewed and kept current.

12.10.2.

A plan that does not adjust to changes is going to be in serious difficulty before the project is over. Plans should be reviewed in the light of internal and external changes.

- * internal changes may be the result of monitoring and/or evaluation activity.
- * suggestions based on the monitoring input for a new schedule or a new procedure may have a direct impact on the remaining evaluation activities.
- * such mid-course corrections can legitimately be the basis for change since they were a direct result of, and one of the primary purposes for doing evaluation in the first place.
- * external changes may also result in a change in the evaluation plan.

- * if the internal or external changes are related to avoidable project problems they become an occasion for a possible technical assistance recommendation which may begin the cycle of change and revision all over again.

12.10.3. Changes in the evaluation plan must be communicated to those who should or need to know.

- * changes in site visit schedules would be an important item to get to project personnel.
- * changes in objectives and criteria for their attainment must be given careful thought since they should not be a product of problems with the project but of conscious and approved decision to change them.
- * a project that cannot meet the original requirement for finding jobs for ex-offenders cannot simply lower the standard and then expect to be considered as having met the requirement.
- * a project that is dependent upon the delivery of equipment cannot be held responsible for unforeseen delays, and it would make no sense to expect the project to meet its schedule under such circumstances.

12.10.4. Evaluation plans, like any other plan, are a tool to help solve problems. When such plans become burdensome to carry out, irrelevant and rigid, they become part of the problem rather than the solution.

13. Questions and discussion points.

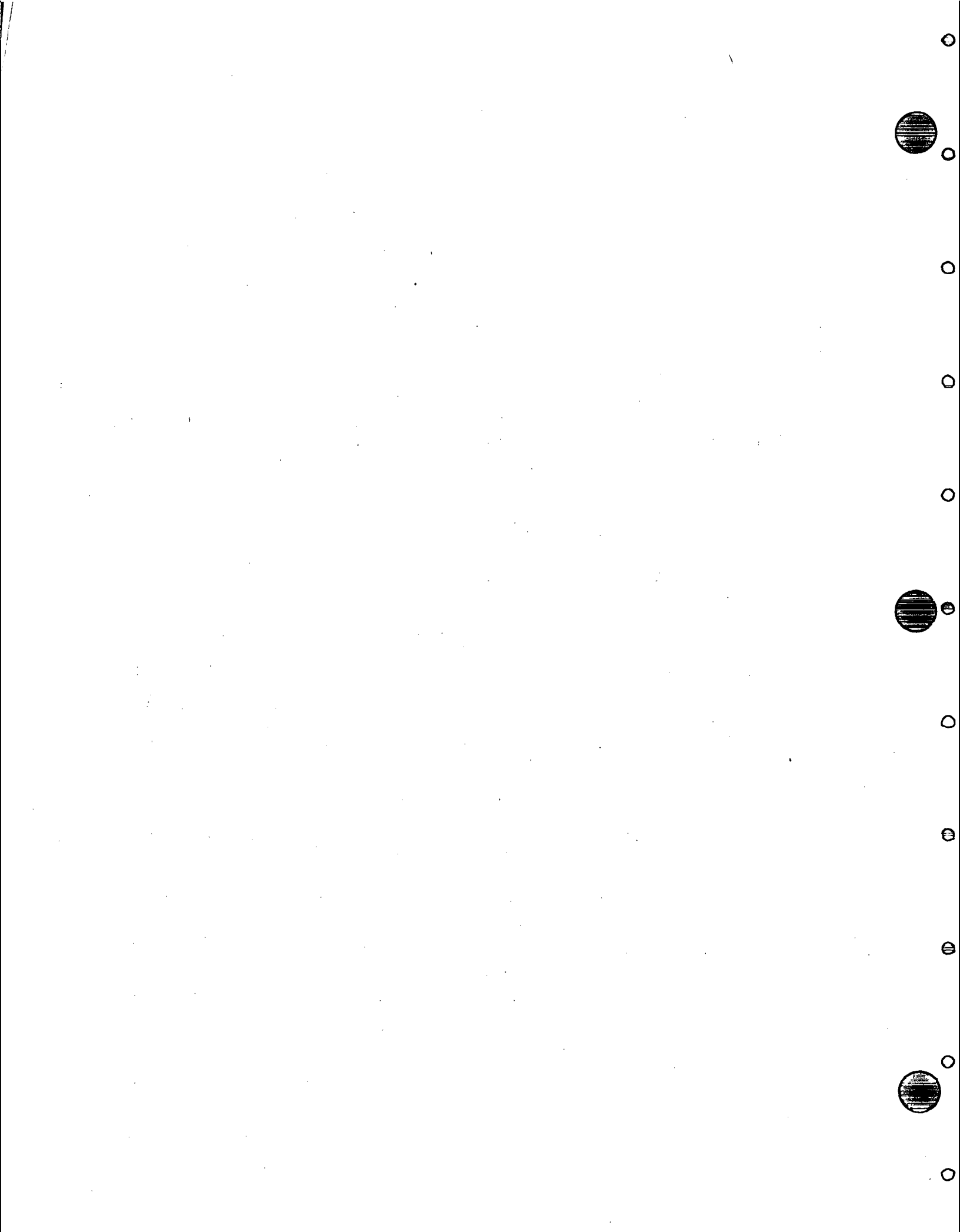
- 13.1. Relate the approach taken here to "real world" constraints in your own shop.
- 13.2. Are there obstacles to the adoption of some of the ideas expressed in this segment? Can you overcome any of them? How?

14. Final considerations.

- 14.1. The evaluator should give some thought to what may go wrong in conducting the evaluation. Such anticipation may help to complete a good evaluation.
- 14.2. To make the evaluation process work, the evaluator should:
 - 14.2.1. Seek to answer the right questions.
 - 14.2.2. Be accurate.
 - 14.2.3. Be on time.
 - 14.2.4. Look for project strengths as well as weaknesses.

15. Module summary

- 15.1. Review the module objectives.
- 15.2. Stress the need for planning evaluations.
- 15.3. Review briefly the steps in the evaluation work plan.
- 15.4. Go over the course visual.



Workshop F
Developing An Evaluation Plan

OBJECTIVES

At the end of this segment the participants should be able to develop a detailed evaluation plan.

LECTURE NOTES

INSTRUCTOR NOTE: this final segment gives participants an opportunity to completely plan and design an evaluation effort. It reinforces the skills they have learned throughout the course. The one new element is completing the data collection plan.

1. Introduction

This workshop is designed to give you the opportunity to develop a detailed evaluation plan for a typical criminal justice project. To do this systematically, seven tasks are performed in sequence:

- 1.1. Identifying why you are doing the evaluation.
- 1.2. Preparing a method of rationales to describe the project.
- 1.3. Preparing a network diagram.
- 1.4. Developing pertinent evaluation questions that identify key events to be analyzed.
- 1.5. Deciding on the type and design of evaluation you will do.
- 1.6. Identifying what threats to validity could apply to each question.
- 1.7. Developing the detailed work plan for data collection and analysis.

The instructor has demonstrated the data

collection plan tasks tasks by "walking through" an example in the previous module.

2. Now you will be organized into groups to develop on your own an evaluation plan for another project. All the forms to help you complete the exercise are in these materials. After preparing the evaluation plan, each group will present it to the other participants. What you are to do for each step is outlined below:
3. FIRST: decide why you are doing the evaluation. (the instructor may provide you will some of the interests decision-makers have in the project.)
4. SECOND: prepare a method of rationales.
5. THIRD: prepare a networking diagram.
6. FOURTH: define key project events that will be evaluated and form preliminary evaluation questions.
7. FIFTH: identify the type of evaluation you will be doing and the design you will use.
8. SIXTH: identify the threats to validity which may exist as a result of the evaluation design you chose related to the evaluation questions.
9. SEVENTH: develop a detailed data collection plan including:

what are the measures of success for each key event or activity?

What design will be used?

Is the information wanted available?

How will the information be obtained?

Who will obtain the information?

When should the information be obtained?

Can the data be verified and how?

How will the information be analyzed?

How will the information be used/presented?

- 9.1. NOTE: you will have approximately 2 hours to complete these seven steps of the activity. Then you should:
10. EIGHTH: prepare for a 15 minute class presentation based on the worksheets which your group completed.
- 10.1. NOTE: spend about 15 minutes on this step.
11. NINTH: make the 15 minute class presentation.
- 11.1. NOTE:: an instructor-led critique and discussion will follow the presentations.
12. TENTH: read the project description supplied in your participant guide.

EXAMPLE

PROJECT NARRATIVE

13. PROBLEM STATEMENT.

- 13.0.1. During the past two years there has been a major increase in the number of burglaries committed in residential and commercial areas of urban city. The number of reported burglaries increased by an average of 6 percent per year within 1975 and 1976.
- 13.0.2. It is widely believe that a major deterrent to burglaries is the permanent identification of property items likely to be the target of burglars and the clear identification of those residential and commercial establishments utilizing this approach.

- 13.0.3. It is proposed to establish a property identification project to be operated by the urban city police department to encourage and facilitate the identification of personal and business property.

14. II. OBJECTIVES.

- 14.0.1. To enroll 25 percent of residential and commercial property owners (n=27,000) in those parts of the city designated as high burglary risk areas during the first year.
- 14.0.2. To reduce burglaries in those areas of 10 percent at the end of the first year.
- 14.0.3. To increase the value of stolen property recovered by 20 percent at the end of the first year.
- 14.0.4. To increase the percentage of burglary crimes cleared by arrest by 5 percent at the end of the first year.
- 14.0.5. To reduce the degree of citizen apprehension and concern over the prospect of being burglarized.

15. III. IMPLEMENTATION PLAN.

- 15.0.1. To hire and train 24 full-time project staff, including a senior and assistant project director, 4 record clerks, 3 identification team supervisors, and 15 property identification specialists. (within 30 days of project start-up.)
- 15.0.2. To purchase or lease necessary equipment, materials, and facilities, including property identification engravers, inventory forms and decals; office space, supplies and other equipment. (within 30 days of start-up.)

- 15.0.3. To develop and present various forms of media material to increase public awareness of the project. (within 90 days of start-up.)
- 15.0.4. To solicit public participation in the project through direct contact with area residents and merchants.
- 15.0.5. To make available at various locations necessary equipment and forms for individual citizens to inventory and mark valuable possessions.
- 15.0.6. To permit enrollment by (1) citizens calling project and staff going to home to mark property, (2) citizens agreeing to mark property during staff surveys of area, and (3) citizens going to a centralized site to enroll and mark own property.
- 15.0.7. To develop and maintain a record of all property identified through the project.

16. FIRST YEAR EVALUATION RESULTS.

The project was reviewed after one year for refunding. The supervisory board had indicated that it was unlikely that the project could demonstrate any of its long-term objectives until a significant proportion of the residential/commercial units had been enrolled. Thus, refunding was based on evidence of success in carrying out the implementation plan and meeting the enrollment objectives as well as the demonstration that identification techniques were indeed being utilized by the enrollees in a significant number of units.{

Upon the evaluators positive report after one year of funding, the board decided to refund and to expand the project to other sectors of the city. This one-year expansion of the project was contingent upon the project assessing which of the contact methods was the most effective in enrolling the greatest number of units. The board also recommended that the start-up process in the new areas be monitored as closely as the initial ones and an interim report be provided to

curtail unnecessary spending of the city's money as well as to assess the initial success of the new efforts.

Additional staff, equipment, and materials were provided to expand the project.

17. DECISION-MAKING REQUIREMENTS.

After two years of the project's life, the board is interested in assessing the success of the project in a number of areas:

(1)an indication of the project's success in affecting burglary and citizen perception of crime in the target areas;

(2)the impact these projects have had, if any, on the overall crime and specific burglary rates (both city-wide and in the project target areas); and,

(3)an indication of any significant change in citizen perception in the target areas as well as in the non-target areas.

APPENDIX

- Jurisdiction Descriptions for Workshop A
- Work Release Project Description and Worksheets for Workshop B
- Monitoring Report for Workshop C
- Project PROUD Description for Workshops D and E
- Case Examples for Workshop F



WORKSHOP A

APPLICATION: EVALUATION PRACTICES

OBJECTIVES

At the conclusion of this workshop, participants will be able to:

1. Describe their evaluation practices relative to those in other jurisdictions and/or agencies.
2. Identify similarities and differences between their own roles and those of counterparts in other units and to identify strengths and weaknesses of their various evaluation approaches.

Introduction

The purpose of this workshop is to provide an opportunity to discuss the role of evaluation in the Criminal Justice system and to allow you and your fellow trainees to compare evaluation terminologies, roles, and structures in your own jurisdictions. You will be divided into smaller groups for this workshop. Each group will make a report to the class on the results of its discussion.

An additional objective of this activity is simply to encourage you to get to know other course participants and begin to feel comfortable in contributing your questions and comments throughout the remainder of the course.

The instructor will go over each of the following steps with you before you begin. All of these steps except the last one are done in your small groups. Now is the time to clear up any difficulties you might have.

Step One. Read descriptions of evaluative activity in other jurisdictions which have been assigned by the instructor.

- Read over the descriptions assigned. These were compiled at the first annual meeting of SPA evaluators, held in Seattle on April 20-21, 1977 and published by the National Conference of State Criminal Justice Planning Administrators (Taxonomy of Evaluation in the LEAA State Planning Agencies by Jack O'Connell, June 1977). The format has been changed somewhat from the published version but the content is essentially the same.
- These descriptions are provided to suggest some of the elements that might be included when you begin to describe evaluation in your own jurisdiction, as well as to illustrate the variation in roles, terminologies, and structures in the criminal justice system.
- NOTE: Spend about 5 minutes reading the assigned descriptions.

Step Two. Describe evaluation in your jurisdiction on the worksheet provided (column one).

- ° Fill in the items about evaluation in your jurisdiction on the worksheet provided. Even if your own jurisdiction was one of the assigned descriptions, you may need to update the information provided and you will have to supplement the description in some areas.
- ° These notes are for your own use during the group discussion and will not be reported individually to the class. Do not be concerned if you are not sure about all the characteristics of your jurisdiction.
- ° NOTE: Spend about 10 minutes on this step.

Step Three. Discuss each of the items included in the worksheet.

- ° As a group, discuss the items on the worksheet in turn, considering the similarities and differences among the jurisdictions represented in your group.
- ° A second column has been provided on the worksheet for you to record comments about other jurisdictions, if you wish.
- ° As you discuss the items, where appropriate, try to point out the strengths and weaknesses of the approaches in your own jurisdiction as compared to other jurisdictions.
- ° NOTE: Spend about 45 minutes on this step.

Step Four. Prepare for presentation to group.

- ° Develop a 10-minute presentation which summarizes the similarities and differences among jurisdictions represented in your group, as well as any strengths and limitations of various approaches which were identified in your discussion. Organize your presentation around the items which were presented in the worksheet.
- ° You can divide up the presenting task any way you wish.
- ° NOTE: Try to complete this step in 15 minutes.

Step Five. Make presentation to class.

- There will be an instructor-led class discussion after each presentation.

State "A" (population 3.4 million)

Decision Policy: Funding decisions are made by the Governor's Supervisory Board based on recommendations from the SPA staff. The SPA staff makes direct input to the Supervisory Board on the results of evaluations.

Evaluation Practices: All evaluations are performed by Auburn University under contracts supervised by a small evaluation management core within the SPA. Three types of evaluation are conducted:

- ° Intensive - evaluation characterized by cause-and-effect designs with the goal of providing "proof" of a project's impact.
- ° Process - evaluation consisting of pre- post-designs measuring changes in recidivism rates, system rates, etc.
- ° Monitoring - measures whether or not fiscal and project objectives are being met.

Budgeted Resources: Funding provides \$100,000 for evaluation management and monitoring (excluding overhead); \$105,000 for monitoring by local regions; \$100,000 to \$150,000 for contracts with Auburn University.

Staffing includes 1 full-time director and 2 professional staff at the SPA; 8 full-time monitors in the RPU's; and 1 director, 1-1/2 professional staff, 6 graduate students, and 1 support staff at Auburn University.

Region #1: State "B" (population 1.5 million)

Decision Policy: Regional Criminal Justice Coordinating Council priorities are submitted to the SPA and State Council for pro forma review. Grant applications are screened for evaluation purposes by the RPU.

Evaluation Practices: All project evaluations are conducted by independent contractors under the supervision of the regional evaluator; program evaluations are performed by the RPU staff. Prior practice of grantees contracting directly for evaluation was discontinued because of lack of objectivity and their failure to use qualified contractors. All evaluations are intensive, examining outcome and impact variables such as recidivism, crime rates, system improvement, and cost-benefit.

Budgeted Resources: Funding provides \$75,000 for RPU evaluation activities; in addition, 3% to 10% of each grant is reserved for an evaluation contract.

Staff at the RPU consists of 1 full-time director, 1.4 professional staff and 1 support staff.

Decision Policy: Program plans are developed by the SPA staff based on needs assessments and regional suggestions. After reviews, funding decisions are made by the Executive Committee of the State Crime Commission. Planning staff recommendations include evaluation information.

Evaluation Practices: All project and program evaluations except for corrections are conducted by SPA staff. Adult and juvenile corrections efforts are evaluated by the agencies concerned with State Crime Commission funds. Most evaluations incorporate quasi-experimental designs using a pre-test/post-test strategy. There is an increasing emphasis on cost-benefit analysis.

Budgeted Resources: Funding provides \$88,000 for SPA evaluation activities plus an additional \$113,000 for evaluations in corrections.

Staffing in the SPA includes 1 full-time director, 2 evaluators, 3 researchers, and 1 support staff.

State "D" (population 6.0 million)

Decision Policy: The SPA develops funding guidelines and recommendations.

The Governor's Committee reviews and then approves or disapproves individual grant requests. Evaluation findings are provided to the SPA staff, selected members of the Governor's Committee including the Subcommittee on Evaluation, and sometimes the State Legislature.

Evaluation Practices: All evaluations are designed by the SPA evaluator but performed by independent contractors. Previously, evaluations were conducted through grants to universities but this was changed because of lack of control, because time tables were not being met, and because the academic approach did not produce good products. Funds are now being used to develop evaluation capabilities in Boston and other agencies. Three types of evaluation are conducted:

- Process evaluations, which are encompassed by the monitoring effort.
- Impact/Outcome evaluations, which examine all variables such as recidivism, crime rates, behavioral change, system improvement, and cost efficiency.
- Needs Assessment Studies.

Budget Resources: Funding provides \$75,000 for monitoring and \$305,000 for evaluations including \$125,000 in discretionary funds.

Staffing consists of 1 full-time director, 2 evaluation specialists, 5-1/2 monitors, and 2-1/2 support staff.

State "E" (population 9.3 million)

Decision Policy: The State Plan establishes priorities for planning by the regions. All projects are reviewed by the SPA staff, but local priorities tend to determine funding. Recommendations for special conditions on grants for evaluation are made by the evaluation staff. Program evaluation results are directed to the State Commission's Management Committee which prepares changes in the State Plan.

Evaluation Practices: Projects are evaluated by a local evaluation unit or by contract with the grantee. All designs are approved by the SPA evaluation staff. Program evaluations are conducted or contracted by the SPA evaluation staff. Having grants select their own evaluator is being abandoned because this has produced poor results and is too expensive. There are three types of evaluations:

- ° Standard Program evaluations cover the first year of a number of related projects and seek information on organizational efficiency and on target area and/or target population.
- ° Intensive Program evaluations usually contain a quasi-experimental design and cover the life of a number of similar projects.
- ° Local evaluations are process or outcome evaluations.

Budgeted Resources: Funding provides a total of \$220,000 for SPA evaluation staff and contracts. Local evaluations are funded from the grant.

Staffing at the SPA includes 1/2 director, 2 professional staff, and 4 or 5 evaluation assistants.

Workshop A: Worksheet for Describing Monitoring/Evaluation in Own Jurisdiction

| Item | Own Jurisdiction | Notes on Other Jurisdictions (Strengths & Weaknesses, Differences & Similarities) |
|---|------------------|---|
| Jurisdiction: | | |
| Population Size | | |
| BUDGETED RESOURCES | | |
| - Funds Available | | |
| - Staffing Level | | |
| EVALUATION PRACTICES | | |
| - How are responsibilities for monitoring/evaluation organized? Who is responsible for designing and conducting monitoring and evaluation activities? | | |
| - What different types of monitoring/evaluation are performed (what terms are used?) | | |
| - What kinds of monitoring/evaluation are emphasized? | | |
| - What is your role? | | |

| Item | Own Jurisdiction | Notes on Other Jurisdictions (Strengths & Weaknesses, Differences & Similarities) |
|---|------------------|---|
| DECISION POLICY | | |
| - Who develops program plans, sets priorities, establishes policy? | | |
| - Who makes funding decisions? | | |
| - What role do monitoring/ evaluation activities play in the planning and pro- gram development cycle? | | |
| - How are evaluation findings used by project managers? By supervisory board members? By other audiences? | | |
| - How are evaluation findings used in making decisions to: 1) fund/not fund a project, 2) modify a project, or 3) institutionalize a project? | | |
| - Do monitors/evaluators in your jurisdiction make specific project, program, or policy recommendations? What kinds and to what audiences? | | |

A-12

WORKSHOP B
DETERMINING PROJECT LOGIC

Workshop B
Determining Project Logic

OBJECTIVES

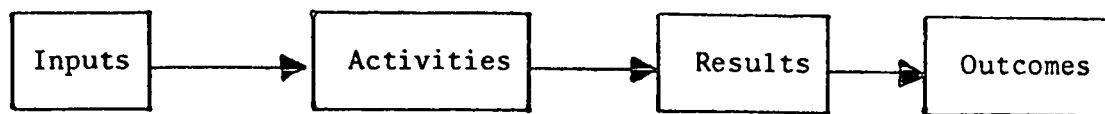
This workshop is an exercise that is aimed at developing competence in completing the first phase of evaluation for a given project - that of describing a project in order to understand its logic. The skills to be mastered are:

1. Applying the method of rationales to a project.
2. Specifying the logical linkages among the components.
3. Identifying potential key events.
4. Establishing evaluation questions and measures of success.

Introduction

During this workshop you will practice applying the method of rationales to an actual criminal justice project. First, however, the method will be demonstrated for you.

The method of rationales is used to set out the logic of a project in an organized way so as to make monitoring and evaluation possible. Important components of a project usually are presented in the proposal, but sometimes they are not. All of these components have to be identified, however, to determine what should be examined for assessment purposes, and to obtain agreement on which inputs, activities, results, and outcomes are the most critical for project success. Use this framework to identify significant project components.



After the demonstration, you will have a chance to apply the method of rationales to the exercise in a small work group.

During this workshop, we want to emphasize the logic behind social change projects. Identifying key project components is more important than how you categorize them, since classification questions can usually be resolved with the project staff when the method of rationales is applied.

The materials you will need for this workshop (example, exercise, instructions, and worksheets) follow.

Step One. Read the Example project description and the Instructions:

Applying the Method of Rationales.

- Read through the description and the instruction sheet. The project description provided here, like the project materials you will encounter

throughout the course, has been abstracted from information on a "real world" project. There are many details about the project that purposely have been omitted. They are not critical to your task. You may not agree with the logic of the project, or the way it has been described, or the way its objectives have been stated. (You often may encounter this situation on-the-job, as well). It should not prevent you from completing the exercise, which consists of applying the method of rationales, networking, identifying potential key events, stating some evaluation questions and specifying measures of success.

Step Two. Walk through the example with the instructor.

- ° Turn to the completed worksheets for the status offender project. They have been prepared by an experienced evaluator, but note that there is no one "right answer". Evaluators may differ somewhat in how they complete the method of rationales, and the networking diagram, although we would expect their overall results to be similar.
- ° Follow along as the instructor walks through the process of completing the worksheets. Now is the time to ask questions if you are not clear about the steps in applying the method of rationales, differences among inputs, activities, results and outcomes, or networking.

Step Three. In a small group workshop, apply the method of rationales, complete a networking diagram, identify potential key events that would lead to preliminary evaluation questions based on the project description, and specify measures of success.

- Read the Exercise description of the project provided. Remember that this description is based on "real world" project documents and may not be perfect. However, sufficient information is presented to complete the exercise.
- Proceed to apply the method of rationales to the description, complete a networking diagram and formulate three preliminary evaluation questions based upon identifying key events and their measurable success criteria (measure of success) following the steps set out in the instruction sheet.
- NOTE: You will have approximately one hour to complete this activity.

Step Four. Prepare for presentation of results.

- Prepare the three worksheets on the work release project for presentation to the class. You may be asked to present your worksheets or a portion of them to the class, or to comment on and supplement the worksheets of another group.
- Decide who will be group spokesperson in the class presentation.
- NOTE: Spend about 10 minutes preparing for the presentation.

Step Five. Participate in presentation of results.

- Contribute your group's results as directed by the instructor.
- An instructor-led critique and discussion will follow the presentation of results.

EXAMPLE

Project Narrative: A Group Home for Status Offenders

I. Problem Statement. The Need for Assistance is as follows:

- ° Approximately 3500 juveniles are adjudicated for status offenses each year in the county. Most are placed on probation or otherwise returned to the community. However, during the past three years, 121, 160, and 178 juveniles were committed to institutions.
- ° Institutionalization for status offenders seems to be ineffective. Among those who were released in the past three years, there were 143, 150, and 136 instances of return to court, including several who were returned more than once.
- ° As part of the State's Alternate Residential Environment for Offenders, a residential center will be created to reduce the number of status offenders sent to institutions to zero.

II. Objectives. The objectives of this project are:

1. To divert to an alternate residential setting, all status offenders who are referred by the Youth Bureau or the Family Court and who are potential institutional commitments.
2. To facilitate prompt re-entry of the child into his or her community - whether the child returns home, the child is placed with relatives or foster parents, or the child re-enters society in another acceptable way.
3. To reduce recidivism among status offenders by 40% during a 3-year period following release.

III. Implementation Plan. The tasks to be performed are:

- ° To rent and prepare a home with the necessary kitchen facilities, furniture, and office equipment suitable for housing up to 15 status offenders at any one time.
- ° To provide food, laundry and related services to clients.
- ° To provide 24-hour supervision, formal counseling and casework services, basic educational tutoring, and a comprehensive recreational program to clients in a physically, nonsecure setting.
- ° To utilize existing community resources and volunteer involvement for health care, social activities, and other services.

--continued--

IV. Staffing. The following staff will be required:

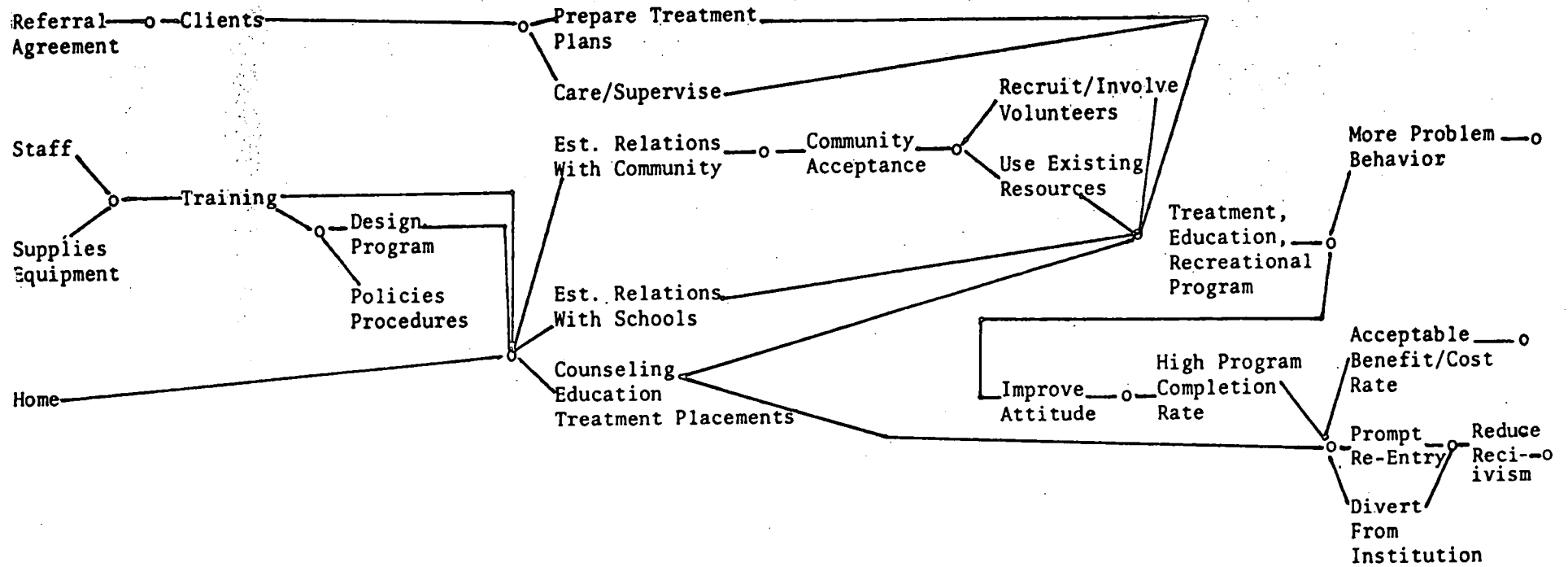
- A House Director
- A House Manager
- A Full-Time Counselor
- Two Part-Time Counselors/Tutors
- A Cook/Housekeeper

The house director will be responsible for staff coordination, the development of treatment plans, and day-to-day supervision of the residents. The director will live at the home.

The house manager will be responsible for food service, housekeeping, maintenance, and other administrative duties. The manager will also live at the home and substitute for the director in his or her absence.

The counselors will be responsible for carrying out the treatment, educational, and recreational programs.

GROUP HOME FOR STATUS OFFENDERS NETWORKING DIAGRAM



GROUP HOME FOR STATUS OFFENDERS
COMPLETED MOR

| INPUTS | ACTIVITIES | RESULTS | OUTCOMES |
|---|---|--|--|
| <ul style="list-style-type: none"> • 6 Staff • Appropriately Equipped Home • Supplies and Materials | <ul style="list-style-type: none"> • Treatment, Educational, and Recreational Programs • Care and Supervision • Prepare Treatment Plans • Use Existing Community Resources to Provide Services • Volunteer Involvement | <ul style="list-style-type: none"> • Prompt Re-Entry into Community | <ul style="list-style-type: none"> • Reduce Recidivism 40% over 3 years • Divert Status Offenders from Institutional Commitments to Zero |
| <ul style="list-style-type: none"> • Clients • Design Treatment Program • Policies and Procedures • Staff Training • Referral Agreement with Y.B. and F.C. | <ul style="list-style-type: none"> • Establish Relations With Community • Working Relations With Schools Established • Recruit, Screen, Train Volunteers • Recruit, Screen, Prepare Placements | <ul style="list-style-type: none"> • Acceptably High Program Completion Rate • Improved Attitude Adjustment • Acceptance of Group Home and its Residents by Community | <ul style="list-style-type: none"> • Acceptable Costs Compared to Institution • More Problem Behavior in the Community |

BRIEF DESCRIPTION OF LOGICAL LINKAGES AMONG COMPONENTS
IDENTIFIED FOR THE GROUP HOME STATUS OFFENDERS

Inputs to Activities

Trained staff, a well-designed program with appropriate policies and procedures, a home, and a referral agreement that gets clients are necessary to begin the project activities.

Activities to Activities

Treatment and the educational/recreational program are dependent on involvement of volunteers, ability to use existing resources, prepared treatment plans, care and supervision of the youth, school relations and the staff's ability to locate possible placements.

Activities to Results

A successful treatment program will improve youths' attitudes and a high program completion rate will occur. A negative program result could be more problem behavior in the community.

Results to Results

A high program completion rate will permanently divert youth from institutions and also enable the youth to quickly return to the community.

Results to Outcomes

A good program completion rate will ensure the program is cheaper than institutionalization. Prompt re-entry into the community and diversion from institution will reduce the re-arrest of the youth for more serious offenses.

PRELIMINARY EVALUATION QUESTIONS AND KEY EVENTS
FOR THE STATUS OFFENDER PROJECT

Inputs to Activities

1. Is program staff sufficient to establish relations with the community, prepare treatment plans, care and supervise the youth, establish relations with the school, and obtain possible placements?
2. Are appropriate treatment plans prepared for all clients referred to the program?

Activities to Results

1. Has the treatment and educational/recreational program improved the youths' attitudes?
2. Because the program takes place mostly in the community, have any new problems been caused in the community?

Results to Outcomes

1. Is the program completion rate sufficient to make this program less expensive than institutional confinement?
2. Can a significant reduction in recidivism be shown to have occurred because youth were diverted from the institution and promptly returned to their communities?

INSTRUCTIONS: APPLYING THE METHOD OF RATIONALES

- A. Step One: Describe the project in terms of the inputs, activities, results, and outcomes indicated in the project application or working description.
- ° Do not infer or assume any aspects beyond those indicated in the application
 - ° What are the inputs identified in this description? What are the activities, the results, the outcomes?
 - You may wish to begin with inputs or with outcomes. The order is not important, as long as you work through the project description to identify the specifics in each category
 - Where you classify specific entries is less important than identifying them. Evaluators may disagree on whether an element is best considered a result or outcome, for example. These questions can usually be clarified with the project staff
 - ° Entries should be described as exactly as possible
 - Use observable terms where you can (e.g., in terms of concrete things or overt behavior)
 - Incorporate detail where you can
- B. Step Two: Identify possible implied and unanticipated elements or components.
- ° After the inputs, activities, results, and outcomes have been laid out from project descriptive information, it may become apparent that some important elements have not been identified. An evaluator needs to analyze the project to see what was overlooked, since these omissions might strongly influence the project

- Implied project components may be identified by looking for "gaps" in the project description. For example, if an activity involves transporting clients, then an implied input must be vehicles or an agreement with the public transportation authority
 - "Unanticipated" project elements often are possible consequences of a project - results or outcomes - which have not been identified or expected by planners or project personnel but later may become evident to observers and/or staff. For example, if a police project hopes to produce an immediate result of increasing arrests for burglary, an unanticipated immediate result may be an increase in court backlog. Often, but not always, the evaluator can identify some of these possibilities in advance through examination of project logic and discussions with decision-makers
- C. Step Three: Network in order to identify the logical links within the project and select the key events central to the project's development. After the logic of a project has been described in detail it is necessary to decide upon linkages among the inputs, activities, and results most crucial for a project's development.
- D. Step Four: Use specific logical linkages, among two or more project events, to formulate three evaluation questions based upon identifiable key events and a measurable success criteria. One question should examine a linkage between inputs and activities; another - activities and results; and the third - results and outcomes.

EXERCISE

Project Narrative: A Local Jail Work Release Project

I. Problem Statement. The Need for Assistance is as follows:

- ° Statistics have suggested that merely holding persons in custody during the period of their sentences is an ineffective form of rehabilitation and may, in fact, result in an increased probability that the person will commit future crimes.
- ° Second, many of the persons currently imprisoned in the county jail do not have adequate job skills or experience with which they can find employment after release. Moreover, persons employed at the time they are imprisoned often lose their jobs as a direct result.
- ° Third, during the period of their imprisonment, prisoners are unable to support their families or pay their debts, thus casting the burden of support on public agencies, and increasing prisoner anxiety.
- ° Finally, the county has experienced a rapid increase in the cost of maintaining prisoners on a 24-hour-a-day basis, which, coupled with the crowded conditions in the jail, threatens the quality of supervision that can be maintained.
- ° For these reasons it is proposed to develop a work release program within the county jail.

II. Objectives. The objectives of the project are:

1. To prevent, control, and/or reduce future criminal behavior.
2. To provide rehabilitation programs to criminal offenders and to reintegrate them into the community as productive and law-abiding citizens.
3. To cooperate with all agencies within the criminal justice system and to utilize their services and other available community resources.
4. To protect the community from additional criminal acts during the correctional process.
5. To relieve the overcrowding in the county jail.
6. To provide a non-secure alternative to simple confinement.
7. To permit convicted persons to retain employment.
8. To permit convicted persons to provide support to their families, pay their debts, and help offset the cost of their supervision.

--continued--

III. Implementation Plan. The tasks to be performed are:

- Screening of potential participants for work-release status at the time of entry into the jail.
- Assessing the individual needs of prisoners.
- Developing a plan of rehabilitation for each inmate.
- Arranging for necessary social services to be provided by outside agencies.
- Locating potential employers for work-release participants.
- Supervising and monitoring persons while on work-release status and while in custody in the facility.

IV. Staffing and Staff Duties. The following staff will be required:

- A project director
- Two work-release counselor/coordinators

The project director will be responsible for coordinating the activities of the work release program with the other programs in the jail, will provide liaison between the project and other social service agencies, and will, as necessary, assist project staff in the operation of the project.

The work release counselors/coordinators will screen prospective participants in the project, will conduct interviews and testing of participants to determine their particular needs, will arrange and monitor services provided by other agencies, will assist participants in locating employment in the community, will provide individual and group occupational counseling, and will monitor project participants while on work release status.

METHOD OF RATIONALES

| INPUTS | ACTIVITIES | RESULTS | OUTCOMES | STATED | IMPLIED |
|--------|------------|---------|----------|--------|---------|
| | | | | | |
| | | | | | |
| | | | | | |

NETWORKING

PRELIMINARY EVALUATION QUESTION

WORKSHOP C

APPLICATION: PROJECT MONITORING

OBJECTIVES

Upon completion of this workshop, the participant should be able to:

1. Identify the specific evaluation methodologies applied in the report and describe how they were utilized.
2. Assess whether the interpretation of the findings was consistent with the information/data reported.
3. Judge the adequacy of the report for use by various decision-makers (monitoring unit manager, project director, supervisory board members).
4. Compare the clarity, organization, and adequacy of the report with those prepared at the participant's agency.

Introduction

The general purpose of Workshop C is to have you read an actual evaluation report so that:

- (1) You can relate its general content, organization, format, etc., with evaluation reports developed in your own agency, and,
- (2) You can relate its specific content (methodology, analyses, conclusions, etc.) to training material.

An integral part of most monitors' and evaluators' jobs is the preparation of evaluation reports. One way for you to reflect on the quality and utility of your own reports is to compare your experiences against reports prepared by evaluators in other agencies.

In this workshop, you are provided with an actual evaluation report which is fairly typical of those encountered in LE/CJ. The exercise provides you an opportunity to identify strengths and weaknesses of the report and exchange views with your peers about the "real world" constraints and demands placed upon monitors/evaluators when they prepare evaluation reports. In addition, reviewing and analyzing an actual evaluation report provides a chance to review many points covered in earlier modules.

Step One. Read the evaluation report and the completed MOR worksheet.

- In your small group, read the report (spend no more than 10-15 minutes).
- Revise the MOR worksheet if necessary (spend no more than 10-15 minutes on this).

Step Two. Discuss the questions which follow the report in the Participant Guide.

- In your break-out group, discuss the questions listed in the Participant Guide.
- NOTE: Spend about one hour on this step.

Step Three. Prepare for total group presentation.

- ° Develop a 15 minute presentation about the discussions and conclusions reached by your group.
- ° Your presentation should cover:
 - why this report is (or is not) a useful example of project monitoring.
 - the evaluation methods applied and the adequacy of the report's description.
 - the consistency and fairness of findings, conclusions, and recommendations.
 - how well the report would meet decision-maker needs.
 - differences in the way your group would have planned the evaluation.
 - would an MOR, Networking and Key Event process have strengthened this report? Why or Why not?
- ° NOTE: Spend about 15 minutes on this step.

Step Four. Make total group presentation.

- ° An instructor-led critique and discussion will follow each presentation.
- ° NOTE: Under each major heading are instructions in bolder type print concerning the type of information that should be contained in that section of the report. This is intended to provide an example of an acceptable format for most evaluation types.

| | INPUTS | ACTIVITIES | RESULTS | OUTCOMES |
|-----------------------|--|--|--|---|
| STATED | <p>Money to hire interns.</p> <p>Equipment, facilities & supplies</p> | <p>Develop selection criteria.</p> <p>Contact colleges.</p> <p>Identify student pool.</p> <p>Interview & screen applicants.</p> <p>Select ten interns from applicants.</p> | <p>Provide practical experience to at least ten student interns.</p> <p>Increase DOC's personnel capabilities by providing more people to perform tasks.</p> <p>Bring a different viewpoint to the DOC's operations, which might lead to procedural changes.</p> | <p>Increase recruitment capabilities of the DOC of the following type of staff:</p> <ol style="list-style-type: none"> 1. qualified 2. women 3. minorities <p>Increased retention of staff (i.e., reduce turnover rate).</p> |
| IMPLIED/UNANTICIPATED | <p>DOC staff to train and supervise interns.</p> <p>Cooperation of universities.</p> <p>Support services from DOC.</p> | <p>Record-keeping.</p> <p>Placement of interns.</p> <p>On-the-job training of interns.</p> | <p>Possible resentment of other staff.</p> | <p>Increased recruitment and retention of staff in criminal justice agencies other than the DOC.</p> <p>More turnover of old staff.</p> |

MONITORING REPORT

I. GENERAL INFORMATION

Project Title: Student Intern Project
Applicant: State Department of Public Safety
Implementing Agency: Division of Corrections

II. AWARD, IMPLEMENTATION AND ORGANIZATIONAL BACKGROUND

Date of Award: July 21
Project Implementation Date: July 25
Grant Period: One Year
Approved Budget:

| <u>Category</u> | <u>Federal Share</u> | <u>Matching Share</u> |
|-----------------|----------------------|-----------------------|
| Personnel | \$13,665 | \$1,371 |
| Equipment | 405 | 45 |
| Consultant | 0 | 0 |
| Travel | 511 | 56 |
| Consumables | 189 | 21 |
| Rental | 0 | 0 |
| Others | <u>230</u> | <u>173</u> |
| Totals | \$15,000 | \$1,666 |

III. PROJECT DEVELOPMENT AND OPERATION*

History of Project Development

Should include a brief narrative history descriptive of the conceptual and organizational background of the project. Issues addressed should include a concise statement of the problems the project was designed to address; when and where the idea for the project originated; who was responsible for initial planning and development of the application; program concerns in the application review process.

This project, initially developed by headquarters staff of the Division of Corrections, was designed as a means of recruiting and retaining qualified and competent staff for the state correctional system.

According to the applicant, a large number of the Division of Corrections' entry level professional positions (counselors, social workers, administrative personnel, academic teachers) are available to college graduates in the disciplines of social sciences, social work and education. Most of these entry level positions are applied for through State Merit Service tests given in general areas such as human resources, teaching and administration. The Division of Corrections must vigorously compete with other state agencies in attracting the best qualified applicants for vacant positions. This requires energetic recruiting activities. The Division has also recognized the need for recruitment of qualified minority members and women. Concerning the employment of women, according to the applicant, the Division (like most correctional agencies) has a history of employment procedures which did not encourage the employment of women. However, the Division with the past two years has revised a number of its policies concerning the roles of women within the correctional system, and all Division positions are now open to female applicants.

*Monitoring form instructions are reported in bolder type print.

The turnover rate of correctional personnel is also of concern to the Division. Once employees are found to be capable, it is to the Division's benefit to retain qualified, trained personnel. Often, according to the applicant, individuals come to the Division from college, with no previous exposure to the correctional system and its unique working environment. Many times, these persons, after experiencing correctional work, decide that their career interests lie elsewhere. The student intern project is aimed in part at alleviating this problem.

This project provides the Division with the increased capability to attract college-educated personnel, minority members, and women to its employ. Also, by providing students with the opportunity to work in the system while still in school, the probability is increased that these persons not only will return to work with this agency after their respective graduations, but that they will make corrections a career.

Implementation Difficulties and Special Condition Compliance

Describe projected implementation schedule and note significant departures; list and discuss any special conditions not fully met.

Federal funds totaling \$15,000 were awarded one year ago. The grantee immediately began contacting area colleges to identify potential persons to fill the ten intern positions. Fifteen colleges and universities were contacted.

During the application period, a total of forty student applications were received, and interview schedules were developed. The grant was implemented two week later when the first interns were hired. All special grant conditions placed on the first year award were met.

Current Project Organization

Describe the present staffing pattern of the project. Capsule job descriptions and the specific qualifications of the individual staff

members will be helpful. Describe any significant personnel problems encountered by the project.

The ten intern positions are assigned as follows: (a) one for psychological/psychiatric services; (b) one in planning and research; (c) one in education; (d) one in social services; (e) one in classification and adjustment; (f) one in State Industries; and (g) four in community corrections.

The program directors in these seven areas directed the student interns who worked both at the Central Office and within the institutions.

There was no formal training provided to interns hired under the grant other than on-the-job training.

General Discussion and Description of Project Activities

List all activities (or components) of the project. Include all pertinent available data on the current status of each activity. If programmatic modifications were requested during the year, explain reasons for request and describe what action was taken on them.

The basic aim of this project is to expose qualified college students to the field of corrections by employing them as interns in seven functional areas within the Division. It was envisioned that interns hired would work an average of approximately 20 hour each per week for a six-month period. This is about 426 hours each for all ten interns. However, actual work schedules varied (as anticipated) depending on the functional areas to which each intern was assigned, school schedules of interns, and staff turnover within the intern positions. Specific activities of the interns in these functional areas are indicated in Table 1.

All interns hired during the initial grant year were recruited from accredited colleges and universities. Formal selection criteria for the intern positions are indicated in Table II.

TABLE I

STUDENT INTERN ACTIVITIES

Classification

1. Handled family leave applications, verifying inmate information.

Community Corrections

1. Developed and implemented audit program for collecting resident data.
2. Developed survey instrument to assess needs/attitudes of residents, staff and community.
3. Surveyed attitudes of community in vicinity of Community Corrections Center.
4. Redesigned demographic data collection instrument.

Education

1. Conducted survey of other correctional systems concerning separate school districts.
2. Researched additional education fund sources.
3. Developed and helped implement education Management Information System.

Planning and Research

1. Developed written study of Work Release Program using national survey data.
2. Prepared many answers to letters of inquiry to the Division.
3. Responsible for preparation of LEAA project quarterly reports.
4. Assisted in development of program descriptions for the Division of Corrections.

Psychology

1. Administered psychological evaluation tests at the Penitentiary.
2. Completed psychological intake interviews at Correctional Institution-Women.

TABLE I (Continued)
STUDENT INTERN ACTIVITIES

State Industries

1. Conducted transportation cost survey, indicating methods to reduce transportation cost.
2. Conducted survey of State Industries personnel positions.
3. Completed various assignments working with State Industries sales staff.

Social Services

1. Worked with alcohol treatment staff providing group, individual and family counseling.
2. Coordinated with community service agencies in developing post-release services for offenders.

TABLE II
INTERN SELECTION CRITERIA

1. Potential interns must be enrolled as full-time students in an accredited college or university.
2. Potential interns who already have a Bachelor's degree must be enrolled as full-time graduate students.
3. Potential interns must be at least 18 years of age.
4. Potential interns must be majoring in a subject area related to corrections or the specific functional area being applied for.

In addition to these formal criteria, priority in hiring is given to upper level undergraduate and graduate students and state residents. The hourly pay rate range for interns hired is \$2.95 to \$3.80 depending on the number of credit hours completed by each intern. Demographic data available on the thirteen interns hired included: (a) eight of the thirteen hired were women and five were men; (b) six of the thirteen were

black and seven were white; and (c) one intern of the thirteen was a second year undergraduate student, four were undergraduate third year students and eight were graduate students.

There were no program modifications submitted by the grantee during the first year of project operation.

IV. ANALYSIS

Impact on Project Objectives

List all objectives established for the project as funded by the Commission and comment on the level of attainment reached under each objective. Appropriate pre-project data should be included for comparison purposes.

Project objectives are indicated in Table III.

TABLE III

PROJECT OBJECTIVES

1. Provide at least 10 college students with practical experience working in the area of corrections.
2. Expand recruitment efforts in employing college graduates by providing them with the opportunity to work in corrections during their college study.
3. Provide increased Division personnel capabilities, to accomplish desired administrative tasks, studies, and/or reports for which present staff is not available, thus improving the Division's functioning.
4. Bring to the Division outside views on Division operation and initiate correctional program changes where appropriate.

The first objective (to provide at least ten college students with practical experience working in the area of corrections) was generally met. During the initial grant year, the Division employed a total of 13 interns. Of the 13, ten were employed for a sufficient length of time to gain experience in corrections. All ten were employed for an average of just over five months and collectively have worked a total of

3,635 hours for the Division. Of the remaining three, two resigned after one day of employment and one left after two weeks of employment. Table IV summarizes data relating to the length of employment for all interns hired.

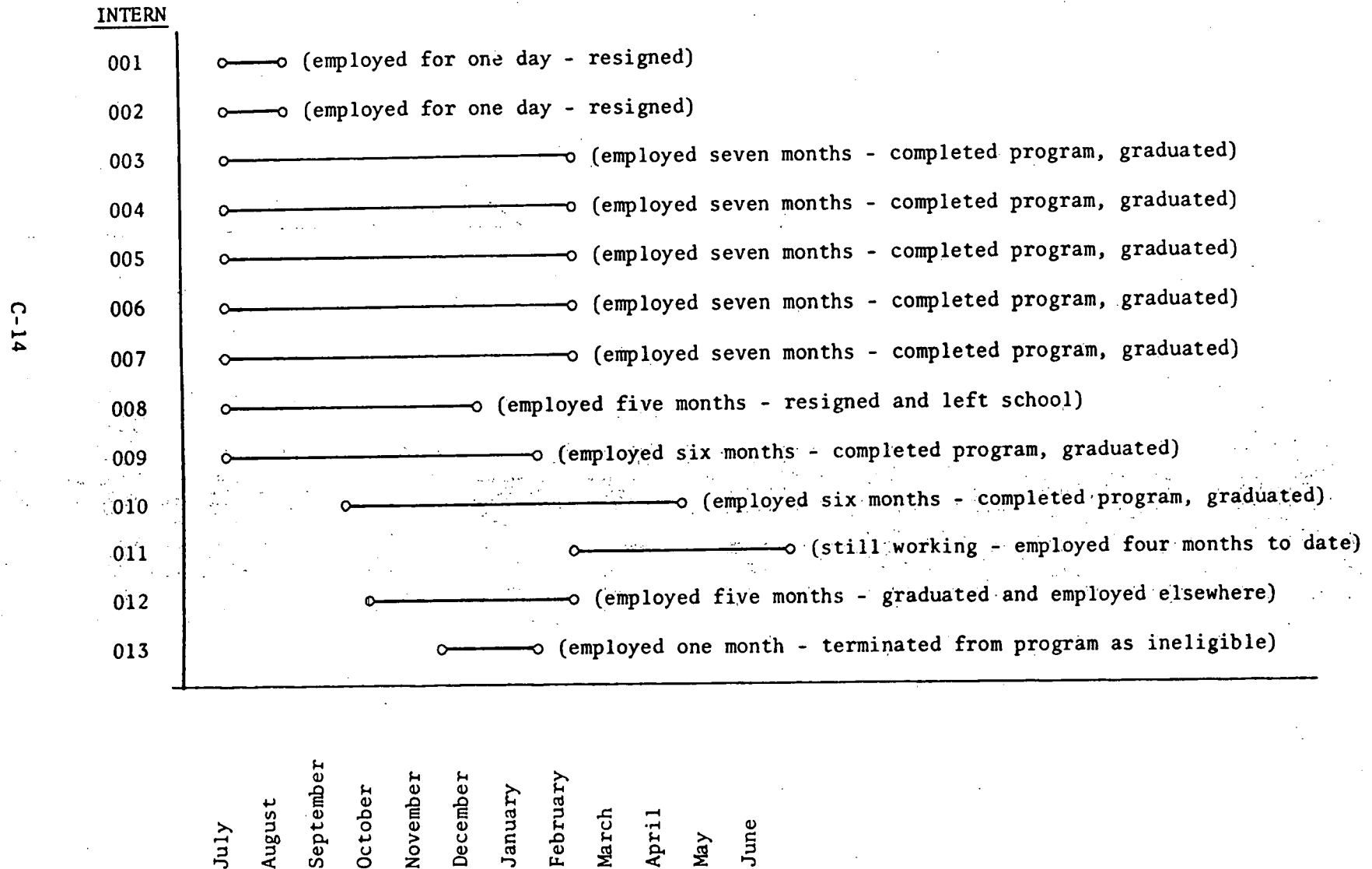
Of the ten interns who worked for a sufficient period of time to gain experience in corrections, six have completed follow-up questionnaires designed to measure the quality of their respective experiences in corrections. All six indicated a generally favorable experience. Three of the remaining four interns have not yet completed their questionnaires. One is still in the program. Currently, recruiting efforts for continued project operation (if approved by the Commission) are being conducted.

The second objective is to expand recruitment efforts in employing college graduates by providing them the opportunity to work in corrections during their college study.

Of the nine students who have completed internships, four (44%) indicated that they had applied to the State to take the Professional Careers Test, the general Merit System test for entry level college graduate positions. Another two (22%) students indicated that they intended to apply when they became eligible. Three (3) students did not indicate that they would follow this procedure. Currently, further information is not available concerning the employment of the students who applied to the State, because they do not graduate until the end of this year.

Little information is available on the third objective (to provide the Division with increased capabilities to accomplish desired administrative tasks, studies and/or reports for which present staff is not available, thus improving the Division's functioning). The project director has indicated that the intern project provided the Division with

TABLE IV

LENGTH OF EMPLOYMENT

the additional staff resources and special skills to accomplish activities which would not have been possible without the student input. The participating Division staff repeatedly indicated that the operation of their program area was benefited by the presence and accomplishments of the interns. These statements, though subjective in nature, seem to suggest that the Division benefited from the program, and that the objective has generally been achieved.

The fourth objective (to bring the Division outside views on Division operations and initiate program changes where appropriate), has also been met. The interns provided a variety of outside views on the Division's operation. These views, according to the grantee, were manifested in the students' day-to-day working experience with Division staff. According to the applicant, the interns brought with them fresh outlooks on the problems and operations of corrections, as well as an energetic capacity to seek changes, although the interns did at times express frustrations over bureaucratic procedures, security-related procedures and regulations, and resource limitations. Instances of program changes as a result of intern involvement pertained in most cases to the introduction of a structured system to evaluate a program, or the production of a specific evaluative report. Specifically, interns working in Community Corrections, Education, and State Industries provided these programs with instruments and data for evaluation, needs assessment, and operating efficiency.

The interns working in Community Corrections redesigned the instrument for collecting demographic data on community corrections residents. The intern in Education designed a management information system to assist in improving the Division's education program. The intern in

State Industries introduced several methods of reducing product transportation costs.

Impact on Commission Objectives

Cite pertinent objectives and describe impact in all relevant detail.

This project is consistent with the Commission's first and five year objectives to continue development of effective recruitment programs by supporting intern programs involving potential employees of the correctional agencies or programs.

Other Impacts of the Project

This heading should include specific detail on the project's impact on (a) the implementing agency (b) other components of the Criminal Justice System (c) secondary benefits attributable to project activity.

One additional impact of this project is the potential for recruitment of interns employed by the Division to other areas of the criminal justice system. In working for the Division of Corrections, interns are exposed to other elements within the system with which the Division must coordinate. Thus, although an individual may complete his or her internship with the Division, an actual career choice may be in an area other than corrections, but still with the criminal justice system. The applicant should follow up on all interns hired (if approved by the Commission for a second year funding) to determine the extent to which this occurs.

Cost Effective Assessment

This section should present a complete breakdown of all project costs regardless of funding source and a comparison of those costs to the period prior to the current year under consideration.

A cost assessment for the program was completed by the Commission staff as indicated in Table V.

TABLE V
COST ASSESSMENT

| <u>Activity</u> | <u>Cost</u> |
|--|-------------|
| Cost per intern hired (\$16,666 divided by 13 interns) | \$1,282 |
| Cost per intern employed over four months (\$16,666 divided by 10 interns) | \$1,667 |

These figures are consistent with other intern programs funded by the Commission in the state. Additional measures of cost effectiveness should include: (a) cost figures for interns completing the program and hired full-time by the Division; and (b) cost figures for the value of work performed by the interns for the Division. None of these figures can be computed, however, at this point in time.

Summary of Major Strengths and Weaknesses of the Project

This heading will encompass critical detail and analysis on the project's chief advantages and shortcomings under three sub-headings: (a) operations, (b) managerial, and (c) cost-efficiency. Due attention should be paid to any third-party evaluations.

The major strength of this project is that the Division of Corrections now has an additional method of attracting well-qualified potential employees to the Division. Interns hired thus far seem to be of high quality, and generally feel that their respective experiences were beneficial.

The only significant weakness of the project is the rather subjective nature of the evaluation design. The most valid measure of the project's success in terms of Commission objectives is in its ability to facilitate the hiring of full-time Division personnel from the pool of interns who complete this program. At this point, no interns have been so hired, but it appears that up to four will be.

Audit Reporting or Financial Issues

This heading should include any audit exceptions taken or noted during the previous year and steps contemplated to remedy the problem.

The grant has not yet been financially audited by the Commission staff. However, quarterly fiscal reports seem to indicate general compliance with appropriate federal and Commission guidelines. All audit recommendations should be implemented by the grantee when the audit report is completed.

1. Is this an example of a Monitoring report? Why?
2. How well were relationships between inputs and activities described?
3. Which extraneous influences were present?
4. Which extraneous influences were examined and dealt with?
5. Were the findings reported clearly?
6. Were the findings reported fairly?
7. Are the conclusions consistent with the findings?
8. Are the recommendations consistent with the findings?

9. Compared with the course ideals how adequate is the report for decision-makers?
10. Would a networking and key events process have strengthened this report? Why?
11. What would your decision be regarding needs for technical assistance?
12. Would you have planned the evaluation (in terms of what was examined and how) differently?

WORKSHOP D
PROCESS EVALUATION

OBJECTIVES

Upon completion of this workshop, you should be able to:

1. Develop a method of rationales, network, and key events for a project evaluation.
2. Develop a series of questions leading to development of a process evaluation.
3. Identify the specific designs to be applied in the project evaluation.
4. Identify the threats to validity which may affect the evaluation findings.
5. Identify the design modifications to the evaluation which would reduce or eliminate the threats.

Introduction

The general purpose of this workshop is to develop a process evaluation based on a project description.

The exercise is not unlike the activities you may have already experienced, when asked to develop and conduct an evaluation of a particular project or series of projects. Your task will determine what the project intends to accomplish with an array of resources and to establish an evaluation which will show the project's performance (success or failure) in achieving what it was funded to do.

The exercise provides you with an opportunity to develop the project Method of Rationales and network; identify the key events; identify a series of questions relevant to evaluating the project's performance; select the designs you would use in conducting the evaluation; and consider the threats to validity associated with the design selected. The project presented is an actual operating project and, as such, presents a realistic situation to you as the evaluator in having to design the means for assessing the project's worth. Assume that the grant application did not include an evaluation plan necessitating your activities at this point.

Instructions

Step One. Read the project description.

- ° In your small groups read the following description. The demographic information contained in the description augments the project information by defining the target population.

Step Two. Develop a method of rationales, network and identify the key events.

- ° As a group develop the MOR and construct the project network.
- ° As a group identify the key events.

Step Three. Identify the evaluation question felt to be necessary in determining the project's successes and failures based upon the identified key events.

- ° The group should reach consensus as to several questions which would be answered by the evaluation. Several important questions can be identified as examples - it is not necessary to identify every question which could be asked.
- ° The questions are to be related to the key events.

Step Four. Identify the type of evaluation and evaluation methods used in answering the significant questions posed by the group.

- ° In addressing the types and methods used, attention should be given by the groups to the project elements (inputs, activities, etc.) involved in the questions.

Step Five: Address the threats to validity which may be related to the evaluation design.

- ° In identifying the threats which may be related to the design, the group should discuss why some threats appear to be of concern and others may not.
- ° The group should give thought to how serious the threats may be to the evaluation.
- ° Consider what design changes should be implemented to reduce the impact of the threats on the evaluation.

Step Six. Prepare for presentation to the group.

- ° The group should identify who will record the information to be presented and identify who will make the presentation.
- ° You have 10 minutes to present your evaluation design to the other groups.

° The outline for your presentation is as follows:

- MOR
- Network
- Evaluation Questions
- Evaluation Type and Design
- Threats to Validity
- Improvements to Evaluation Design

Project Description

Project Title: PROUD

Selected Project Summary

Project PROUD is a community based program designed to effect a recidivism reduction for 60 program participants who are on probation for each of three years. Only those youth with a record of recidivism (two or more convictions) are admitted to the program, through direct referrals from Juvenile Court. PROUD provides follow-up services for all youth who have completed the intensive training portion of the program. Project PROUD is a work/study program which employs all participants and provides remedial education in an accredited school.

The project is designed to improve self-image self esteem; foster a strong work ethic; and improve estimates of self worth by developing academic skills and by finding youth useful jobs. The use of tutors, counselors, cultural education, work-skills training, and employment is designed to close the gaps in basic educational deficiencies, to eliminate the corrosive effects of idleness, to stimulate new productive interests, and to effect a successful reintegration into the community and school system for youth who previously have shown a history of delinquent behavior.

Project PROUD Methodology

Project PROUD is a community based program offering services to adjudicated juveniles, many of whom have lengthy records of prior arrests and convictions. Most of these youngsters are either black or chicano. PROUD operates on the premise that an individual must confront his problems in his own environment--i.e., within the community. To do this the offender must be guided in adopting and maintaining a conventional life style as an alternative to the delinquent life style he has known.

PROUD provides this direction by addressing the youth's typically very low esteem for himself and others. Four main areas of service are incorporated in one program to help the client confront his problems in an integrated manner: academic education; counseling; employment; and cultural education.

Youngsters are referred to PROUD through Gotham's Juvenile Court Probation Unit. Referrals meet the following criteria:

- ..They are 14-17 years of age;
- ..Have a recent arrest or conviction for a Class 1 offense;
- ..Have two prior convictions (preferably for Class 1 offenses) and
- ..Reside in Gotham County.

PROUD received 60 of these referrals during a 12-month period. The project has been funded for a three-year period, with the condition that the previous year's performance warrants continuation funding. In total, 180 youth are expected to be served during the three years.

--continued--

Services

For the first three months, youngsters in the program receive intensive services. A nine-month follow-up period continues treatment geared to the youth's needs and interests. The follow-up may involve daily to weekly contact.

The services provided include the following:

Education. Based on test results, participants are assigned to classes in either the PROUD Alternative School (located at project headquarters) or the Learning Disabilities Center.

The Alternative School provides one-to-one tutoring with relatively little lecturing. Staff are strongly supportive of student effort, encourage their strengths, and try especially to make academic work rewarding to students who have previously experienced repeated failures. Emphasis is on reintegrating students into the regular school system.

The staff of the Learning Disabilities Center work intensively with clients to correct their perceptual and cognitive disabilities. PROUD stresses the relationship between learning disabilities and juvenile delinquency. In the treatment approach, learning disability therapy and academic tutoring are equally important. Tests administered to project target youth showed that 78 percent were found to have at least two learning disabilities.

Counseling. The project attempts to match clients with counsellors who can best respond to their role model needs and personalities. Treatment is planned to enhance the youth's self-image and to help him cope with his environment. Each counselor involves himself in all aspects of his client's life and maintains frequent contact with family, teachers, social workers and any others close to the youth. In the nine-month follow-up period, counselors continue to maintain a minimum of weekly contacts with a youth and his family.

Employment. Job preparation is a key part of the program. The employment component is designed to introduce clients to the working world and its expectations, and to provide employment experience along with much needed income. During his first month of project participation, the youth attends a job skills workshop on such topics as filling out application forms and interviewing. The Job Placement Specialist counsels each client individually to develop vocational interests and to provide realistic appraisals of career ambitions and requisite skills. Actual "on-the-job training" occurs in the second and third months of program participation.

--continued--

Cultural Education. PROUD takes youngsters who have known little more than their immediate neighborhoods and exposes them to a range of experiences and activities in the Gotham area. Extensive community contacts have created a rich variety of opportunities including visits to a television station to watch the news hour being prepared, ski trips, an Outward Bound weekend, sports events, restaurant dinners and many other educational and recreational events.

Traditionally, juvenile services have been highly specialized and fragmented. Coupled with this fragmentation has been the inconsistency in the delivery of services, which consequently produced negative experiences for some youth. PROUD's approach is to integrate all services, providing comprehensive treatment to its clients, all of whom are "hardcore" delinquents--multiple offenders with a myriad of social adjustment problems. For example, a single youth may receive remedial treatment for a learning disability, take courses for high school credit, be placed in a part-time job, participate in family counseling and experience cultural events at theaters and museums. The staff is familiar with the range of each client's activities and can reinforce gains in any one area. That is why PROUD is a concept rather than just a group of people each trying to answer one problem of a delinquent youth.

PROUD provides intensive services with limited caseloads afforded by a high staff-to-client ratio. The staff includes eleven at the central location, and at the Learning Disabilities Center, a psychologist and an optometrist to perform the specialized services. In addition, a well-organized program draws a large, diverse group of volunteers from community organizations and local colleges and universities. Students receive credits for a semester's work at PROUD as counseling interns. Community volunteers may tutor clients, develop special activity programs such as a yoga course or mechanical shop, or provide administrative and clerical assistance.

Project PROUD Client (Case) Processing

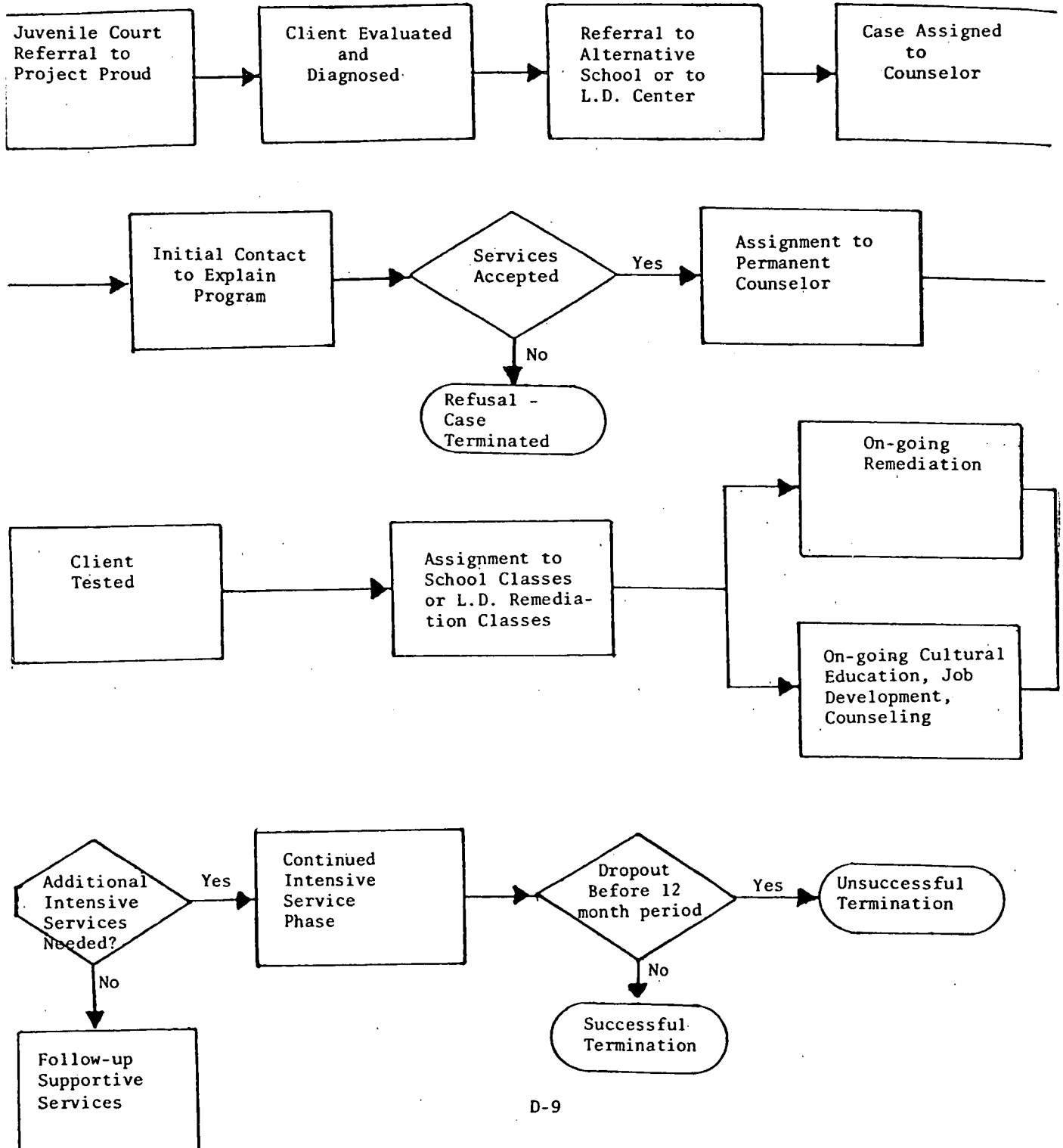
The flow chart on page D-9 describes client processing through project PROUD. Regardless of academic educational assignment all clients receive employment counseling and cultural education, and personal counseling. Where youth are interested and able, employment through job development is provided.

Project PROUD Objectives

Operational 1: to serve over a three year period, with employment, tutoring, counseling, cultural education, job skill training, and subsequent permanent employment, 180 target Class 1 offenders referred by the Gotham City Juvenile Court.

--continued--

PROJECT PROUD CASE PROCESSING FLOW



PERSONNEL

The following is a summary of PROUD's personnel by position, for three years. Changes in the first year were made following three months of operation. Second and third year staffing changes were made in response to service demands shown on the project during the first year of funding.

| <u>Original</u> | <u>Revised First Year</u> | <u>Second Year</u> | <u>Third Year</u> |
|--------------------------|---------------------------|--------------------------|--------------------------|
| Project Director | Project Director | Project Director | Project Director |
| Administrative Assistant | Administrative Assistant | Administrative Assistant | Administrative Assistant |
| Job Placement Specialist | Teachers (3) | Job Placement Specialist | Job Placement Specialist |
| Group Leader | LD Specialist (1) | Teachers (3) | Teachers (3) |
| Group Leader | Educational Coordinator | LD Specialists (2) | LD Specialist (2) |
| Group Leader | Volunteer Coordinator | Educational Coordinator | Educational Coordinator |
| Group Leader | | Volunteer Coordinator | Volunteer Coordinator |
| Educational Coordinator | | Secretary | Secretary |
| | | Researcher | Researcher |
| | | Psychologist | Psychologist |
| | | Optometrist | Optometrist |

- Operational 2: continue to serve all first year and second year PROUD clients through follow-up employment and counseling services.
- Operational 3: continue and increase the involvement of other agencies, individual volunteers, and other groups in PROUD.
- Effectiveness 1: reduce the established rate of recidivism by 40% for a total of 180 juvenile offenders age 14-17 over a three year period.
- Effectiveness 2: facilitate the successful reintegration of youth back into the home and community by 40% with integration being defined as re-enrollment into the Gotham Public School System, and placement in an employment position.
- Effectiveness 3: to reduce the cost to the juvenile justice system for processing cases by maintaining and by servicing youth in project PROUD in lieu of incarceration.

Gotham City Serious Juvenile Offender Population

Prior to the completion of a proposal designed to be submitted to the Gotham City Crime Council for LEAA funding, a survey of youth referred to the Juvenile Court in one year was conducted. During that period, 858 multiple prior offense youth were referred to the Juvenile Court for serious (Class 1) offenses. The 858 referrals represent 24 percent of the total referrals to the Court and 8.3 percent of all youth arrested during a one year period. The following matrix provides detailed case dispositional and demographic information for the 858 Class 1 court filings for Gotham City.

--continued--

Table I

Case Dispositions and Demographic Information for Gotham City
Juvenile Court Filings During a One Year Period

| Case Dispositions | N | Percent |
|------------------------------------|-----|---------|
| Lecture and Release | 90 | 10.5 |
| Informal Adjustment | 129 | 15.0 |
| Case Dismissed | 189 | 22.0 |
| Probation | 360 | 42.0 |
| Incarceration | 90 | 10.5 |
| Total | 858 | 100.0 |
| <u>Demographic Characteristics</u> | | |
| Ethnicity - Anglo | 257 | 30.0 |
| Black | 215 | 25.0 |
| Chicano | 377 | 44.0 |
| Other | 9 | 1.0 |
| Total | 858 | 100.0 |
| Age - 13 and younger | 251 | 29.2 |
| 14 | 152 | 17.7 |
| 15 | 173 | 20.2 |
| 16 | 136 | 15.3 |
| 17 | 139 | 16.2 |
| Unknown | 7 | 0.8 |
| Total | 858 | 100.0 |

--continued--

Table II

| Demographic Characteristics | N | Percent |
|---------------------------------------|-----|---------|
| <u>Sex</u> | | |
| Male | 722 | 84.2 |
| Female | 136 | 15.8 |
| Total | 858 | 100.0 |
| <u>School Drop-Outs?</u> | | |
| Yes | 567 | 66.1 |
| No | 276 | 32.2 |
| Unknown | 15 | 1.7 |
| Total | 858 | 100.0 |
| <u>Number of Prior Arrests</u> | | |
| Two | 215 | 25.0 |
| Three | 120 | 14.0 |
| Four | 135 | 15.7 |
| Five | 120 | 14.0 |
| Six or More | 268 | 31.3 |
| Total | 858 | 100.0 |
| <u>Current Court Referral Offense</u> | | |
| Robbery | 70 | 8.2 |
| Assault | 99 | 11.5 |
| Burglary | 112 | 13.1 |
| Larceny | 183 | 21.3 |
| Auto Theft | 99 | 11.5 |
| Class II Offenses | 141 | 16.4 |
| Status Offenses | 154 | 18.0 |
| Total | 858 | 100.0 |

--continued--

Several variables describing the youth's family situations were also available from court records. Family characteristics for the 858 multiple prior offenders were as follows:

Table III

Family Characteristics for the 858 Youth Filed on in
Juvenile Court During a One Year Period

| Family Characteristics | N | Percent |
|--------------------------------|-----|---------|
| Family Situation: | | |
| Married - Both Parents in Home | 249 | 29.0 |
| Separated | 225 | 39.0 |
| Divorced | 265 | 31.0 |
| Unknown | 9 | 1.0 |
| Total | 858 | 100.0 |
| Family Income: | | |
| 2,000 - 3,000 | 178 | 20.8 |
| 3,001 - 5,000 | 288 | 27.1 |
| 5,001 - 7,000 | 301 | 35.1 |
| 7,001 - 9,000 | 65 | 7.6 |
| 9,001 - 11,000 | 44 | 5.1 |
| 11,001 or more | 37 | 4.3 |
| Total | 858 | 100.0 |

OUTCOMES

IMMEDIATE RESULTS

ACTIVITIES

INPUTS

STATED

IMPLIED/UNANTICIPATED

NETWORKING

Third Worksheet: Determine project events to be evaluated.

Identify why you are doing this evaluation. Review the Method of Rationales and Network diagram. Then list the "key" project events that you have selected to evaluate and identify possible threats to validity for each question. Finally, note the type of evaluation you will be doing.

WHY ARE YOU DOING THIS EVALUATION?

KEY EVENTS

POSSIBLE THREATS TO VALIDITY

TYPE OF EVALUATION

PRELIMINARY EVALUATION QUESTIONS

WORKSHOP E
DESIGNING AN IMPACT ASSESSMENT

Workshop E:
Designing an Impact Assessment

OBJECTIVES

During this segment participants will be expected to:

1. Analyze a project by reviewing its Method of Rationales, its Network and the identified key events.
2. Design a project evaluation to accomplish an impact assessment.
3. Apply a comparative design.
4. Identify the threats to validity related to the design and to discuss their limitations on the findings of the evaluation.
5. Suggest design changes which would limit or eliminate threats to the validity of the findings.

Introduction

The purpose of this workshop is to give your group an opportunity to apply one of the designs discussed in the lecture to a project and to analyze the strengths and weaknesses of the design as it relates to the conclusions and recommendations you could make about that project. Each group will make a presentation to the class on the results of their work.

This is not an exercise in data analysis. Statistical techniques are not relevant to the assignment. Nor do you need to have actual project data or results to accomplish the purpose of this workshop.

Your student notes are very relevant and can be used to carry out the various steps of the work.

The particular design your group will use is to be chosen randomly. One design will be a "true" design, the "pre-test/post-test control group". The second and third ones will be quasi-designs, the "non-equivalent control group" and the "time series".

The instructor will go over each of the following steps with you before you being. All of these steps except the last one are done in your workshop group. Now is the time to clear up any difficulties you might have.

Step One. Read the project description (attached).

- ° Read over the description of the project.
- ° While some data are presented, they are not used for any analytic purpose.
- ° There are many details about the project that have been purposefully omitted. They are not critical to your task. You have the basic project structure and the goals and objectives.

NOTE: This step can be completed in about 5 minutes.

Step Two. Review the method of rationales to the project description and then revise the networking and key event analysis.

- ° As a group, review the inputs, activities, results and outcomes and decide which ones should be included in your key event analysis.
- ° Use the worksheets provided for this.
- ° The purpose of this step is to get group consensus on what the project is about, what it is trying to do, and to identify the most critical events to be included in the impact assesement study.
- ° Assume that the various kinds of staff and other inputs are available to carry out the activities of the project.
- ° NOTE: You should complete this step in no more than 10 to 15 minutes. This step is to serve your own purposes only and need not be reported to the class.

Step Three. Apply your design to project.

- ° Go over your class notes for your assigned design so that everyone understands the design itself.
- ° On a group basis decide how you would "set up" the project to carry out that particular evaluation design, using the key events selected earlier. Assume that the project has just been funded but is not yet taking referrals.
- ° Defining and clarifying the objectives of Project Proud would be especially important in this regard.
- ° Do not worry about time or money or people to do the job.
- ° You may need to make assumptions about Project Proud and the Metro area. That is perfectly acceptable, but make them as reasonable as possible.
Example: If you need a control group you cannot "invent" another identical community. Work, to the extent possible, within the framework of the material you have been given. If you need random assignments, explain how it can be done and how you will get data from all your groups.

- NOTE: This step should require about 1/2 hour.

Step Four. Review threats and relate to project design.

- Using the worksheet supplied, comment on each threat as it relates to your design and note any rival hypotheses that you can consider as possibly contaminating the study.
- If the design avoids a particular threat, indicate how; if it does not, indicate why it doesn't and just how serious this problem might be.
- You can do this as a group or each of you may want to complete his or her own worksheet. However, in either case a master worksheet needs to be prepared for your presentation to the class.
- Your own notes should be a useful resource for this task.
- NOTE: About 45 minutes should be adequate to accomplish this step.

Step Five. Impact of design on results and recommendations.

- Decide among yourselves how the design would affect the way you would interpret the results and the nature of the recommendations you would make.
- Consider the above under these conditions:
 - recidivism went down
 - it stayed the same
 - it seemed to get worse in the sense that a fair number of offenses were committed within a short time period following the 3-month treatment period
- List the caveats and cautions that a balanced report, or a presentation to a Supervisory Board would have to include.
- NOTE: Spend about 20 minutes on this step.

Step Six. Prepare for presentation to group.

- Decide what you want to say and who will say it. You can divide up

the presenting task any way you wish.

- ° You will have about 15 minutes to make your statement to the class.
- ° The outline of your presentation:
 - your design
 - how you implemented it
 - internal and external threats and rival hypotheses
 - impact of design on results and recommendations, with appropriate caveats and cautions
- ° NOTE: Try to complete this step in 15 minutes.

Step Seven. Make presentation to group.

- ° There will be an instructor-led class critique of each presentation after it is completed.

Project Description

Project Title: PROUD

Selected Project Summary

Project PROUD is a community based program designed to effect a recidivism reduction for 60 program participants who are on probation for each of three years. Only those youth with a record of recidivism (two or more convictions) are admitted to the program, through direct referrals from Juvenile Court. PROUD provides follow-up services for all youth who have completed the intensive training portion of the program. Project PROUD is a work/study program which employs all participants and provides remedial education in an accredited school.

The project is designed to improve self-image self esteem; foster a strong work ethic; and improve estimates of self worth by developing academic skills and by finding youth useful jobs. The use of tutors, counselors, cultural education, work-skills training, and employment is designed to close the gaps in basic educational deficiencies, to eliminate the corrosive effects of idleness, to stimulate new productive interests, and to effect a successful reintegration into the community and school system for youth who previously have shown a history of delinquent behavior.

Project PROUD Methodology

Project PROUD is a community based program offering services to adjudicated juveniles, many of whom have lengthy records of prior arrests and convictions. Most of these youngsters are either black or chicano. PROUD operates on the premise that an individual must confront his problems in his own environment--i.e., within the community. To do this the offender must be guided in adopting and maintaining a conventional life style as an alternative to the delinquent life style he has known.

PROUD provides this direction by addressing the youth's typically very low esteem for himself and others. Four main areas of service are incorporated in one program to help the client confront his problems in an integrated manner: academic education; counseling; employment; and cultural education.

Youngsters are referred to PROUD through Gotham's Juvenile Court Probation Unit. Referrals meet the following criteria:

- ..They are 14-17 years of age;
- ..Have a recent arrest or conviction for a Class 1 offense;
- ..Have two prior convictions (preferably for Class 1 offenses) and
- ..Reside in Gotham County.

PROUD received 60 of these referrals during a 12-month period. The project has been funded for a three-year period, with the condition that the previous year's performance warrants continuation funding. In total, 180 youth are expected to be served during the three years.

Services

For the first three months, youngsters in the program receive intensive services. A nine-month follow-up period continues treatment geared to the youth's needs and interests. The follow-up may involve daily to weekly contact.

The services provided include the following:

Education. Based on test results, participants are assigned to classes in either the PROUD Alternative School (located at project headquarters) or the Learning Disabilities Center.

The Alternative School provides one-to-one tutoring with relatively little lecturing. Staff are strongly supportive of student effort, encourage their strengths, and try especially to make academic work rewarding to students who have previously experienced repeated failures. Emphasis is on reintegrating students into the regular school system.

The staff of the Learning Disabilities Center work intensively with clients to correct their perceptual and cognitive disabilities. PROUD stresses the relationship between learning disabilities and juvenile delinquency. In the treatment approach, learning disability therapy and academic tutoring are equally important. Tests administered to project target youth showed that 78 percent were found to have at least two learning disabilities.

Counseling. The project attempts to match clients with counsellors who can best respond to their role model needs and personalities. Treatment is planned to enhance the youth's self-image and to help him cope with his environment. Each counselor involves himself in all aspects of his client's life and maintains frequent contact with family, teachers, social workers and any others close to the youth. In the nine-month follow-up period, counselors continue to maintain a minimum of weekly contacts with a youth and his family.

Employment. Job preparation is a key part of the program. The employment component is designed to introduce clients to the working world and its expectations, and to provide employment experience along with much needed income. During his first month of project participation, the youth attends a job skills workshop on such topics as filling out application forms and interviewing. The Job Placement Specialist counsels each client individually to develop vocational interests and to provide realistic appraisals of career ambitions and requisite skills. Actual "on-the-job training" occurs in the second and third months of program participation.

--continued--

Cultural Education. PROUD takes youngsters who have known little more than their immediate neighborhoods and exposes them to a range of experiences and activities in the Gotham area. Extensive community contacts have created a rich variety of opportunities including visits to a television station to watch the news hour being prepared, ski trips, an Outward Bound weekend, sports events, restaurant dinners and many other educational and recreational events.

Traditionally, juvenile services have been highly specialized and fragmented. Coupled with this fragmentation has been the inconsistency in the delivery of services, which consequently produced negative experiences for some youth. PROUD's approach is to integrate all services, providing comprehensive treatment to its clients, all of whom are "hardcore" delinquents--multiple offenders with a myriad of social adjustment problems. For example, a single youth may receive remedial treatment for a learning disability, take courses for high school credit, be placed in a part-time job, participate in family counseling and experience cultural events at theaters and museums. The staff is familiar with the range of each client's activities and can reinforce gains in any one area. That is why PROUD is a concept rather than just a group of people each trying to answer one problem of a delinquent youth.

PROUD provides intensive services with limited caseloads afforded by a high staff-to-client ratio. The staff includes eleven at the central location, and at the Learning Disabilities Center, a psychologist and an optometrist to perform the specialized services. In addition, a well-organized program draws a large, diverse group of volunteers from community organizations and local colleges and universities. Students receive credits for a semester's work at PROUD as counseling interns. Community volunteers may tutor clients, develop special activity programs such as a yoga course or mechanical shop, or provide administrative and clerical assistance.

Project PROUD Client (Case) Processing

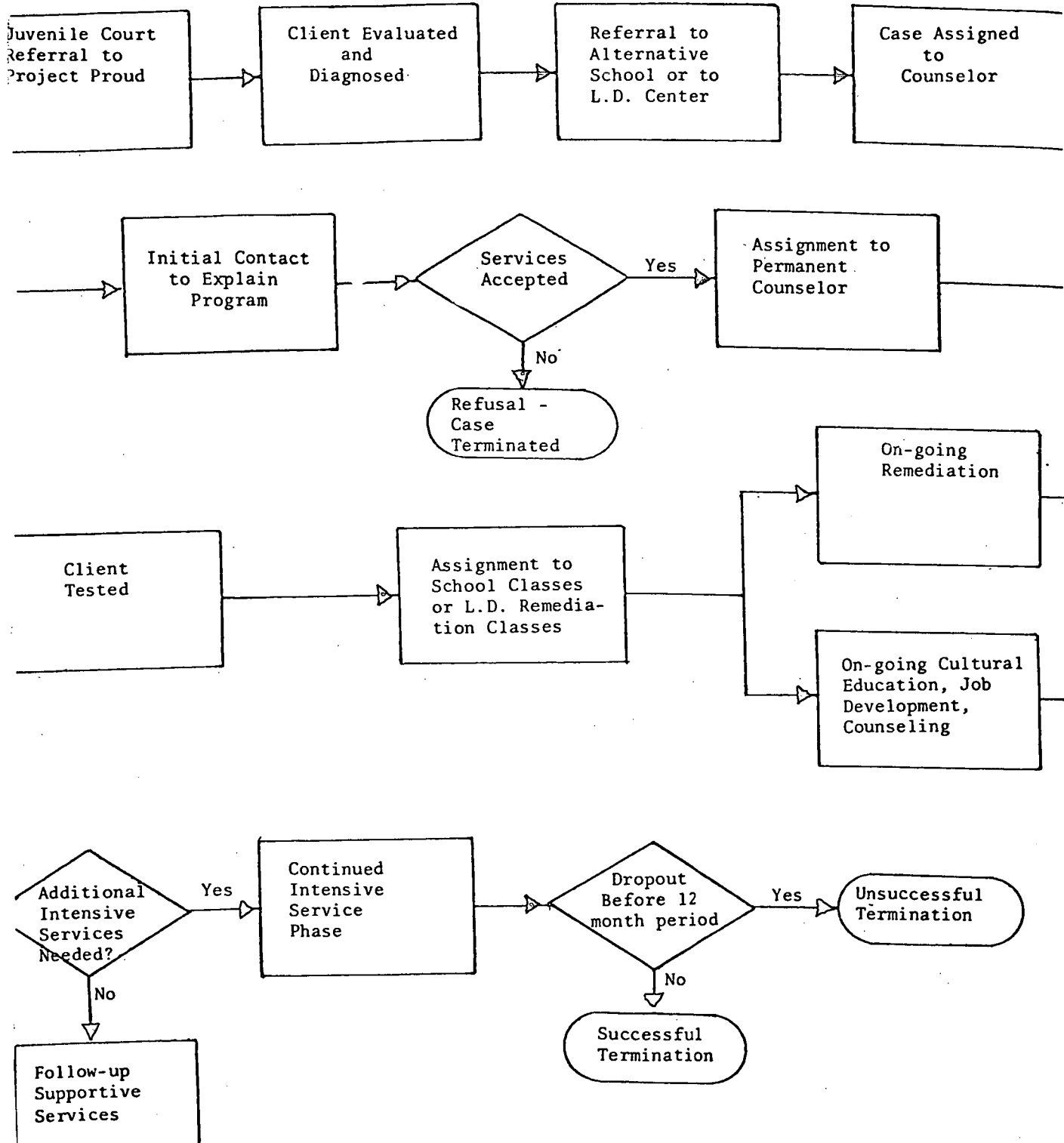
The flow chart on page D-9 describes client processing through project PROUD. Regardless of academic educational assignment all clients receive employment counseling and cultural education, and personal counseling. Where youth are interested and able, employment through job development is provided.

Project PROUD Objectives

Operational 1: to serve over a three year period, with employment, tutoring, counseling, cultural education, job skill training, and subsequent permanent employment, 180 target Class 1 offenders referred by the Gotham City Juvenile Court.

--continued--

PROJECT PROUD CASE PROCESSING FLOW



PERSONNEL

The following is a summary of PROUD's personnel by position, for three years. Changes in the first year were made following three months of operation. Second and third year staffing changes were made in response to service demands shown on the project during the first year of funding.

| <u>Original</u> | <u>Revised First Year</u> | <u>Second Year</u> | <u>Third Year</u> |
|--------------------------|-----------------------------------|--------------------------|--------------------------|
| Project Director | Project Director | Project Director | Project Director |
| Administrative Assistant | Administrative Assistant | Administrative Assistant | Administrative Assistant |
| Job Placement Specialist | Teachers (3) LD Specialist (1) | Job Placement Specialist | Job Placement Specialist |
| Group Leader | Educational Coordinator | Teachers (3) | Teachers (3) |
| Group Leader | Volunteer Coordinator | LD Specialists (2) | LD Specialist (2) |
| Group Leader | | Educational Coordinator | Educational Coordinator |
| Group Leader | | Volunteer Coordinator | Volunteer Coordinator |
| Educational Coordinator | | Secretary | Secretary |
| | | Researcher | Researcher |
| | | Psychologist | Psychologist |
| | | Optometrist | Optometrist |

- Operational 2: continue to serve all first year and second year PROUD clients through follow-up employment and counseling services.
- Operational 3: continue and increase the involvement of other agencies, individual volunteers, and other groups in PROUD.
- Effectiveness 1: reduce the established rate of recidivism by 40% for a total of 180 juvenile offenders age 14-17 over a three year period.
- Effectiveness 2: facilitate the successful reintegration of youth back into the home and community by 40% with integration being defined as re-enrollment into the Gotham Public School System, and placement in an employment position.
- Effectiveness 3: to reduce the cost to the juvenile justice system for processing cases by maintaining and by servicing youth in project PROUD in lieu of incarceration.

Gotham City Serious Juvenile Offender Population

Prior to the completion of a proposal designed to be submitted to the Gotham City Crime Council for LEAA funding, a survey of youth referred to the Juvenile Court in one year was conducted. During that period, 858 multiple prior offense youth were referred to the Juvenile Court for serious (Class 1) offenses. The 858 referrals represent 24 percent of the total referrals to the Court and 8.3 percent of all youth arrested during a one year period. The following matrix provides detailed case dispositional and demographic information for the 858 Class 1 court filings for Gotham City.

--continued--

Table I

Case Dispositions and Demographic Information for Gotham City
Juvenile Court Filings During a One Year Period

| Case Dispositions | N | Percent |
|------------------------------------|-----|---------|
| Lecture and Release | 90 | 10.5 |
| Informal Adjustment | 129 | 15.0 |
| Case Dismissed | 189 | 22.0 |
| Probation | 360 | 42.0 |
| Incarceration | 90 | 10.5 |
| Total | 858 | 100.0 |
| <u>Demographic Characteristics</u> | | |
| Ethnicity - Anglo | 257 | 30.0 |
| Black | 215 | 25.0 |
| Chicano | 377 | 44.0 |
| Other | 9 | 1.0 |
| Total | 858 | 100.0 |
| Age - 13 and younger | 251 | 29.2 |
| 14 | 152 | 17.7 |
| 15 | 173 | 20.2 |
| 16 | 136 | 15.3 |
| 17 | 139 | 16.2 |
| Unknown | 7 | 0.8 |
| Total | 858 | 100.0 |

--continued--

Table II

| Demographic Characteristics | N | Percent |
|---------------------------------------|-----|---------|
| <u>Sex</u> | | |
| Male | 722 | 84.2 |
| Female | 136 | 15.8 |
| Total | 858 | 100.0 |
| <u>School Drop-Outs?</u> | | |
| Yes | 567 | 66.1 |
| No | 276 | 32.2 |
| Unknown | 15 | 1.7 |
| Total | 858 | 100.0 |
| <u>Number of Prior Arrests</u> | | |
| Two | 215 | 25.0 |
| Three | 120 | 14.0 |
| Four | 135 | 15.7 |
| Five | 120 | 14.0 |
| Six or More | 268 | 31.3 |
| Total | 858 | 100.0 |
| <u>Current Court Referral Offense</u> | | |
| Robbery | 70 | 8.2 |
| Assault | 99 | 11.5 |
| Burglary | 112 | 13.1 |
| Larceny | 183 | 21.3 |
| Auto Theft | 99 | 11.5 |
| Class II Offenses | 141 | 16.4 |
| Status Offenses | 154 | 18.0 |
| Total | 858 | 100.0 |

--continued--

Several variables describing the youth's family situations were also available from court records. Family characteristics for the 858 multiple prior offenders were as follows:

Table III

Family Characteristics for the 858 Youth Filed on in
Juvenile Court During a One Year Period

| Family Characteristics | N | Percent |
|--------------------------------|-----|---------|
| Family Situation: | | |
| Married - Both Parents in Home | 249 | 29.0 |
| Separated | 225 | 39.0 |
| Divorced | 265 | 31.0 |
| Unknown | 9 | 1.0 |
| Total | 858 | 100.0 |
| Family Income: | | |
| 2,000 - 3,000 | 178 | 20.8 |
| 3,001 - 5,000 | 288 | 27.1 |
| 5,001 - 7,000 | 301 | 35.1 |
| 7,001 - 9,000 | 65 | 7.6 |
| 9,001 - 11,000 | 44 | 5.1 |
| 11,001 or more | 37 | 4.3 |
| Total | 858 | 100.0 |

| | Comments | Rival Hypotheses |
|-----------------------------------|----------|------------------|
| I. Internal Threats A. History | | |
| B. Maturation | | |
| C. Testing | | |

Worksheet (page 2)

| | Comments | Rival Hypotheses |
|---------------|----------|------------------|
| D. Regression | | |
| E. Selection | | |
| F. Mortality | | |

NETWORKING

Third Worksheet: Determine project events to be evaluated.

Identify why you are doing this evaluation. Review the Method of Rationales and Network diagram. Then list the "key" project events that you have selected to evaluate and identify possible threats to validity for each question. Finally, note the type of evaluation you will be doing.

WHY ARE YOU DOING THIS EVALUATION?

KEY EVENTS

POSSIBLE THREATS TO VALIDITY

TYPE OF EVALUATION

PRELIMINARY EVALUATION QUESTIONS

WORKSHOP F
DEVELOPING AN EVALUATION PLAN

Workshop F
Developing an Evaluation Plan

OBJECTIVES

At the end of this workshop the trainees should be able to:

1. Develop a detailed evaluation plan.

Introduction

This workshop is designed to give you the opportunity to develop a detailed evaluation plan for a typical criminal justice project. To do this systematically, seven tasks are performed in sequence:

- (1) Identifying why you are doing the evaluation
- (2) Preparing a method of rationales to describe the project
- (3) Preparing a networking diagram
- (4) Developing pertinent evaluation questions that identify key events to be analyzed
- (5) Deciding on the type and design of evaluation you will do
- (6) Identifying what threats to validity could apply to each question
- (7) Developing the detailed work plan for data collection and analysis.

The instructor has demonstrated these tasks by "walking through" an example project in the previous module.

Now you will be organized into groups to develop on your own an evaluation plan for another project. All the forms to help you complete the exercise are in these materials. After preparing the evaluation plan, each group will present it to the other participants. What you are to do for each step is outlined below.

Instructions

Step 1. Review these instructions for preparing an evaluation plan.

- ° First decide why you are doing the evaluation.
- ° Second prepare a method of rationales.
- ° Third prepare a networking diagram.
- ° Fourth define key project events that will be evaluated and form preliminary evaluation questions.

- ° Fifth identify the type of evaluation you will be doing and the design you will use.
- ° Sixth identify the threats to validity which may exist as a result of the evaluation questions and methods selected.
- ° Seventh develop a detailed work plan including:
 - what are the measures of success for each key event and evaluation question?
 - what design will be used?
 - is the information wanted available?
 - how will the information be obtained?
 - who will obtain the information?
 - when should the information be obtained?
 - can the data be verified and how?
 - how will the information be analyzed?
 - how will the information be used/presented?
- ° NOTE: You will have approximately 2 hours to complete these seven steps of the activity. Then you should:
- ° Eighth prepare for a 15-minute class presentation based on the worksheets which your group completed. NOTE: Spend about 15 minutes on this step.
- ° Ninth make the 15-minute class presentation. NOTE: An instructor-led critique and discussion will follow the presentations.

Step 2. Read the project description beginning on the next page.

Project Narrative: A Property Identification Project

I. Background.

- During the past two years there has been a major increase in the number of burglaries committed in residential and commercial areas of Urban City. The number of reported burglaries increased by an average of 6 percent per year within 1975 and 1976.
- It is widely believed that a major deterrent to burglaries is the permanent identification of property items likely to be the target of burglars and clear identification of those residential and commercial establishments utilizing this approach.
- It was proposed to establish a property identification project to be operated by the Urban Police Department to encourage and facilitate the identification of personal and business property.

II. Objectives.

- To enroll 20% of the residential and commercial property units (N = 8,000) in those parts of the city designated as high burglary risk areas during the first year.
- To reduce burglary by 10% in those areas at the end of the first year.
- To increase (by 5%) the percentage of burglary crimes cleared by arrest at the end of the first year.
- To reduce the degree of citizen apprehension and concern over the prospect of being burglarized.

III. Implementation Plan.

- To hire and train 24 full-time project staff, including a senior and assistant project director, 4 record clerks, 3 identification team supervisors, and 15 property identification specialists (within 30 days of project start-up).
- To survey the entire city regarding their level of apprehension about burglary and fear of crime.
- To purchase or lease necessary equipment, materials, and facilities, including property identification engravers, inventory forms and decals; office space, supplies and other equipment (within 90 days of start-up).
- To develop and present various forms of media material to increase public awareness of the project (within 90 days of start-up).

- ° To solicit public participation in the project through direct contact with area residents and merchants.
- ° To make available at various locations, necessary equipment and forms for individual citizens to inventory and mark valuable possessions.
- ° To permit enrollment by: (1) citizens calling project and staff going to home to mark property; (2) citizens agreeing to mark property during staff surveys of area; and (3) citizens going to a centralized site to enroll and mark own property.
- ° To develop and maintain a record of all property identified through the project.

IV. First-Year Evaluation Results.

The project was reviewed after one year for refunding. The Supervisory Board had indicated that it was unlikely that the project could demonstrate any of its long-term objectives until a significant proportion of the residential/commercial units had been enrolled. Thus, refunding was based on evidence of success in carrying out the implementation plan and meeting the enrollment objectives as well as the demonstration that identification techniques were indeed being utilized by the enrollees in a significant number of units.

Upon the evaluators positive report after one year of funding, the Board decided to refund and to expand the project to other sectors of the city. This one-year expansion of the project was contingent upon the project assessing which of the contact methods was the most effective in enrolling the greatest numbers of units. The Board also recommended that the start-up process in the new areas be monitored as closely as the initial ones and an interim report be provided to curtail unnecessary spending of the city's money as well as to assess the initial success of the new efforts.

Additional staff, equipment and materials were provided to expand the project.

V. Decision-Making Requirements.

After two years of the project's life, the Board is interested in assessing the success of the projects in a number of areas: (1) an indication of the project's success in affecting burglary and citizen perception in their target areas; (2) the impact these projects have had, if any, on the overall crime and specific burglary rates (both city-wide and in the project target areas); and (3) an indication of any significant change in citizen perception in the target areas as well as in the non-target areas.

Step 3. Using the instructions provided in Step 1, prepare an evaluation plan to be presented to the group.

METHOD OF RATIONALES WORKSHEET FOR
PROPERTY IDENTIFICATION PROJECT

OUTCOMES

IMMEDIATE RESULTS

ACTIVITIES

INPUTS

STATED

IMPLIED/UNANTICIPATED

NETWORKING

Determine project events to be evaluated. Identify why you are doing this evaluation. Review the Method of Rationales and Network diagram. Then list the "key" project events that you have selected to evaluate and identify possible threats to validity for each question. Finally, note the type of evaluation you will be doing.

WHY ARE YOU DOING THIS EVALUATION?

KEY EVENTS:

POSSIBLE THREATS TO VALIDITY:

TYPE OF EVALUATION:

Key Project Events to be Evaluated

| | | | | |
|-----------------------------------|--|--|--|--|
| | | | | |
| Define Measures of Success | | | | |
| Design to be Used | | | | |
| Information Available? | | | | |
| How Will Information be Obtained? | | | | |
| Who Will Obtain? | | | | |
| When is Information Needed? | | | | |
| Can Data be Verified and How? | | | | |
| How Will Information be Analyzed? | | | | |
| How Will Information be Used? | | | | |

79364

U.S. Department of Justice
Law Enforcement Assistance Administration



Criminal Justice Planning and Management Series

Volume 4

Criminal Justice Evaluation Course: Participant Guide

TABLE OF CONTENTS

| | |
|-------------|---|
| MODULE 1: | INTRODUCTION TO EVALUATION |
| WORKSHOP A: | APPLICATION: EVALUATION PRACTICES |
| MODULE 2: | DETERMINING PROJECT LOGIC |
| WORKSHOP B: | DETERMINING PROJECT LOGIC |
| MODULE 3: | DETERMINING EVALUATION TYPES, DESIGNS, AND THREATS |
| MODULE 4: | PROJECT MONITORING DESIGNS |
| WORKSHOP C: | APPLICATION: PROJECT MONITORING |
| MODULE 5: | PROCESS EVALUATION DESIGNS |
| WORKSHOP D: | DESIGNING A PROCESS EVALUATION |
| MODULE 6: | DESIGNS FOR IMPACT ASSESSMENT |
| WORKSHOP E: | DESIGNING AN IMPACT ASSESSMENT |
| MODULE 7: | COLLECTION, ANALYSIS, AND INTERPRETATION OF EVALUATION DATA |
| MODULE 8: | PLANNING AN EVALUATION |
| WORKSHOP F: | DEVELOP AN EVALUATION PLAN |



MODULE 1

INTRODUCTION TO EVALUATION

MODULE 1: INTRODUCTION TO EVALUATION

OBJECTIVES

At the conclusion of this module, participants will be able to:

1. Define project evaluation.
2. Identify the role of evaluation in the project planning and development cycle and show how evaluation relates to the general planning process model.
3. Understand the basic structure of the evaluation planning process.

1. Definition of evaluation.

evaluation is a systematic process of establishing a project's impact and value

in criminal justice, distinctions are made between evaluating

- programs

- projects

focus on project

EVALUATION IS A SYSTEMATIC WAY OF EXAMINING THE IMPACT AND VALUE OF PROJECTS.

2. Project evaluation has two parts: describing the project and determining relationships among project elements.

first, the project is described to show its elements and its logic

second, relationships or linkages are examined

ALL PROJECT EVALUATION ENTAILS: (1) PROJECT DESCRIPTION AND (2) EXAMINATION OF CONNECTIONS AND RELATIONSHIPS AMONG PROJECT ELEMENTS.

3. Evaluation terminology varies.

many terms are used in evaluation

the technology of evaluation is new and still growing

the same concept often has different labels

THE DIVERSE ORIGINS OF EVALUATION TECHNOLOGY HAVE LED TO DIFFERENT TERMINOLOGIES.

4. Evaluation informs decisions.

program decisions are made to:

- fund, not fund a project
- continue, modify a project
- institutionalize a project

evaluation provides information to decision-makers

without information, decision-makers must guess

if no decision is to be made, evaluative information is not needed

5. Evaluation is Oriented to Informing Decisions.

6. Evaluation is future-oriented.

6.1 Information is helpful when it tells us what to do.

6.2 Evaluation cannot predict with certainty.

EVALUATION IMPROVES OUR CONFIDENCE ABOUT FUTURE PROGRAM DECISIONS.

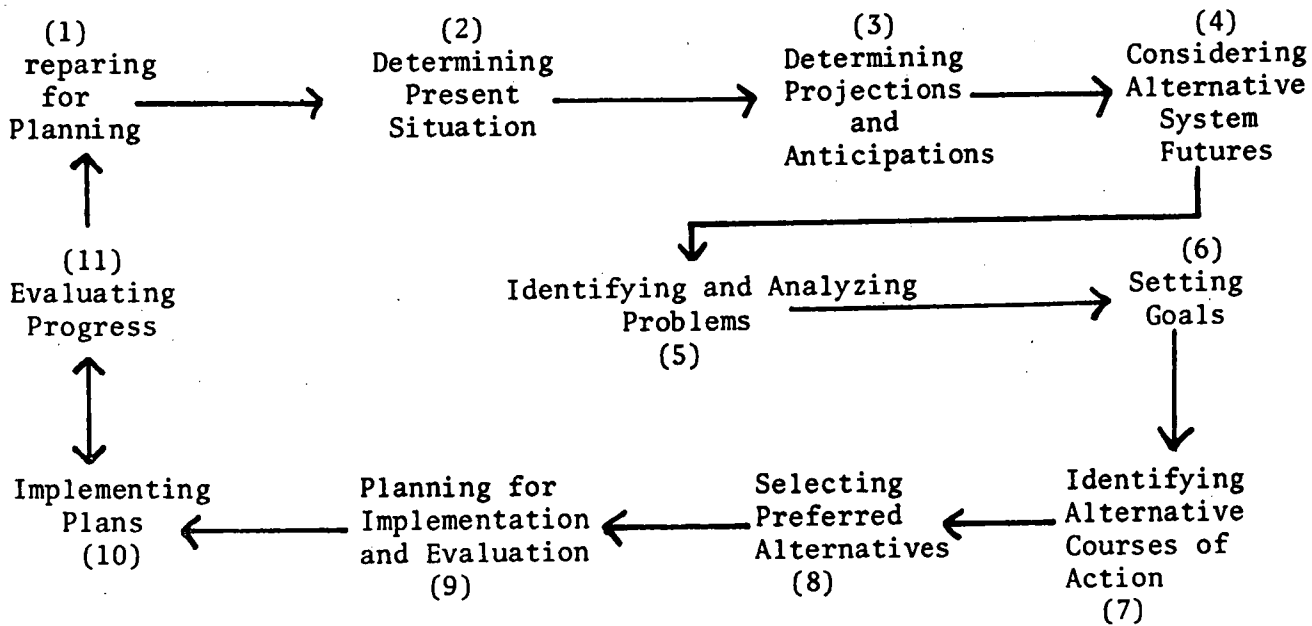
7. Evaluation in the project development cycle.

7.1 Evaluation fits into the planning and project development process at many points.

EVALUATION SHOULD BE INTEGRATED INTO ALL ASPECTS OF THE PLANNING AND PROJECT DEVELOPMENT CYCLE, NOT ADDED AS AN AFTERTHOUGHT.

8. The General Planning Process Model.
(See next page)

8. The General Planning Process Model.



NOTES

evaluation helps planners know what works and what doesn't (steps 1-4)

evaluators help to analyze and define problems precisely, set measurable goals, and show what actions have worked elsewhere (steps 5-7)

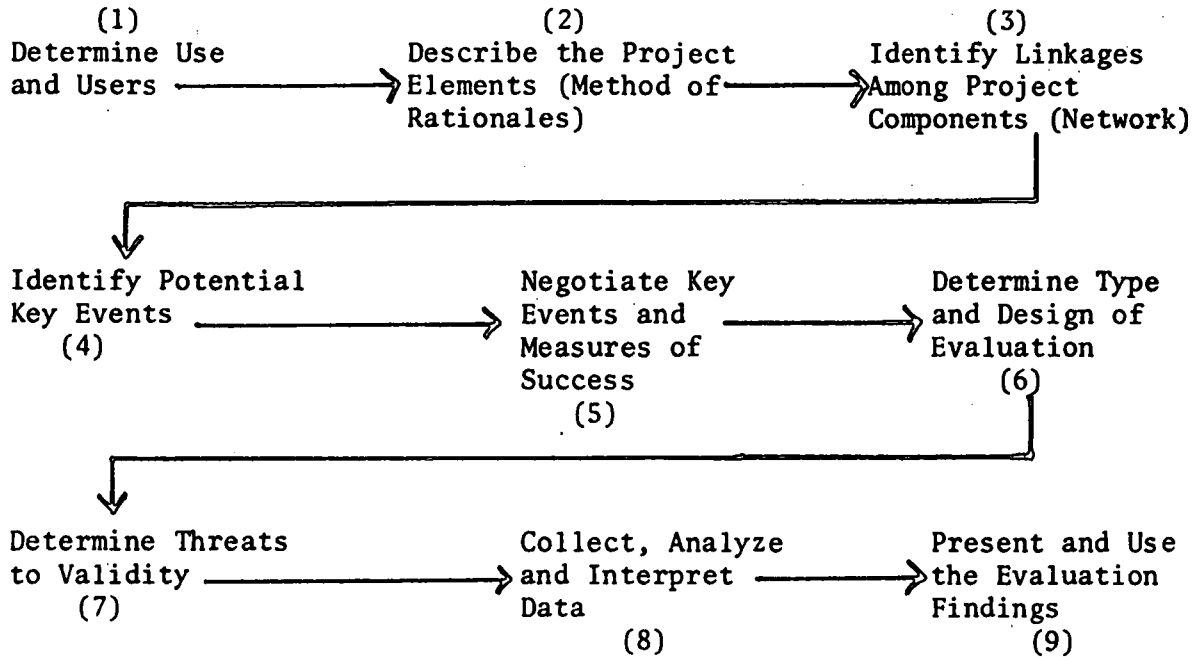
evaluation should be part of project planning (steps 8-9)

evaluation should be tied to project implementation and provide feedback (steps 10-11)

evaluation helps make institutionalization decisions

EVALUATION FUNCTIONS CONTRIBUTE TO ALL OTHER PLANNING, DEVELOPMENT, AND IMPLEMENTATION ACTIVITIES.

STEPS IN PROJECT EVALUATION



NOTES

9. The evaluation model and course structure.

10. Evaluation and the Criminal Justice System.

11. Summary.

WORKSHOP A

APPLICATION: EVALUATION PRACTICES

OBJECTIVES

At the conclusion of this workshop, participants will be able to:

1. Describe their evaluation practices relative to those in other jurisdictions and/or agencies.
2. Identify similarities and differences between their own roles and those of counterparts in other units and to identify strengths and weaknesses of their various evaluation approaches.

Introduction

The purpose of this workshop is to provide an opportunity to discuss the role of evaluation in the Criminal Justice system and to allow you and your fellow trainees to compare evaluation terminologies, roles, and structures in your own jurisdictions. You will be divided into smaller groups for this workshop. Each group will make a report to the class on the results of its discussion.

An additional objective of this activity is simply to encourage you to get to know other course participants and begin to feel comfortable in contributing your questions and comments throughout the remainder of the course.

The instructor will go over each of the following steps with you before you begin. All of these steps except the last one are done in your small groups. Now is the time to clear up any difficulties you might have.

Step One. Read descriptions of evaluative activity in other jurisdictions which have been assigned by the instructor.

- Read over the descriptions assigned. These were compiled at the first annual meeting of SPA evaluators, held in Seattle on April 20-21, 1977 and published by the National Conference of State Criminal Justice Planning Administrators (Taxonomy of Evaluation in the LEAA State Planning Agencies by Jack O'Connell, June 1977). The format has been changed somewhat from the published version but the content is essentially the same.
- These descriptions are provided to suggest some of the elements that might be included when you begin to describe evaluation in your own jurisdiction, as well as to illustrate the variation in roles, terminologies, and structures in the criminal justice system.
- NOTE: Spend about 5 minutes reading the assigned descriptions.

Step Two. Describe evaluation in your jurisdiction on the worksheet provided (column one).

- ° Fill in the items about evaluation in your jurisdiction on the worksheet provided. Even if your own jurisdiction was one of the assigned descriptions, you may need to update the information provided and you will have to supplement the description in some areas.
- ° These notes are for your own use during the group discussion and will not be reported individually to the class. Do not be concerned if you are not sure about all the characteristics of your jurisdiction.
- ° NOTE: Spend about 10 minutes on this step.

Step Three. Discuss each of the items included in the worksheet.

- ° As a group, discuss the items on the worksheet in turn, considering the similarities and differences among the jurisdictions represented in your group.
- ° A second column has been provided on the worksheet for you to record comments about other jurisdictions, if you wish.
- ° As you discuss the items, where appropriate, try to point out the strengths and weaknesses of the approaches in your own jurisdiction as compared to other jurisdictions.
- ° NOTE: Spend about 45 minutes on this step.

Step Four. Prepare for presentation to group.

- ° Develop a 10-minute presentation which summarizes the similarities and differences among jurisdictions represented in your group, as well as any strengths and limitations of various approaches which were identified in your discussion. Organize your presentation around the items which were presented in the worksheet.
- ° You can divide up the presenting task any way you wish.
- ° NOTE: Try to complete this step in 15 minutes.

Step Five. Make presentation to class.

- There will be an instructor-led class discussion after each presentation.

Decision Policy: Funding decisions are made by the Governor's Supervisory Board based on recommendations from the SPA staff. The SPA staff makes direct input to the Supervisory Board on the results of evaluations.

Evaluation Practices: All evaluations are performed by Auburn University under contracts supervised by a small evaluation management core within the SPA. Three types of evaluation are conducted:

- ° Intensive - evaluation characterized by cause-and-effect designs with the goal of providing "proof" of a project's impact.
- ° Process - evaluation consisting of pre- post-designs measuring changes in recidivism rates, system rates, etc.
- ° Monitoring - measures whether or not fiscal and project objectives are being met.

Budgeted Resources: Funding provides \$100,000 for evaluation management and monitoring (excluding overhead); \$105,000 for monitoring by local regions; \$100,000 to \$150,000 for contracts with Auburn University.

Staffing includes 1 full-time director and 2 professional staff at the SPA; 8 full-time monitors in the RPU's; and 1 director, 1-1/2 professional staff, 6 graduate students, and 1 support staff at Auburn University.

Region #1: State "B" (population 1.5 million)

Decision Policy: Regional Criminal Justice Coordinating Council priorities are submitted to the SPA and State Council for pro forma review. Grant applications are screened for evaluation purposes by the RPU.

Evaluation Practices: All project evaluations are conducted by independent contractors under the supervision of the regional evaluator; program evaluations are performed by the RPU staff. Prior practice of grantees contracting directly for evaluation was discontinued because of lack of objectivity and their failure to use qualified contractors. All evaluations are intensive, examining outcome and impact variables such as recidivism, crime rates, system improvement, and cost-benefit.

Budgeted Resources: Funding provides \$75,000 for RPU evaluation activities; in addition, 3% to 10% of each grant is reserved for an evaluation contract.

Staff at the RPU consists of 1 full-time director, 1.4 professional staff and 1 support staff.

State "C" (population 4.6 million)

Decision Policy: Program plans are developed by the SPA staff based on needs assessments and regional suggestions. After reviews, funding decisions are made by the Executive Committee of the State Crime Commission. Planning staff recommendations include evaluation information.

Evaluation Practices: All project and program evaluations except for corrections are conducted by SPA staff. Adult and juvenile corrections efforts are evaluated by the agencies concerned with State Crime Commission funds. Most evaluations incorporate quasi-experimental designs using a pre-test/post-test strategy. There is an increasing emphasis on cost-benefit analysis.

Budgeted Resources: Funding provides \$88,000 for SPA evaluation activities plus an additional \$113,000 for evaluations in corrections.

Staffing in the SPA includes 1 full-time director, 2 evaluators, 3 researchers, and 1 support staff.

Decision Policy: The SPA develops funding guidelines and recommendations.

The Governor's Committee reviews and then approves or disapproves individual grant requests. Evaluation findings are provided to the SPA staff, selected members of the Governor's Committee including the Subcommittee on Evaluation, and sometimes the State Legislature.

Evaluation Practices: All evaluations are designed by the SPA evaluator but performed by independent contractors. Previously, evaluations were conducted through grants to universities but this was changed because of lack of control, because time tables were not being met, and because the academic approach did not produce good products. Funds are now being used to develop evaluation capabilities in Boston and other agencies. Three types of evaluation are conducted:

- ° Process evaluations, which are encompassed by the monitoring effort.
- ° Impact/Outcome evaluations, which examine all variables such as recidivism, crime rates, behavioral change, system improvement, and cost efficiency.
- ° Needs Assessment Studies.

Budget Resources: Funding provides \$75,000 for monitoring and \$305,000 for evaluations including \$125,000 in discretionary funds.

Staffing consists of 1 full-time director, 2 evaluation specialists, 5-1/2 monitors, and 2-1/2 support staff.

State "E" (population 9.3 million)

Decision Policy: The State Plan establishes priorities for planning by the regions. All projects are reviewed by the SPA staff, but local priorities tend to determine funding. Recommendations for special conditions on grants for evaluation are made by the evaluation staff. Program evaluation results are directed to the State Commission's Management Committee which prepares changes in the State Plan.

Evaluation Practices: Projects are evaluated by a local evaluation unit or by contract with the grantee. All designs are approved by the SPA evaluation staff. Program evaluations are conducted or contracted by the SPA evaluation staff. Having grants select their own evaluator is being abandoned because this has produced poor results and is too expensive. There are three types of evaluations:

- ° Standard Program evaluations cover the first year of a number of related projects and seek information on organizational efficiency and on target area and/or target population.
- ° Intensive Program evaluations usually contain a quasi-experimental design and cover the life of a number of similar projects.
- ° Local evaluations are process or outcome evaluations.

Budgeted Resources: Funding provides a total of \$220,000 for SPA evaluation staff and contracts. Local evaluations are funded from the grant.

Staffing at the SPA includes 1/2 director, 2 professional staff, and 4 or 5 evaluation assistants.

Workshop A: Worksheet for Describing Monitoring/Evaluation in Own Jurisdiction

| Item | Own Jurisdiction | Notes on Other Jurisdictions (Strengths & Weaknesses, Differences & Similarities) |
|---|------------------|---|
| Jurisdiction: | | |
| Population Size | | |
| BUDGETED RESOURCES | | |
| - Funds Available | | |
| - Staffing Level | | |
| EVALUATION PRACTICES | | |
| - How are responsibilities for monitoring/evaluation organized? Who is responsible for designing and conducting monitoring and evaluation activities? | | |
| - What different types of monitoring/evaluation are performed (what terms are used?) | | |
| - What kinds of monitoring/evaluation are emphasized? | | |
| - What is your role? | | |

| Item | Own Jurisdiction | Notes on Other Jurisdictions (Strengths & Weaknesses, Differences & Similarities) |
|---|------------------|---|
| DECISION POLICY | | |
| - Who develops program plans, sets priorities, establishes policy? | | |
| - Who makes funding decisions? | | |
| - What role do monitoring/ evaluation activities play in the planning and pro- gram development cycle? | | |
| - How are evaluation findings used by project managers? By supervisory board members? By other audiences? | | |
| - How are evaluation findings used in making decisions to: 1) fund/not fund a project, 2) modify a project, or 3) institutionalize a project? | | |
| - Do monitors/evaluators in your jurisdiction make specific project, program, or policy recommendations? What kinds and to what audiences? | | |

MODULE 2

DETERMINING PROJECT LOGIC

MODULE 2: DETERMINING PROJECT LOGIC

OBJECTIVES

At the conclusion of this module, participants will be able to:

1. Understand the importance of the environment and context within which the project operates and the evaluation will be done.
2. Use the method of rationales to describe the project.
3. Network the logic of a project.
4. Identify potential key events and formulate evaluation questions based on key events.

1. This module is an overview of the following key concepts in project evaluation:

- project/evaluation environment

- method of rationales

- tracing project logic

- key events

2. Project/evaluation environment.

- # projects exist in a real-world context

- project history
- project setting in criminal justice system

- # evaluations exist in a real-world context

- identify decision points
- identify informational needs of potential users
- identify uses of evaluation

- # constraints

- decision-makers need for information
- evaluation resources
- timing of evaluation
- political context

3. The Method of Rationales.

- # the "method of rationales" organizes the project components into four categories

- # describing the project and tracing the project logic are the first steps in evaluation

4. The First Category: Inputs.

- # inputs are the ingredients needed by the project to bring about a change

- # are the Nouns of the project

5. The Second Category: Activities.

- # activities are the operations of the project

- # activities are how the inputs are used

- # are the Verbs of the project

6. The Third Category: Results.

- # results are the initial consequences of project activities

7. The Fourth Category: Outcomes.

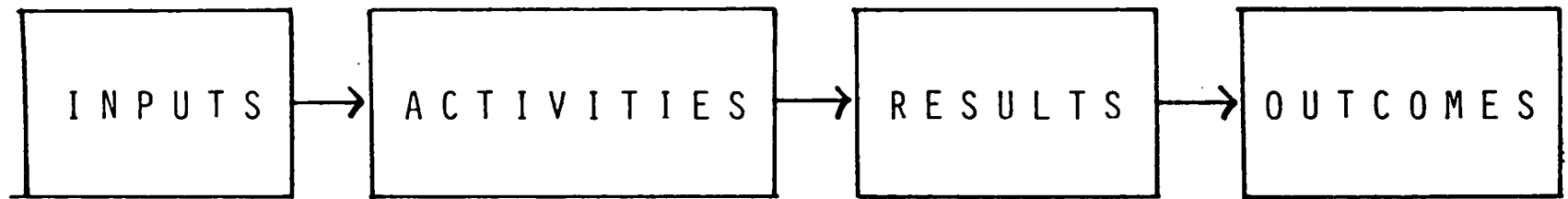
- # outcomes are less immediate project effects

- crime reduction

- improvement in the quality of justice

- improvement in the efficiency of the criminal justice system

THE METHOD OF RATIONALES



8. Desk Exercise on the Method of Rationales.

Directions: Read the project description given on the left hand column and for each of the components. Fill in the information in the second column only.

| Project Description | Is this an input, activity, result or outcome? | Measures of success? |
|--|--|----------------------|
| 1. The project consists of three restitution counselors to be hired by the juvenile court. | <hr/> | <hr/> |
| 2. To reduce recidivism of juvenile offenders | <hr/> | <hr/> |
| 3. To provide restitution to 200 victims of juvenile crime. | <hr/> | <hr/> |
| 4. To develop restitution plans for 200 juvenile offenders referred from court. | <hr/> | <hr/> |
| 5. To arrange face-to-face negotiation meetings between victims and offenders. | <hr/> | <hr/> |
| 6. To increase the juveniles' sense of accountability and responsibility. | <hr/> | <hr/> |

NOTES:

9. Establishment of Project Linkages - Networking.

the logic of the project may be shown as a network of project components

- several project operations may be independent and may occur simultaneously
- other project operations may be dependent and will occur in series

all project components from the Method of Rationales should be accounted for in these linkages

10. Networking Exercise. (Worksheet on following page).

11. Key Events.

identification of potential key events.

- examination of network diagram
- negotiation among evaluator, decision maker and project personnel
- other possible methods
 - professional judgement based upon experience
 - proposed use of the evaluation

DESK EXERCISE ON NETWORKING

DIRECTIONS: Draw a networking diagram of the project described in the previous desk exercise.

12. Measures of Success.

- # specific amounts (or procedures for determining the specific amount) of a key event that is sufficient for project development or success

- # negotiation of key events and measures of success

13. Identification of key events and measures of success is achieved by:

- # examination of project logic

- # examination of the network diagram

- # consideration of the environment of the project

- # the purpose/use of evaluation

- # negotiation with interested parties

- # professional judgement

14. Summary.

- # fundamental concepts are:

- project/evaluation environment
- method of rationales
- tracing project logic
- key events and measures of success



WORKSHOP B
DETERMINING PROJECT LOGIC

OBJECTIVES

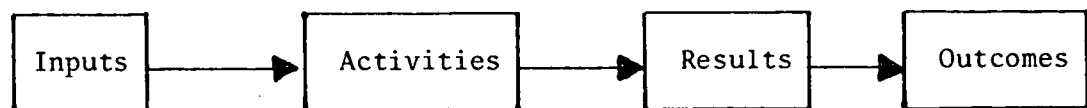
This workshop is an exercise that is aimed at developing competence in completing the first phase of evaluation for a given project - that of describing a project in order to understand its logic. The skills to be mastered are:

1. Applying the method of rationales to a project.
2. Specifying the logical linkages among the components.
3. Identifying potential key events.
4. Establishing evaluation questions and measures of success.

Introduction

During this workshop you will practice applying the method of rationales to an actual criminal justice project. First, however, the method will be demonstrated for you.

The method of rationales is used to set out the logic of a project in an organized way so as to make monitoring and evaluation possible. Important components of a project usually are presented in the proposal, but sometimes they are not. All of these components have to be identified, however, to determine what should be examined for assessment purposes, and to obtain agreement on which inputs, activities, results, and outcomes are the most critical for project success. Use this framework to identify significant project components.



After the demonstration, you will have a chance to apply the method of rationales to the exercise in a small work group.

During this workshop, we want to emphasize the logic behind social change projects. Identifying key project components is more important than how you categorize them, since classification questions can usually be resolved with the project staff when the method of rationales is applied.

The materials you will need for this workshop (example, exercise, instructions, and worksheets) follow.

Step One. Read the Example project description and the Instructions:

Applying the Method of Rationales.

- Read through the description and the instruction sheet. The project description provided here, like the project materials you will encounter

throughout the course, has been abstracted from information on a "real world" project. There are many details about the project that purposely have been omitted. They are not critical to your task. You may not agree with the logic of the project, or the way it has been described, or the way its objectives have been stated. (You often may encounter this situation on-the-job, as well). It should not prevent you from completing the exercise, which consists of applying the method of rationales, networking, identifying potential key events, stating some evaluation questions and specifying measures of success.

Step Two. Walk through the example with the instructor.

- ° Turn to the completed worksheets for the status offender project. They have been prepared by an experienced evaluator, but note that there is no one "right answer". Evaluators may differ somewhat in how they complete the method of rationales, and the networking diagram, although we would expect their overall results to be similar.
- ° Follow along as the instructor walks through the process of completing the worksheets. Now is the time to ask questions if you are not clear about the steps in applying the method of rationales, differences among inputs, activities, results and outcomes, or networking.

Step Three. In a small group workshop, apply the method of rationales, complete a networking diagram, identify potential key events that would lead to preliminary evaluation questions based on the project description, and specify measures of success.

- Read the Exercise description of the project provided. Remember that this description is based on "real world" project documents and may not be perfect. However, sufficient information is presented to complete the exercise.
- Proceed to apply the method of rationales to the description, complete a networking diagram and formulate three preliminary evaluation questions based upon identifying key events and their measurable success criteria (measure of success) following the steps set out in the instruction sheet.
- NOTE: You will have approximately one hour to complete this activity.

Step Four. Prepare for presentation of results.

- Prepare the three worksheets on the work release project for presentation to the class. You may be asked to present your worksheets or a portion of them to the class, or to comment on and supplement the worksheets of another group.
- Decide who will be group spokesperson in the class presentation.
- NOTE: Spend about 10 minutes preparing for the presentation.

Step Five. Participate in presentation of results.

- Contribute your group's results as directed by the instructor.
- An instructor-led critique and discussion will follow the presentation of results.

EXAMPLE

Project Narrative: A Group Home for Status Offenders

I. Problem Statement. The Need for Assistance is as follows:

- ° Approximately 3500 juveniles are adjudicated for status offenses each year in the county. Most are placed on probation or otherwise returned to the community. However, during the past three years, 121, 160, and 178 juveniles were committed to institutions.
- ° Institutionalization for status offenders seems to be ineffective. Among those who were released in the past three years, there were 143, 150, and 136 instances of return to court, including several who were returned more than once.
- ° As part of the State's Alternate Residential Environment for Offenders, a residential center will be created to reduce the number of status offenders sent to institutions to zero.

II. Objectives. The objectives of this project are:

1. To divert to an alternate residential setting, all status offenders who are referred by the Youth Bureau or the Family Court and who are potential institutional commitments.
2. To facilitate prompt re-entry of the child into his or her community - whether the child returns home, the child is placed with relatives or foster parents, or the child re-enters society in another acceptable way.
3. To reduce recidivism among status offenders by 40% during a 3-year period following release.

III. Implementation Plan. The tasks to be performed are:

- ° To rent and prepare a home with the necessary kitchen facilities, furniture, and office equipment suitable for housing up to 15 status offenders at any one time.
- ° To provide food, laundry and related services to clients.
- ° To provide 24-hour supervision, formal counseling and casework services, basic educational tutoring, and a comprehensive recreational program to clients in a physically, nonsecure setting.
- ° To utilize existing community resources and volunteer involvement for health care, social activities, and other services.

--continued--

IV. Staffing. The following staff will be required:

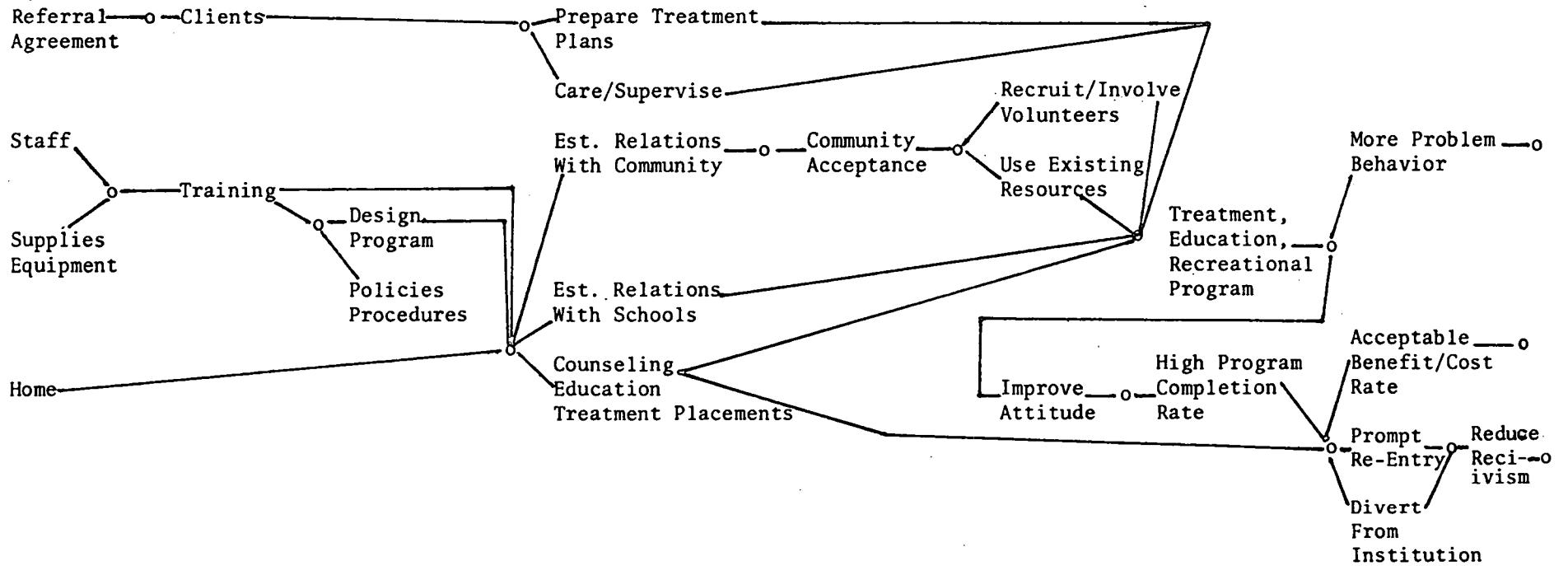
- A House Director
- A House Manager
- A Full-Time Counselor
- Two Part-Time Counselors/Tutors
- A Cook/Housekeeper

The house director will be responsible for staff coordination, the development of treatment plans, and day-to-day supervision of the residents. The director will live at the home.

The house manager will be responsible for food service, housekeeping, maintenance, and other administrative duties. The manager will also live at the home and substitute for the director in his or her absence.

The counselors will be responsible for carrying out the treatment, educational, and recreational programs.

GROUP HOME FOR STATUS OFFENDERS
NETWORKING DIAGRAM



GROUP HOME FOR STATUS OFFENDERS
COMPLETED MOR

| INPUTS | ACTIVITIES | RESULTS | OUTCOMES |
|---|---|--|--|
| <ul style="list-style-type: none"> • 6 Staff • Appropriately Equipped Home • Supplies and Materials | <ul style="list-style-type: none"> • Treatment, Educational, and Recreational Programs • Care and Supervision • Prepare Treatment Plans • Use Existing Community Resources to Provide Services • Volunteer Involvement | <ul style="list-style-type: none"> • Prompt Re-Entry into Community | <ul style="list-style-type: none"> • Reduce Recidivism 40% over 3 years • Divert Status Offenders from Institutional Commitments to Zero |
| <ul style="list-style-type: none"> • Clients • Design Treatment Program • Policies and Procedures • Staff Training • Referral Agreement with Y.B. and F.C. | <ul style="list-style-type: none"> • Establish Relations With Community • Working Relations With Schools Established • Recruit, Screen, Train Volunteers • Recruit, Screen, Prepare Placements | <ul style="list-style-type: none"> • Acceptably High Program Completion Rate • Improved Attitude Adjustment • Acceptance of Group Home and its Residents by Community | <ul style="list-style-type: none"> • Acceptable Costs Compared to Institution • More Problem Behavior in the Community |

BRIEF DESCRIPTION OF LOGICAL LINKAGES AMONG COMPONENTS
IDENTIFIED FOR THE GROUP HOME STATUS OFFENDERS

Inputs to Activities

Trained staff, a well-designed program with appropriate policies and procedures, a home, and a referral agreement that gets clients are necessary to begin the project activities.

Activities to Activities

Treatment and the educational/recreational program are dependent on involvement of volunteers, ability to use existing resources, prepared treatment plans, care and supervision of the youth, school relations and the staff's ability to locate possible placements.

Activities to Results

A successful treatment program will improve youths' attitudes and a high program completion rate will occur. A negative program result could be more problem behavior in the community.

Results to Results

A high program completion rate will permanently divert youth from institutions and also enable the youth to quickly return to the community.

Results to Outcomes

A good program completion rate will ensure the program is cheaper than institutionalization. Prompt re-entry into the community and diversion from institution will reduce the re-arrest of the youth for more serious offenses.

PRELIMINARY EVALUATION QUESTIONS AND KEY EVENTS
FOR THE STATUS OFFENDER PROJECT

Inputs to Activities

1. Is program staff sufficient to establish relations with the community, prepare treatment plans, care and supervise the youth, establish relations with the school, and obtain possible placements?
2. Are appropriate treatment plans prepared for all clients referred to the program?

Activities to Results

1. Has the treatment and educational/recreational program improved the youths' attitudes?
2. Because the program takes place mostly in the community, have any new problems been caused in the community?

Results to Outcomes

1. Is the program completion rate sufficient to make this program less expensive than institutional confinement?
2. Can a significant reduction in recidivism be shown to have occurred because youth were diverted from the institution and promptly returned to their communities?

INSTRUCTIONS: APPLYING THE METHOD OF RATIONALES

A. Step One: Describe the project in terms of the inputs, activities, results, and outcomes indicated in the project application or working description.

- ° Do not infer or assume any aspects beyond those indicated in the application
- ° What are the inputs identified in this description? What are the activities, the results, the outcomes?
 - You may wish to begin with inputs or with outcomes. The order is not important, as long as you work through the project description to identify the specifics in each category
 - Where you classify specific entries is less important than identifying them. Evaluators may disagree on whether an element is best considered a result or outcome, for example. These questions can usually be clarified with the project staff
- ° Entries should be described as exactly as possible
 - Use observable terms where you can (e.g., in terms of concrete things or overt behavior)
 - Incorporate detail where you can

B. Step Two: Identify possible implied and unanticipated elements or components.

- ° After the inputs, activities, results, and outcomes have been laid out from project descriptive information, it may become apparent that some important elements have not been identified. An evaluator needs to analyze the project to see what was overlooked, since these omissions might strongly influence the project

- Implied project components may be identified by looking for "gaps" in the project description. For example, if an activity involves transporting clients, then an implied input must be vehicles or an agreement with the public transportation authority
 - "Unanticipated" project elements often are possible consequences of a project - results or outcomes - which have not been identified or expected by planners or project personnel but later may become evident to observers and/or staff. For example, if a police project hopes to produce an immediate result of increasing arrests for burglary, an unanticipated immediate result may be an increase in court backlog. Often, but not always, the evaluator can identify some of these possibilities in advance through examination of project logic and discussions with decision-makers
- C. Step Three: Network in order to identify the logical links within the project and select the key events central to the project's development. After the logic of a project has been described in detail it is necessary to decide upon linkages among the inputs, activities, and results most crucial for a project's development.
- D. Step Four: Use specific logical linkages, among two or more project events, to formulate three evaluation questions based upon identifiable key events and a measurable success criteria. One question should examine a linkage between inputs and activities; another - activities and results; and the third - results and outcomes.

EXERCISE

Project Narrative: A Local Jail Work Release Project

I. Problem Statement. The Need for Assistance is as follows:

- ° Statistics have suggested that merely holding persons in custody during the period of their sentences is an ineffective form of rehabilitation and may, in fact, result in an increased probability that the person will commit future crimes.
- ° Second, many of the persons currently imprisoned in the county jail do not have adequate job skills or experience with which they can find employment after release. Moreover, persons employed at the time they are imprisoned often lose their jobs as a direct result.
- ° Third, during the period of their imprisonment, prisoners are unable to support their families or pay their debts, thus casting the burden of support on public agencies, and increasing prisoner anxiety.
- ° Finally, the county has experienced a rapid increase in the cost of maintaining prisoners on a 24-hour-a-day basis, which, coupled with the crowded conditions in the jail, threatens the quality of supervision that can be maintained.
- ° For these reasons it is proposed to develop a work release program within the county jail.

II. Objectives. The objectives of the project are:

1. To prevent, control, and/or reduce future criminal behavior.
2. To provide rehabilitation programs to criminal offenders and to reintegrate them into the community as productive and law-abiding citizens.
3. To cooperate with all agencies within the criminal justice system and to utilize their services and other available community resources.
4. To protect the community from additional criminal acts during the correctional process.
5. To relieve the overcrowding in the county jail.
6. To provide a non-secure alternative to simple confinement.
7. To permit convicted persons to retain employment.
8. To permit convicted persons to provide support to their families, pay their debts, and help offset the cost of their supervision.

--continued--

III. Implementation Plan. The tasks to be performed are:

- Screening of potential participants for work-release status at the time of entry into the jail.
- Assessing the individual needs of prisoners.
- Developing a plan of rehabilitation for each inmate.
- Arranging for necessary social services to be provided by outside agencies.
- Locating potential employers for work-release participants.
- Supervising and monitoring persons while on work-release status and while in custody in the facility.

IV. Staffing and Staff Duties. The following staff will be required:

- A project director
- Two work-release counselor/coordinators

The project director will be responsible for coordinating the activities of the work release program with the other programs in the jail, will provide liaison between the project and other social service agencies, and will, as necessary, assist project staff in the operation of the project.

The work release counselors/coordinators will screen prospective participants in the project, will conduct interviews and testing of participants to determine their particular needs, will arrange and monitor services provided by other agencies, will assist participants in locating employment in the community, will provide individual and group occupational counseling, and will monitor project participants while on work release status.

METHOD OF RATIONALES

| OUTCOMES | | |
|------------|--------|---------|
| | STATED | IMPLIED |
| RESULTS | | |
| | STATED | IMPLIED |
| ACTIVITIES | | |
| | STATED | IMPLIED |
| INPUTS | | |
| | STATED | IMPLIED |

NETWORKING

PRELIMINARY EVALUATION QUESTION

MODULE 3

**DETERMINING EVALUATION TYPES,
DESIGNS AND THREATS**

MODULE 3: EVALUATION TYPES, DESIGNS AND THREATS

OBJECTIVES

At the conclusion of this module, participants will be able to:

1. Describe three types of evaluation. Identify the specific evaluation types and characterize designs to be applied in project evaluation.
2. Distinguish between descriptive and comparative evaluation designs.
3. Identify the threats to validity which may limit confidence in evaluation findings.

Introduction: The Types of Evaluation.

the type of evaluation chosen
depends on the need for information

this course defines three types:

- monitoring
- process evaluation
- impact assessment

1. Project Monitoring: The First
Evaluation Type.

project monitoring focuses on inputs
and activities; looks for logical
relationships

typical questions

when used

2. Process Evaluation: The Second
Evaluation Type.

encompasses inputs, activities,
and results; looks for logical
relationships

typical questions

when used

3. Impact Assessment: The Third
Evaluation Type.

encompasses inputs, activities,
results, and outcomes

typical questions

when used

4. Identifying Appropriate Evaluation Questions.

5. Evaluation Questions and Attributing Causality.

all evaluation concerns identifying and interpreting logical relationships

project evaluation is based upon the causal argument of the form - did "X" produce "Y"

evaluation designs are used to probe these relationships

6. Descriptive Designs.

a descriptive design is a method of examining the relationships among and/or between project inputs, activities, results, and outcomes in a systematic, logical, non-inferential fashion using case-by-case analyses of events and/or clients

DESCRIPTIVE DESIGNS CAN BE USED WHEN COMPARATIVE DESIGNS CAN'T.

to apply descriptive designs

- identify inputs, activities, results and outcomes.

- analyze evidence of links

- judge which links are sufficient to probe causality

7. Comparative Designs.

a comparative design is a method of examining the relationships among and/or between project inputs, activities, results, and outcomes when control/comparison groups, pre-project baseline measures, or project groups receiving differing amounts or types of treatment are available for inclusion in the analysis

8. Some Comparative Designs Depend on Within Project Variability.

9. Within-project Variability can be Analyzed to Show Strengths of Project Relationships or the Effects of Differences in Project Relationships.

10. Other Comparative Designs use Other Conditions for the Necessary Comparisons.

11. These Designs are Classified According to Experimental, Scientific Research Standards.

12. Threats to Validity.

definition: a threat to validity is an explanation (other than project activities) for the observed effects

a threat to validity can also be referred to as an "alternative explanation" for the apparent effect of the project or as a "rival hypothesis"

the more validity threats present, the less certain one can be about attributing causality

13. Importance of Threats to Validity.

threats to validity that are not controlled or ruled out with additional analysis can undermine the usefulness of evaluation information

threats to validity can result in incorrect information being used in decision-making

13.1. Common Types of Internal Threats to Validity.

history

- definition: an event other than the treatment could occur between the first and second measurements, or an event could alter the value of the pre-treatment observation (but not the post-), or events could change both the pre- and post-observations but at different magnitudes of change

- example:

- discussion:

maturation

- definition: persons within the groups or areas that receive the treatment are getting older, more mature, wiser, more experienced, or changing in some other way through time
- example:
- discussion:

testing effects

- definition: taking a test can have an influence on the scores obtained the second time the test is taken
- example:
- discussion:

regression to the mean

- definition: groups or areas that have extreme scores at one point in time tend to revert toward the average of the population from which they were drawn at subsequent points in time. Regression to the mean is a problem when clients or areas with extremely high or low values are selected for treatment
- example:
- discussion:

selection

- definition: criteria used to select persons into the treatment group may differ from the criteria used in selecting persons for the comparison groups

- example:
- discussion:

mortality

- definition: mortality is biased and differential loss of cases from the treatment and control (or comparison) groups
- example:
- discussion:

13.2. External Threats to Validity.

14. Controlling Threats to Validity.

examples:

15. Summary.

MODULE 4
PROJECT MONITORING DESIGNS

OBJECTIVES

Upon completing this module, the participants will be able to:

1. State the purpose and definition of monitoring evaluation.
2. Determine the characteristics and limitations of descriptive designs as they apply to monitoring evaluation.
3. Determine the characteristics and limitations of comparative designs as they apply to monitoring evaluation.
4. Apply descriptive designs to monitoring evaluation.
5. Identify the threats to validity confounding descriptive designs.

1. Purpose and definition of monitoring evaluation.
 - # one of three types of evaluation
 - # used for informing decisions
 - # plays an important diagnostic function
 - # an assessment of project inputs and activities
2. Monitoring evaluation assesses the extent to which project inputs and activities are consistent with those that were planned, when such knowledge would be of value to others.
3. The role of project monitoring in informing decisions.
 - # one type of evaluation
 - # looks at first two project components
 - # done early in project
 - # key purposes are to describe, assess, identify discrepancies, diagnose
4. Project monitoring as an aid to project development.
 - # aid projects in getting and staying on-track

5. Application of the method of rationales.

- # method of rationales facilitates determination of project logic

- # networking links project components

- # key events define the potential monitoring evaluation points

6. Key project events and elements are potential monitoring evaluation points, and must be related to the needs of those who can use the information obtained.

7. Descriptive designs are used to examine relationships between project inputs and activities.

- # many relationships between inputs and activities are quite obvious

- # frequently used when doubts arise as to the relationships between inputs and activities

- # efficient evaluation method

DESCRIPTIVE DESIGNS ARE LOGICAL APPLICATIONS WHICH CAN BE USED BY ANY THOUGHTFUL MONITOR OR EVALUATOR

- # designs are applied in distinct steps

- # designs facilitate development of reasonable explanations

example of application

8. Limitations of descriptive designs.

9. Descriptive designs and validity threats.

uncontrolled threats to validity
undermine the usefulness of the
evaluation information

descriptive designs do not control
for many of the validity threats
discussed earlier

threats to validity lead to the
question of whether rival hypotheses
may account for the observed relation-
ships, reducing the confidence in the
results obtained

10. Comparative designs used to examine
relationships between project inputs
and activities.

11. Some comparative designs examine within
project variability - how more or less
of a project input relates to more or
less of a project activity.

12. Other comparative designs examine the
relationship between a project input
and activity compared to another
project activity.

13. Comparative designs control threats to various degrees.

14-17. ACTIVITY.

18. The major thrust of monitoring projects is to identify and understand significant discrepancies between planned and actual project inputs and activities in order to modify projects to make them more effective.

- # examine input-activity relationships and judge if inputs sufficient to produce activities

- # interpretation of relationships observed early in project history should be made with caution

- # discrepancies between planned inputs and activities and those observed may be found

- # external environment must be evaluated for its impact on project

19. Summary.

WORKSHOP C

APPLICATION: PROJECT MONITORING

OBJECTIVES

Upon completion of this workshop, the participant should be able to:

1. Identify the specific evaluation methodologies applied in the report and describe how they were utilized.
2. Assess whether the interpretation of the findings was consistent with the information/data reported.
3. Judge the adequacy of the report for use by various decision-makers (monitoring unit manager, project director, supervisory board members).
4. Compare the clarity, organization, and adequacy of the report with those prepared at the participant's agency.

Introduction

The general purpose of Workshop C is to have you read an actual evaluation report so that:

- (1) You can relate its general content, organization, format, etc., with evaluation reports developed in your own agency, and,
- (2) You can relate its specific content (methodology, analyses, conclusions, etc.) to training material.

An integral part of most monitors' and evaluators' jobs is the preparation of evaluation reports. One way for you to reflect on the quality and utility of your own reports is to compare your experiences against reports prepared by evaluators in other agencies.

In this workshop, you are provided with an actual evaluation report which is fairly typical of those encountered in LE/CJ. The exercise provides you an opportunity to identify strengths and weaknesses of the report and exchange views with your peers about the "real world" constraints and demands placed upon monitors/evaluators when they prepare evaluation reports. In addition, reviewing and analyzing an actual evaluation report provides a chance to review many points covered in earlier modules.

Step One. Read the evaluation report and the completed MOR worksheet.

- In your small group, read the report (spend no more than 10-15 minutes).
- Revise the MOR worksheet if necessary (spend no more than 10-15 minutes on this).

Step Two. Discuss the questions which follow the report in the Participant Guide.

- In your break-out group, discuss the questions listed in the Participant Guide.
- NOTE: Spend about one hour on this step.

Step Three. Prepare for total group presentation.

- ° Develop a 15 minute presentation about the discussions and conclusions reached by your group.
- ° Your presentation should cover:
 - why this report is (or is not) a useful example of project monitoring.
 - the evaluation methods applied and the adequacy of the report's description.
 - the consistency and fairness of findings, conclusions, and recommendations.
 - how well the report would meet decision-maker needs.
 - differences in the way your group would have planned the evaluation.
 - would an MOR, Networking and Key Event process have strengthened this report? Why or Why not?
- ° NOTE: Spend about 15 minutes on this step.

Step Four. Make total group presentation.

- ° An instructor-led critique and discussion will follow each presentation.
- ° NOTE: Under each major heading are instructions in bolder type print concerning the type of information that should be contained in that section of the report. This is intended to provide an example of an acceptable format for most evaluation types.

| | INPUTS | ACTIVITIES | RESULTS | OUTCOMES |
|-----------------------|--|--|--|---|
| STATED | <p>Money to hire interns.</p> <p>Equipment, facilities & supplies</p> | <p>Develop selection criteria.</p> <p>Contact colleges.</p> <p>Identify student pool.</p> <p>Interview & screen applicants.</p> <p>Select ten interns from applicants.</p> | <p>Provide practical experience to at least ten student interns.</p> <p>Increase DOC's personnel capabilities by providing more people to perform tasks.</p> <p>Bring a different viewpoint to the DOC's operations, which might lead to procedural changes.</p> | <p>Increase recruitment capabilities of the DOC of the following type of staff:</p> <ol style="list-style-type: none"> 1. qualified 2. women 3. minorities <p>Increased retention of staff (i.e., reduce turnover rate).</p> |
| IMPLIED/UNANTICIPATED | <p>DOC staff to train and supervise interns.</p> <p>Cooperation of universities.</p> <p>Support services from DOC.</p> | <p>Record-keeping.</p> <p>Placement of interns.</p> <p>On-the-job training of interns.</p> | <p>Possible resentment of other staff.</p> | <p>Increased recruitment and retention of staff in criminal justice agencies other than the DOC.</p> <p>More turnover of old staff.</p> |

MONITORING REPORT

I. GENERAL INFORMATION

Project Title: Student Intern Project
Applicant: State Department of Public Safety
Implementing Agency: Division of Corrections

II. AWARD, IMPLEMENTATION AND ORGANIZATIONAL BACKGROUND

Date of Award: July 21
Project Implementation Date: July 25
Grant Period: One Year
Approved Budget:

| <u>Category</u> | <u>Federal Share</u> | <u>Matching Share</u> |
|-----------------|----------------------|-----------------------|
| Personnel | \$13,665 | \$1,371 |
| Equipment | 405 | 45 |
| Consultant | 0 | 0 |
| Travel | 511 | 56 |
| Consumables | 189 | 21 |
| Rental | 0 | 0 |
| Others | <u>230</u> | <u>173</u> |
| Totals | \$15,000 | \$1,666 |

III. PROJECT DEVELOPMENT AND OPERATION*

History of Project Development

Should include a brief narrative history descriptive of the conceptual and organizational background of the project. Issues addressed should include a concise statement of the problems the project was designed to address; when and where the idea for the project originated; who was responsible for initial planning and development of the application; program concerns in the application review process.

This project, initially developed by headquarters staff of the Division of Corrections, was designed as a means of recruiting and retaining qualified and competent staff for the state correctional system.

According to the applicant, a large number of the Division of Corrections' entry level professional positions (counselors, social workers, administrative personnel, academic teachers) are available to college graduates in the disciplines of social sciences, social work and education. Most of these entry level positions are applied for through State Merit Service tests given in general areas such as human resources, teaching and administration. The Division of Corrections must vigorously compete with other state agencies in attracting the best qualified applicants for vacant positions. This requires energetic recruiting activities. The Division has also recognized the need for recruitment of qualified minority members and women. Concerning the employment of women, according to the applicant, the Division (like most correctional agencies) has a history of employment procedures which did not encourage the employment of women. However, the Division with the past two years has revised a number of its policies concerning the roles of women within the correctional system, and all Division positions are now open to female applicants.

*Monitoring form instructions are reported in bolder type print.

The turnover rate of correctional personnel is also of concern to the Division. Once employees are found to be capable, it is to the Division's benefit to retain qualified, trained personnel. Often, according to the applicant, individuals come to the Division from college, with no previous exposure to the correctional system and its unique working environment. Many times, these persons, after experiencing correctional work, decide that their career interests lie elsewhere. The student intern project is aimed in part at alleviating this problem.

This project provides the Division with the increased capability to attract college-educated personnel, minority members, and women to its employ. Also, by providing students with the opportunity to work in the system while still in school, the probability is increased that these persons not only will return to work with this agency after their respective graduations, but that they will make corrections a career.

Implementation Difficulties and Special Condition Compliance

Describe projected implementation schedule and note significant departures; list and discuss any special conditions not fully met.

Federal funds totaling \$15,000 were awarded one year ago. The grantee immediately began contacting area colleges to identify potential persons to fill the ten intern positions. Fifteen colleges and universities were contacted.

During the application period, a total of forty student applications were received, and interview schedules were developed. The grant was implemented two week later when the first interns were hired. All special grant conditions placed on the first year award were met.

Current Project Organization

Describe the present staffing pattern of the project. Capsule job descriptions and the specific qualifications of the individual staff

members will be helpful. Describe any significant personnel problems encountered by the project.

The ten intern positions are assigned as follows: (a) one for psychological/psychiatric services; (b) one in planning and research; (c) one in education; (d) one in social services; (e) one in classification and adjustment; (f) one in State Industries; and (g) four in community corrections.

The program directors in these seven areas directed the student interns who worked both at the Central Office and within the institutions.

There was no formal training provided to interns hired under the grant other than on-the-job training.

General Discussion and Description of Project Activities

List all activities (or components) of the project. Include all pertinent available data on the current status of each activity. If programmatic modifications were requested during the year, explain reasons for request and describe what action was taken on them.

The basic aim of this project is to expose qualified college students to the field of corrections by employing them as interns in seven functional areas within the Division. It was envisioned that interns hired would work an average of approximately 20 hour each per week for a six-month period. This is about 426 hours each for all ten interns. However, actual work schedules varied (as anticipated) depending on the functional areas to which each intern was assigned, school schedules of interns, and staff turnover within the intern positions. Specific activities of the interns in these functional areas are indicated in Table 1.

All interns hired during the initial grant year were recruited from accredited colleges and universities. Formal selection criteria for the intern positions are indicated in Table II.

TABLE I
STUDENT INTERN ACTIVITIES

Classification

1. Handled family leave applications, verifying inmate information.

Community Corrections

1. Developed and implemented audit program for collecting resident data.
2. Developed survey instrument to assess needs/attitudes of residents, staff and community.
3. Surveyed attitudes of community in vicinity of Community Corrections Center.
4. Redesigned demographic data collection instrument.

Education

1. Conducted survey of other correctional systems concerning separate school districts.
2. Researched additional education fund sources.
3. Developed and helped implement education Management Information System.

Planning and Research

1. Developed written study of Work Release Program using national survey data.
2. Prepared many answers to letters of inquiry to the Division.
3. Responsible for preparation of LEAA project quarterly reports.
4. Assisted in development of program descriptions for the Division of Corrections.

Psychology

1. Administered psychological evaluation tests at the Penitentiary.
2. Completed psychological intake interviews at Correctional Institution-Women.

TABLE I (Continued)

STUDENT INTERN ACTIVITIES

State Industries

1. Conducted transportation cost survey, indicating methods to reduce transportation cost.
2. Conducted survey of State Industries personnel positions.
3. Completed various assignments working with State Industries sales staff.

Social Services

1. Worked with alcohol treatment staff providing group, individual and family counseling.
2. Coordinated with community service agencies in developing post-release services for offenders.

TABLE II

INTERN SELECTION CRITERIA

1. Potential interns must be enrolled as full-time students in an accredited college or university.
2. Potential interns who already have a Bachelor's degree must be enrolled as full-time graduate students.
3. Potential interns must be at least 18 years of age.
4. Potential interns must be majoring in a subject area related to corrections or the specific functional area being applied for.

In addition to these formal criteria, priority in hiring is given to upper level undergraduate and graduate students and state residents. The hourly pay rate range for interns hired is \$2.95 to \$3.80 depending on the number of credit hours completed by each intern. Demographic data available on the thirteen interns hired included: (a) eight of the thirteen hired were women and five were men; (b) six of the thirteen were

black and seven were white; and (c) one intern of the thirteen was a second year undergraduate student, four were undergraduate third year students and eight were graduate students.

There were no program modifications submitted by the grantee during the first year of project operation.

IV. ANALYSIS

Impact on Project Objectives

List all objectives established for the project as funded by the Commission and comment on the level of attainment reached under each objective. Appropriate pre-project data should be included for comparison purposes.

Project objectives are indicated in Table III.

TABLE III

PROJECT OBJECTIVES

1. Provide at least 10 college students with practical experience working in the area of corrections.
2. Expand recruitment efforts in employing college graduates by providing them with the opportunity to work in corrections during their college study.
3. Provide increased Division personnel capabilities, to accomplish desired administrative tasks, studies, and/or reports for which present staff is not available, thus improving the Division's functioning.
4. Bring to the Division outside views on Division operation and initiate correctional program changes where appropriate.

The first objective (to provide at least ten college students with practical experience working in the area of corrections) was generally met. During the initial grant year, the Division employed a total of 13 interns. Of the 13, ten were employed for a sufficient length of time to gain experience in corrections. All ten were employed for an average of just over five months and collectively have worked a total of

3,635 hours for the Division. Of the remaining three, two resigned after one day of employment and one left after two weeks of employment. Table IV summarizes data relating to the length of employment for all interns hired.

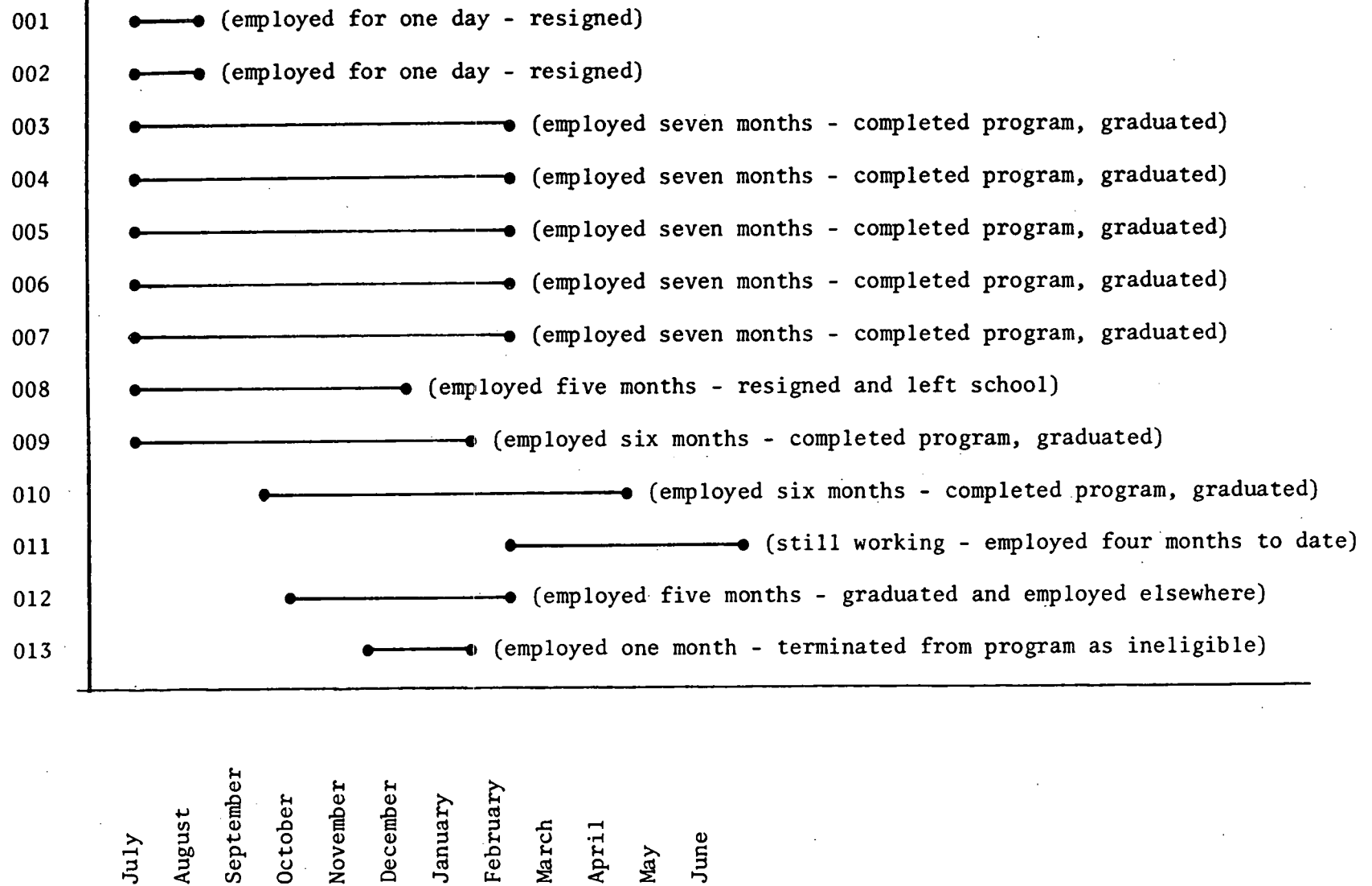
Of the ten interns who worked for a sufficient period of time to gain experience in corrections, six have completed follow-up questionnaires designed to measure the quality of their respective experiences in corrections. All six indicated a generally favorable experience. Three of the remaining four interns have not yet completed their questionnaires. One is still in the program. Currently, recruiting efforts for continued project operation (if approved by the Commission) are being conducted.

The second objective is to expand recruitment efforts in employing college graduates by providing them the opportunity to work in corrections during their college study.

Of the nine students who have completed internships, four (44%) indicated that they had applied to the State to take the Professional Careers Test, the general Merit System test for entry level college graduate positions. Another two (22%) students indicated that they intended to apply when they became eligible. Three (3) students did not indicate that they would follow this procedure. Currently, further information is not available concerning the employment of the students who applied to the State, because they do not graduate until the end of this year.

Little information is available on the third objective (to provide the Division with increased capabilities to accomplish desired administrative tasks, studies and/or reports for which present staff is not available, thus improving the Division's functioning). The project director has indicated that the intern project provided the Division with

TABLE IV

LENGTH OF EMPLOYMENTINTERN

the additional staff resources and special skills to accomplish activities which would not have been possible without the student input. The participating Division staff repeatedly indicated that the operation of their program area was benefited by the presence and accomplishments of the interns. These statements, though subjective in nature, seem to suggest that the Division benefited from the program, and that the objective has generally been achieved.

The fourth objective (to bring the Division outside views on Division operations and initiate program changes where appropriate), has also been met. The interns provided a variety of outside views on the Division's operation. These views, according to the grantee, were manifested in the students' day-to-day working experience with Division staff. According to the applicant, the interns brought with them fresh outlooks on the problems and operations of corrections, as well as an energetic capacity to seek changes, although the interns did at times express frustrations over bureaucratic procedures, security-related procedures and regulations, and resource limitations. Instances of program changes as a result of intern involvement pertained in most cases to the introduction of a structured system to evaluate a program, or the production of a specific evaluative report. Specifically, interns working in Community Corrections, Education, and State Industries provided these programs with instruments and data for evaluation, needs assessment, and operating efficiency.

The interns working in Community Corrections redesigned the instrument for collecting demographic data on community corrections residents. The intern in Education designed a management information system to assist in improving the Division's education program. The intern in

State Industries introduced several methods of reducing product transportation costs.

Impact on Commission Objectives

Cite pertinent objectives and describe impact in all relevant detail.

This project is consistent with the Commission's first and five year objectives to continue development of effective recruitment programs by supporting intern programs involving potential employees of the correctional agencies or programs.

Other Impacts of the Project

This heading should include specific detail on the project's impact on (a) the implementing agency (b) other components of the Criminal Justice System (c) secondary benefits attributable to project activity.

One additional impact of this project is the potential for recruitment of interns employed by the Division to other areas of the criminal justice system. In working for the Division of Corrections, interns are exposed to other elements within the system with which the Division must coordinate. Thus, although an individual may complete his or her internship with the Division, an actual career choice may be in an area other than corrections, but still with the criminal justice system. The applicant should follow up on all interns hired (if approved by the Commission for a second year funding) to determine the extent to which this occurs.

Cost Effective Assessment

This section should present a complete breakdown of all project costs regardless of funding source and a comparison of those costs to the period prior to the current year under consideration.

A cost assessment for the program was completed by the Commission staff as indicated in Table V.

TABLE V
COST ASSESSMENT

| <u>Activity</u> | <u>Cost</u> |
|--|-------------|
| Cost per intern hired (\$16,666 divided by 13 interns) | \$1,282 |
| Cost per intern employed over four months (\$16,666 divided by 10 interns) | \$1,667 |

These figures are consistent with other intern programs funded by the Commission in the state. Additional measures of cost effectiveness should include: (a) cost figures for interns completing the program and hired full-time by the Division; and (b) cost figures for the value of work performed by the interns for the Division. None of these figures can be computed, however, at this point in time.

Summary of Major Strengths and Weaknesses of the Project

This heading will encompass critical detail and analysis on the project's chief advantages and shortcomings under three sub-headings: (a) operations, (b) managerial, and (c) cost-efficiency. Due attention should be paid to any third-party evaluations.

The major strength of this project is that the Division of Corrections now has an additional method of attracting well-qualified potential employees to the Division. Interns hired thus far seem to be of high quality, and generally feel that their respective experiences were beneficial.

The only significant weakness of the project is the rather subjective nature of the evaluation design. The most valid measure of the project's success in terms of Commission objectives is in its ability to facilitate the hiring of full-time Division personnel from the pool of interns who complete this program. At this point, no interns have been so hired, but it appears that up to four will be.

Audit Reporting or Financial Issues

This heading should include any audit exceptions taken or noted during the previous year and steps contemplated to remedy the problem.

The grant has not yet been financially audited by the Commission staff. However, quarterly fiscal reports seem to indicate general compliance with appropriate federal and Commission guidelines. All audit recommendations should be implemented by the grantee when the audit report is completed.

1. Is this an example of a Monitoring report? Why?
2. How well were relationships between inputs and activities described?
3. Which extraneous influences were present?
4. Which extraneous influences were examined and dealt with?
5. Were the findings reported clearly?
6. Were the findings reported fairly?
7. Are the conclusions consistent with the findings?
8. Are the recommendations consistent with the findings?

9. Compared with the course ideals how adequate is the report for decision-makers?
10. Would a networking and key events process have strengthened this report? Why?
11. What would your decision be regarding needs for technical assistance?
12. Would you have planned the evaluation (in terms of what was examined and how) differently?

MODULE 5
PROCESS EVALUATION DESIGNS

OBJECTIVES

Upon completing this module, participants will be able to:

1. Describe the use of descriptive designs in the process evaluation.
2. Describe the use of comparative designs in process evaluation.

1. Characteristics of descriptive designs.

a systematic, logical, non-inferential way to evaluate relationships among project inputs, activities, and results

descriptive designs can be used with any project

involves a case-by-case analysis of project events or clients

DESCRIPTIVE DESIGNS CAN BE USED WHEN COMPARATIVE DESIGNS CAN'T.

2. In process evaluation, descriptive designs examine relationships among project inputs, activities, and results.

establish whether a project result can be linked to activities and inputs

to apply descriptive designs:

- identify inputs, activities, and results
- analyze evidence of links
- judge which links are sufficient to probe causality

DESCRIPTIVE DESIGNS EXAMINE CAUSAL RELATIONSHIPS AMONG PROJECT INPUTS, ACTIVITIES, AND RESULTS.

3. Causal relationships can never be established absolutely.

criminal justice evaluation cannot establish perfect relationships due to many outside influences

general criteria for improving or attributing causations

- one event precedes the other in time
- the events are related or associated
- the relationship is not accidental or spurious

attributing relationships with descriptive designs consists of giving reasonable explanations

- less precise than designs which use statistical tests
- evaluator bias a problem
- must consider other interpretations of results

TO ATTRIBUTE RELATIONSHIPS IN CRIMINAL JUSTICE PROJECTS, THE POSSIBILITY OF ALTERNATIVE EXPLANATIONS MUST ALWAYS BE CONSIDERED.

4. Activity.

5. Comparative Designs.

6. Some types of comparative designs are used in process evaluations when the evaluations are based only on the project itself.

designs are based upon within-project variability

within-project variability can exist in all project components - inputs, activities, results

the notion of variation among project components is central to using these designs

knowing how strongly different project variables are associated with one another shows what may be working well and not in a project

7. Within-project variability used to find strengths of relationships and effects of differences in relationships.

relationships among project variables can range from strong to weak to none

8. Activity; Comparative designs to examine within-project variability.

You may be asked by the instructor to describe a project you know about that has been or could be evaluated to determine within-project variability using a comparative design. An ideal project would be one in which there is some variability associated with inputs, activities, or results.

9. Characteristics of other comparative designs.

another approach to looking at cause-effect relationships among inputs, activities, and results

can be used when:

- project has comparison or control groups other than the treatment group
- project has more than one treatment group
- pre-project baseline data are available

THESE COMPARATIVE DESIGNS FREQUENTLY USE INFORMATION "OUTSIDE" THE PROJECT AND ATTEMPT TO EXAMINE SUCH INFORMATION SYSTEMATICALLY.

10. Comparative designs are classified by how well they meet experimental research standards.

experimental designs:

(R) X 0

(R) 0

(R) X_1 0

(R) X_2 0

- most "scientific"
- use randomly formed control groups
- a standard to work toward

- random assignment controls alternative explanations
- give high confidence in results
- rigorous, but may be impractical

quasi-experimental designs:

| | |
|---|---|
| X | 0 |
|---|---|

| | |
|--|---|
| | 0 |
|--|---|

| | |
|----------------|---|
| X ₁ | 0 |
|----------------|---|

| | |
|----------------|---|
| X ₂ | 0 |
|----------------|---|

- less precise, not up to strict experimental research standards
- use non-equivalent comparison groups, not randomly formed
- don't control all alternative explanations
- results require cautious interpretation
- often more feasible in "real world"

pre-experimental designs:

| | | |
|---|---|---|
| 0 | X | 0 |
|---|---|---|

- least rigorous of the comparative designs
- compare pre-project against post-project measures
- little control of alternative explanations
- give least confidence in results
- useful in early stages of project

11. Activity: Applying comparative designs in Process Evaluation.

This activity will take about 20-30 minutes to complete. Your instructor will provide complete directions on how to proceed.

This activity provides some practice in designing a process evaluation. The aims of the activity are to reinforce some of the concepts and principles taught about process evaluation and comparative designs. You will be looking at an example of an LE/CJ project in doing this activity.

The following pages contain all the materials needed to complete the activity. There are: a brief project description, a completed method of rationales for this project, and two issues of interest to the project director, each followed by a set of questions.

In general, you will: (1) read through the materials presented, (2) answer the questions for each issue, and (3) discuss your answers with the class.

In 1975, the public school system of a mid-western city developed a special satellite instruction center for juvenile delinquents referred by the court. The center is designed to serve delinquents 12-14 years old with a history of poor scholastic adjustment and evidence of a "problem" home environment. Individualized instruction is available to all center enrollees, with counseling and group social activities as optional components.

The theory of the project is that a bad home environment leads to poor academic performance and disruptive school behavior (truancy, discipline problems), conditions which in turn contribute strongly to a pattern of delinquency. The center's program seeks to remedy the youths' scholastic difficulties, as a means of improving their self confidence and social adjustment and reducing further delinquency.

The center admits youths from the ages of 12-14, who have been selected and referred by a juvenile court judge on the basis of prior school and family history and upon concurrence with the school system. At intake, each youth takes a standardized scholastic achievement test to assess current grade level, as well as a battery of psychological tests which includes a measure of self-concept and an "anti-social" scale. After the test results are evaluated, an individualized instruction program is prescribed for each student; in addition, some students are enrolled in group counseling twice weekly. Finally, some students are assigned to structured group social activities.

Youths enroll in the center at varying points in the year and may spend a maximum of 9 months in the project. Students are referred back to the regular school program by project staff when they have reached their appropriate grade levels or when project staff think they have gained all that they can from the project. Most youths spend at least 4-6 months at the center, although

a few are discharged by the second or third month. Although project staff believe some students could profit from a lengthier program, the nine-month limitation has been adopted because of the great demand. Maximum capacity at any one time is 25 but 50-60 different students may participate over a one-year period.

| Method of Rationales | | | |
|---|--|---|--------------------|
| Inputs | Activities | Results | Outcomes |
| Staff - counselors - school psychologist - media specialists - instructors Equipment - films - tv - self-paced programmed materials - reference books Space - classroom - counseling - testing Agreement with Juvenile Judges Criteria for Referrals and Discharge Agreements and Liaison with Public School System | Psychological testing Achievement testing Group counseling Development of individual educational plans Individualized instruction and performance testing Meet with volunteer and community groups Social group activities | Few contacts with police within 12 mos. Less school truancy Less school absenteeism Less disruptive behavior in school Higher self-concepts | Reduced recidivism |

Issue 1: This project makes available three types of services: individualized academic instruction, group counseling, and structured group activities. Youths enrolled may receive varying combinations of these services. Some receive academic help only, some receive academic help and counseling, others receive all three. Each service requires substantial resources to provide, so the project director is quite interested in knowing whether the various combinations of service produce any differential effect on the amount of disruptive school behavior. Behavior in the 12 months following discharge from the project is of particular interest to the project director.

1. What project relationship would you look at in order to provide information relevant to this issue?

2. What kinds of data would you collect, and how, in order to examine this relationship?

3. Briefly describe how you would set up your evaluation so that you could fulfill the project director's needs?

Issue 2: Because there is such high demand for the project -- the court would refer more clients if there were room -- no one can stay in the project more than nine months. Some clients remain less than 9 months if the staff sees sufficient improvement to justify referring them back to the regular school program. The project director is curious to know whether the incidence of police contacts in the year after discharge varies among clients who remained in the project for different lengths of time.

1. What project relationship would you look at in order to provide information to this issue?

2. What kinds of data would you collect, and how, in order to examine this relationship?

3. Briefly describe how you would set up your evaluation so that you could fulfill the project director's needs?

WORKSHOP D
PROCESS EVALUATION

OBJECTIVES

Upon completion of this workshop, you should be able to:

1. Develop a method of rationales, network, and key events for a project evaluation.
2. Develop a series of questions leading to development of a process evaluation.
3. Identify the specific designs to be applied in the project evaluation.
4. Identify the threats to validity which may affect the evaluation findings.
5. Identify the design modifications to the evaluation which would reduce or eliminate the threats.

Introduction

The general purpose of this workshop is to develop a process evaluation based on a project description.

The exercise is not unlike the activities you may have already experienced, when asked to develop and conduct an evaluation of a particular project or series of projects. Your task will determine what the project intends to accomplish with an array of resources and to establish an evaluation which will show the project's performance (success or failure) in achieving what it was funded to do.

The exercise provides you with an opportunity to develop the project Method of Rationales and network; identify the key events; identify a series of questions relevant to evaluating the project's performance; select the designs you would use in conducting the evaluation; and consider the threats to validity associated with the design selected. The project presented is an actual operating project and, as such, presents a realistic situation to you as the evaluator in having to design the means for assessing the project's worth. Assume that the grant application did not include an evaluation plan necessitating your activities at this point.

Instructions

Step One. Read the project description.

- In your small groups read the following description. The demographic information contained in the description augments the project information by defining the target population.

Step Two. Develop a method of rationales, network and identify the key events.

- As a group develop the MOR and construct the project network.
- As a group identify the key events.

Step Three. Identify the evaluation question felt to be necessary in determining the project's successes and failures based upon the identified key events.

- ° The group should reach consensus as to several questions which would be answered by the evaluation. Several important questions can be identified as examples - it is not necessary to identify every question which could be asked.
- ° The questions are to be related to the key events.

Step Four. Identify the type of evaluation and evaluation methods used in answering the significant questions posed by the group.

- ° In addressing the types and methods used, attention should be given by the groups to the project elements (inputs, activities, etc.) involved in the questions.

Step Five: Address the threats to validity which may be related to the evaluation design.

- ° In identifying the threats which may be related to the design, the group should discuss why some threats appear to be of concern and others may not.
- ° The group should give thought to how serious the threats may be to the evaluation.
- ° Consider what design changes should be implemented to reduce the impact of the threats on the evaluation.

Step Six. Prepare for presentation to the group.

- ° The group should identify who will record the information to be presented and identify who will make the presentation.
- ° You have 10 minutes to present your evaluation design to the other groups.

° The outline for your presentation is as follows:

- MOR
- Network
- Evaluation Questions
- Evaluation Type and Design
- Threats to Validity
- Improvements to Evaluation Design

Project Description

Project Title: PROUD

Selected Project Summary

Project PROUD is a community based program designed to effect a recidivism reduction for 60 program participants who are on probation for each of three years. Only those youth with a record of recidivism (two or more convictions) are admitted to the program, through direct referrals from Juvenile Court. PROUD provides follow-up services for all youth who have completed the intensive training portion of the program. Project PROUD is a work/study program which employs all participants and provides remedial education in an accredited school.

The project is designed to improve self-image self esteem; foster a strong work ethic; and improve estimates of self worth by developing academic skills and by finding youth useful jobs. The use of tutors, counselors, cultural education, work-skills training, and employment is designed to close the gaps in basic educational deficiencies, to eliminate the corrosive effects of idleness, to stimulate new productive interests, and to effect a successful reintegration into the community and school system for youth who previously have shown a history of delinquent behavior.

Project PROUD Methodology

Project PROUD is a community based program offering services to adjudicated juveniles, many of whom have lengthy records of prior arrests and convictions. Most of these youngsters are either black or chicano. PROUD operates on the premise that an individual must confront his problems in his own environment--i.e., within the community. To do this the offender must be guided in adopting and maintaining a conventional life style as an alternative to the delinquent life style he has known.

PROUD provides this direction by addressing the youth's typically very low esteem for himself and others. Four main areas of service are incorporated in one program to help the client confront his problems in an integrated manner: academic education; counseling; employment; and cultural education.

Youngsters are referred to PROUD through Gotham's Juvenile Court Probation Unit. Referrals meet the following criteria:

- ..They are 14-17 years of age;
- ..Have a recent arrest or conviction for a Class 1 offense;
- ..Have two prior convictions (preferably for Class 1 offenses) and
- ..Reside in Gotham County.

PROUD received 60 of these referrals during a 12-month period. The project has been funded for a three-year period, with the condition that the previous year's performance warrants continuation funding. In total, 180 youth are expected to be served during the three years.

--continued--

Services

For the first three months, youngsters in the program receive intensive services. A nine-month follow-up period continues treatment geared to the youth's needs and interests. The follow-up may involve daily to weekly contact.

The services provided include the following:

Education. Based on test results, participants are assigned to classes in either the PROUD Alternative School (located at project headquarters) or the Learning Disabilities Center.

The Alternative School provides one-to-one tutoring with relatively little lecturing. Staff are strongly supportive of student effort, encourage their strengths, and try especially to make academic work rewarding to students who have previously experienced repeated failures. Emphasis is on reintegrating students into the regular school system.

The staff of the Learning Disabilities Center work intensively with clients to correct their perceptual and cognitive disabilities. PROUD stresses the relationship between learning disabilities and juvenile delinquency. In the treatment approach, learning disability therapy and academic tutoring are equally important. Tests administered to project target youth showed that 78 percent were found to have at least two learning disabilities.

Counseling. The project attempts to match clients with counsellors who can best respond to their role model needs and personalities. Treatment is planned to enhance the youth's self-image and to help him cope with his environment. Each counselor involves himself in all aspects of his client's life and maintains frequent contact with family, teachers, social workers and any others close to the youth. In the nine-month follow-up period, counselors continue to maintain a minimum of weekly contacts with a youth and his family.

Employment. Job preparation is a key part of the program. The employment component is designed to introduce clients to the working world and its expectations, and to provide employment experience along with much needed income. During his first month of project participation, the youth attends a job skills workshop on such topics as filling out application forms and interviewing. The Job Placement Specialist counsels each client individually to develop vocational interests and to provide realistic appraisals of career ambitions and requisite skills. Actual "on-the-job training" occurs in the second and third months of program participation.

--continued--

Cultural Education. PROUD takes youngsters who have known little more than their immediate neighborhoods and exposes them to a range of experiences and activities in the Gotham area. Extensive community contacts have created a rich variety of opportunities including visits to a television station to watch the news hour being prepared, ski trips, an Outward Bound weekend, sports events, restaurant dinners and many other educational and recreational events.

Traditionally, juvenile services have been highly specialized and fragmented. Coupled with this fragmentation has been the inconsistency in the delivery of services, which consequently produced negative experiences for some youth. PROUD's approach is to integrate all services, providing comprehensive treatment to its clients, all of whom are "hardcore" delinquents--multiple offenders with a myriad of social adjustment problems. For example, a single youth may receive remedial treatment for a learning disability, take courses for high school credit, be placed in a part-time job, participate in family counseling and experience cultural events at theaters and museums. The staff is familiar with the range of each client's activities and can reinforce gains in any one area. That is why PROUD is a concept rather than just a group of people each trying to answer one problem of a delinquent youth.

PROUD provides intensive services with limited caseloads afforded by a high staff-to-client ratio. The staff includes eleven at the central location, and at the Learning Disabilities Center, a psychologist and an optometrist to perform the specialized services. In addition, a well-organized program draws a large, diverse group of volunteers from community organizations and local colleges and universities. Students receive credits for a semester's work at PROUD as counseling interns. Community volunteers may tutor clients, develop special activity programs such as a yoga course or mechanical shop, or provide administrative and clerical assistance.

Project PROUD Client (Case) Processing

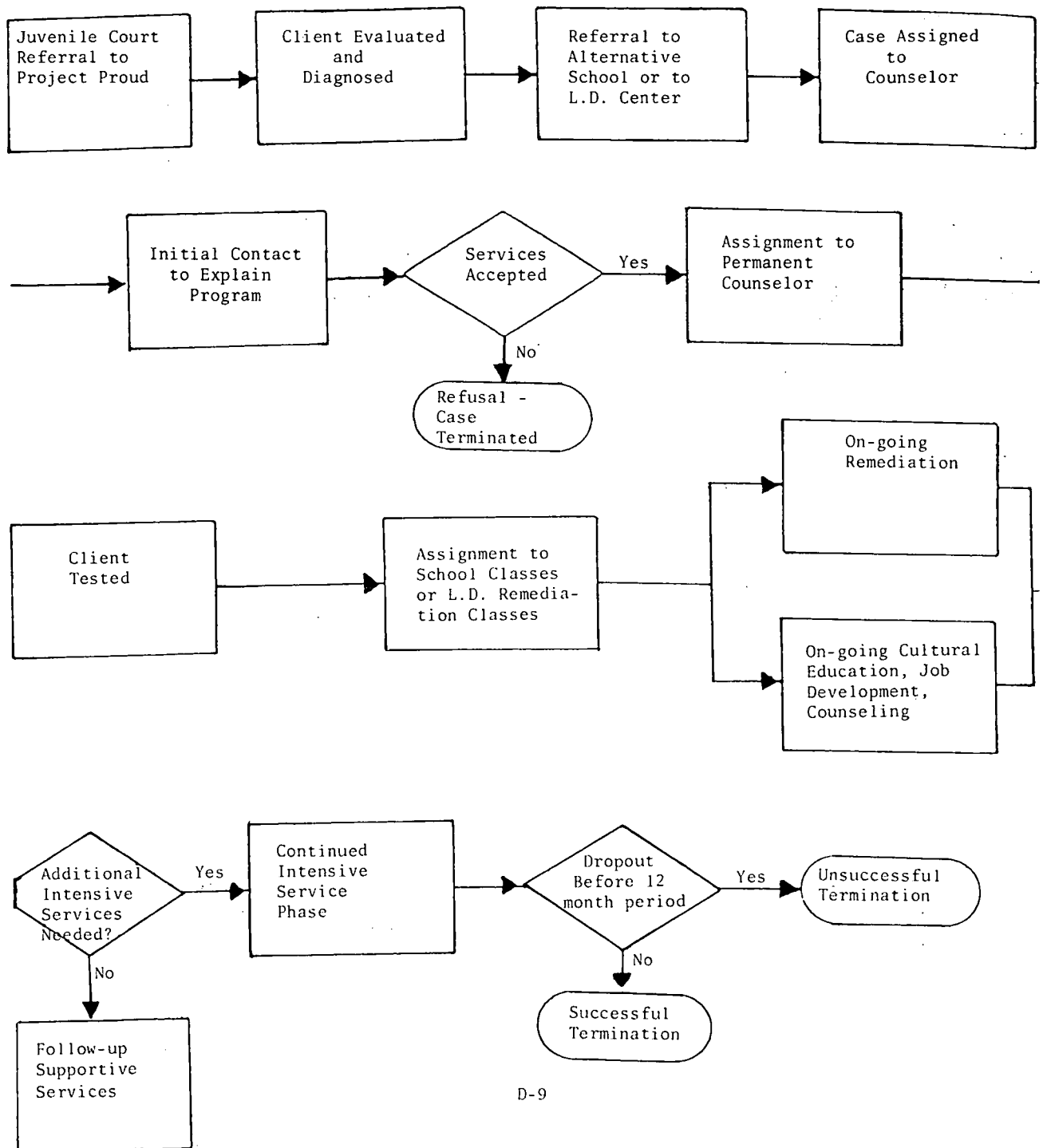
The flow chart on page D-9 describes client processing through project PROUD. Regardless of academic educational assignment all clients receive employment counseling and cultural education, and personal counseling. Where youth are interested and able, employment through job development is provided.

Project PROUD Objectives

Operational 1: to serve over a three year period, with employment, tutoring, counseling, cultural education, job skill training, and subsequent permanent employment, 180 target Class 1 offenders referred by the Gotham City Juvenile Court.

--continued--

PROJECT PROUD CASE PROCESSING FLOW



PERSONNEL

The following is a summary of PROUD's personnel by position, for three years. Changes in the first year were made following three months of operation. Second and third year staffing changes were made in response to service demands shown on the project during the first year of funding.

| <u>Original</u> | <u>Revised First Year</u> | <u>Second Year</u> | <u>Third Year</u> |
|--------------------------|---------------------------|--------------------------|--------------------------|
| Project Director | Project Director | Project Director | Project Director |
| Administrative Assistant | Administrative Assistant | Administrative Assistant | Administrative Assistant |
| Job Placement Specialist | Teachers (3) | Job Placement Specialist | Job Placement Specialist |
| Group Leader | LD Specialist (1) | Teachers (3) | Teachers (3) |
| Group Leader | Educational Coordinator | LD Specialists (2) | LD Specialist (2) |
| Group Leader | Volunteer Coordinator | Educational Coordinator | Educational Coordinator |
| Group Leader | | Volunteer Coordinator | Volunteer Coordinator |
| Educational Coordinator | | Secretary | Secretary |
| | | Researcher | Researcher |
| | | Psychologist | Psychologist |
| | | Optometrist | Optometrist |

- Operational 2: continue to serve all first year and second year PROUD clients through follow-up employment and counseling services.
- Operational 3: continue and increase the involvement of other agencies, individual volunteers, and other groups in PROUD.
- Effectiveness 1: reduce the established rate of recidivism by 40% for a total of 180 juvenile offenders age 14-17 over a three year period.
- Effectiveness 2: facilitate the successful reintegration of youth back into the home and community by 40% with integration being defined as re-enrollment into the Gotham Public School System, and placement in an employment position.
- Effectiveness 3: to reduce the cost to the juvenile justice system for processing cases by maintaining and by servicing youth in project PROUD in lieu of incarceration.

Gotham City Serious Juvenile Offender Population

Prior to the completion of a proposal designed to be submitted to the Gotham City Crime Council for LEAA funding, a survey of youth referred to the Juvenile Court in one year was conducted. During that period, 858 multiple prior offense youth were referred to the Juvenile Court for serious (Class 1) offenses. The 858 referrals represent 24 percent of the total referrals to the Court and 8.3 percent of all youth arrested during a one year period. The following matrix provides detailed case dispositional and demographic information for the 858 Class 1 court filings for Gotham City.

--continued--

Table I

Case Dispositions and Demographic Information for Gotham City
Juvenile Court Filings During a One Year Period

| Case Dispositions | N | Percent |
|------------------------------------|-----|---------|
| Lecture and Release | 90 | 10.5 |
| Informal Adjustment | 129 | 15.0 |
| Case Dismissed | 189 | 22.0 |
| Probation | 360 | 42.0 |
| Incarceration | 90 | 10.5 |
| Total | 858 | 100.0 |
| <u>Demographic Characteristics</u> | | |
| Ethnicity - Anglo | 257 | 30.0 |
| Black | 215 | 25.0 |
| Chicano | 377 | 44.0 |
| Other | 9 | 1.0 |
| Total | 858 | 100.0 |
| Age - 13 and younger | 251 | 29.2 |
| 14 | 152 | 17.7 |
| 15 | 173 | 20.2 |
| 16 | 136 | 15.3 |
| 17 | 139 | 16.2 |
| Unknown | 7 | 0.8 |
| Total | 858 | 100.0 |

--continued--

Table II

| Demographic Characteristics | N | Percent |
|---------------------------------------|-----|---------|
| <u>Sex</u> | | |
| Male | 722 | 84.2 |
| Female | 136 | 15.8 |
| Total | 858 | 100.0 |
| <u>School Drop-Outs?</u> | | |
| Yes | 567 | 66.1 |
| No | 276 | 32.2 |
| Unknown | 15 | 1.7 |
| Total | 858 | 100.0 |
| <u>Number of Prior Arrests</u> | | |
| Two | 215 | 25.0 |
| Three | 120 | 14.0 |
| Four | 135 | 15.7 |
| Five | 120 | 14.0 |
| Six or More | 268 | 31.3 |
| Total | 858 | 100.0 |
| <u>Current Court Referral Offense</u> | | |
| Robbery | 70 | 8.2 |
| Assault | 99 | 11.5 |
| Burglary | 112 | 13.1 |
| Larceny | 183 | 21.3 |
| Auto Theft | 99 | 11.5 |
| Class II Offenses | 141 | 16.4 |
| Status Offenses | 154 | 18.0 |
| Total | 858 | 100.0 |

--continued--

Several variables describing the youth's family situations were also available from court records. Family characteristics for the 858 multiple prior offenders were as follows:

Table III

Family Characteristics for the 858 Youth Filed on in
Juvenile Court During a One Year Period

| Family Characteristics | N | Percent |
|--------------------------------|-----|---------|
| Family Situation: | | |
| Married - Both Parents in Home | 249 | 29.0 |
| Separated | 225 | 39.0 |
| Divorced | 265 | 31.0 |
| Unknown | 9 | 1.0 |
| Total | 858 | 100.0 |
| Family Income: | | |
| 2,000 - 3,000 | 178 | 20.8 |
| 3,001 - 5,000 | 288 | 27.1 |
| 5,001 - 7,000 | 301 | 35.1 |
| 7,001 - 9,000 | 65 | 7.6 |
| 9,001 - 11,000 | 44 | 5.1 |
| 11,001 or more | 37 | 4.3 |
| Total | 858 | 100.0 |

OUTCOMES

IMMEDIATE RESULTS

ACTIVITIES

INPUTS

STATED

IMPLIED/UNANTICIPATED

NETWORKING

Third Worksheet: Determine project events to be evaluated.

Identify why you are doing this evaluation. Review the Method of Rationales and Network diagram. Then list the "key" project events that you have selected to evaluate and identify possible threats to validity for each question. Finally, note the type of evaluation you will be doing.

WHY ARE YOU DOING THIS EVALUATION?

KEY EVENTS

POSSIBLE THREATS TO VALIDITY

TYPE OF EVALUATION

PRELIMINARY EVALUATION QUESTIONS

MODULE 6
DESIGNS FOR IMPACT ASSESSMENT

Module 6
Designs for Impact Assessment

OBJECTIVES

Upon completing this module, participants will be able to:

1. Describe the use of comparative designs in impact assessment.

IMPACT ASSESSMENT INVOLVES EXAMINING LINKAGES BETWEEN/AMONG INPUTS, ACTIVITIES, AND RESULTS, AND THEIR IMPACT ON OUTCOMES.

1. One concept of comparative designs depends on information "outside" the project.

- # based on two groups

- # equivalence is critical factor

- # randomization

- # three types of designs

- true

- quasi-experimental

- pre-experimental

2. Threats to validity.

- # meaning of term and two kinds of threats

- # internal validity threats

- history

- maturation

- testing

- regression

external validity threats

- lack of randomization
- lack of realism
- selection
- mortality

EXTERNAL AND INTERNAL THREATS MAKE IT POSSIBLE TO RAISE RIVAL HYPOTHESES TO THE ONE BEING EVALUATED AND THUS DILUTE CONFIDENCE IN THE RESULTS OBTAINED.

3. Review of some comparative designs.

"true", "quasi", and "pre" experimental designs

pre-experimental design

- "one group pre-test, post-test"

review threats

true experimental designs

- "classic pre-test, post-test control group"
- "post-test only control group"

review threats

quasi-experimental designs

- "non-equivalent control group"
- "time-series"
- "multiple time-series"

review threats

4. Interpretation and presentation of results.

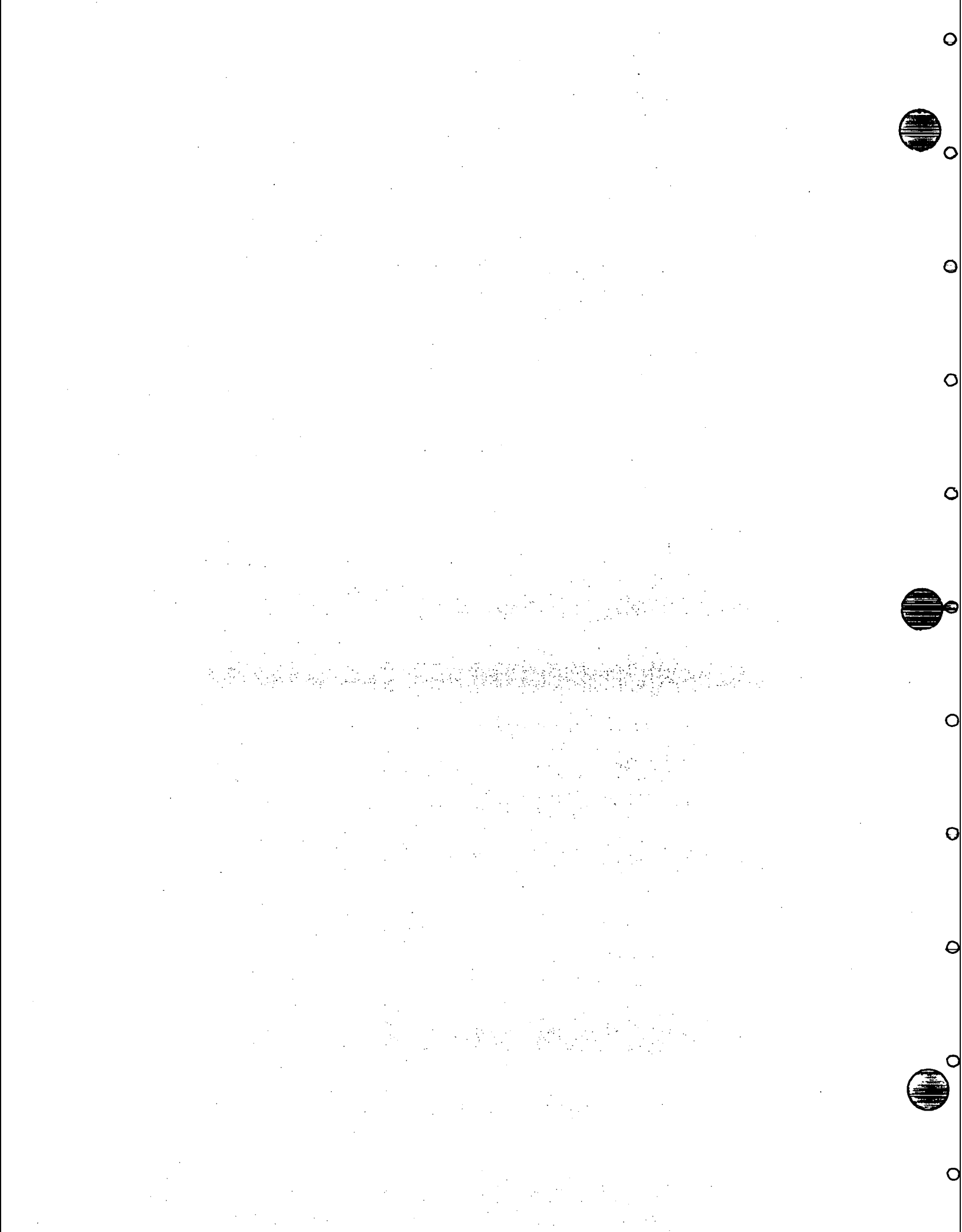
study design is logical basis for structuring the results

there are five headings under which such a structure can be organized

- why you chose design
- strengths and weaknesses of design
- how closely actual study followed design requirements
- results obtained as they relate to design
- recommendations related to positive, negative and no difference results

need to take positive approach to impact studies despite limitations

THE DESIGN USED IN A COMPARATIVE STUDY IS A USEFUL "DEVICE" FOR STRUCTURING THE INTERPRETATION AND PRESENTATION OF RESULTS.



WORKSHOP E
DESIGNING AN IMPACT ASSESSMENT

Workshop E:
Designing an Impact Assessment

OBJECTIVES

During this segment participants will be expected to:

1. Analyze a project by reviewing its Method of Rationales, its Network and the identified key events.
2. Design a project evaluation to accomplish an impact assessment.
3. Apply a comparative design.
4. Identify the threats to validity related to the design and to discuss their limitations on the findings of the evaluation.
5. Suggest design changes which would limit or eliminate threats to the validity of the findings.

Introduction

The purpose of this workshop is to give your group an opportunity to apply one of the designs discussed in the lecture to a project and to analyze the strengths and weaknesses of the design as it relates to the conclusions and recommendations you could make about that project. Each group will make a presentation to the class on the results of their work.

This is not an exercise in data analysis. Statistical techniques are not relevant to the assignment. Nor do you need to have actual project data or results to accomplish the purpose of this workshop.

Your student notes are very relevant and can be used to carry out the various steps of the work.

The particular design your group will use is to be chosen randomly. One design will be a "true" design, the "pre-test/post-test control group". The second and third ones will be quasi-designs, the "non-equivalent control group" and the "time series".

The instructor will go over each of the following steps with you before you being. All of these steps except the last one are done in your workshop group. Now is the time to clear up any difficulties you might have.

Step One. Read the project description (attached).

- Read over the description of the project.
- While some data are presented, they are not used for any analytic purpose.
- There are many details about the project that have been purposefully omitted. They are not critical to your task. You have the basic project structure and the goals and objectives.

NOTE: This step can be completed in about 5 minutes.

Step Two. Review the method of rationales to the project description and then revise the networking and key event analysis.

- ° As a group, review the inputs, activities, results and outcomes and decide which ones should be included in your key event analysis.
- ° Use the worksheets provided for this.
- ° The purpose of this step is to get group consensus on what the project is about, what it is trying to do, and to identify the most critical events to be included in the impact assesement study.
- ° Assume that the various kinds of staff and other inputs are available to carry out the activities of the project.
- ° NOTE: You should complete this step in no more than 10 to 15 minutes. This step is to serve your own purposes only and need not be reported to the class.

Step Three. Apply your design to project.

- ° Go over your class notes for your assigned design so that everyone understands the design itself.
- ° On a group basis decide how you would "set up" the project to carry out that particular evaluation design, using the key events selected earlier. Assume that the project has just been funded but is not yet taking referrals.
- ° Defining and clarifying the objectives of Project Proud would be especially important in this regard.
- ° Do not worry about time or money or people to do the job.
- ° You may need to make assumptions about Project Proud and the Metro area. That is perfectly acceptable, but make them as reasonable as possible. Example: If you need a control group you cannot "invent" another identical community. Work, to the extent possible, within the framework of the material you have been given. If you need random assignments, explain how it can be done and how you will get data from all your groups.

- NOTE: This step should require about 1/2 hour.

Step Four. Review threats and relate to project design.

- Using the worksheet supplied, comment on each threat as it relates to your design and note any rival hypotheses that you can consider as possibly contaminating the study.
- If the design avoids a particular threat, indicate how; if it does not, indicate why it doesn't and just how serious this problem might be.
- You can do this as a group or each of you may want to complete his or her own worksheet. However, in either case a master worksheet needs to be prepared for your presentation to the class.
- Your own notes should be a useful resource for this task.
- NOTE: About 45 minutes should be adequate to accomplish this step.

Step Five. Impact of design on results and recommendations.

- Decide among yourselves how the design would affect the way you would interpret the results and the nature of the recommendations you would make.
- Consider the above under these conditions:
 - recidivism went down
 - it stayed the same
 - it seemed to get worse in the sense that a fair number of offenses were committed within a short time period following the 3-month treatment period
- List the caveats and cautions that a balanced report, or a presentation to a Supervisory Board would have to include.
- NOTE: Spend about 20 minutes on this step.

Step Six. Prepare for presentation to group.

- Decide what you want to say and who will say it. You can divide up

the presenting task any way you wish.

- ° You will have about 15 minutes to make your statement to the class.
- ° The outline of your presentation:
 - your design
 - how you implemented it
 - internal and external threats and rival hypotheses
 - impact of design on results and recommendations, with appropriate caveats and cautions
- ° NOTE: Try to complete this step in 15 minutes.

Step Seven. Make presentation to group.

- ° There will be an instructor-led class critique of each presentation after it is completed.

Project Description

Project Title: PROUD

Selected Project Summary

Project PROUD is a community based program designed to effect a recidivism reduction for 60 program participants who are on probation for each of three years. Only those youth with a record of recidivism (two or more convictions) are admitted to the program, through direct referrals from Juvenile Court. PROUD provides follow-up services for all youth who have completed the intensive training portion of the program. Project PROUD is a work/study program which employs all participants and provides remedial education in an accredited school.

The project is designed to improve self-image self esteem; foster a strong work ethic; and improve estimates of self worth by developing academic skills and by finding youth useful jobs. The use of tutors, counselors; cultural education, work-skills training, and employment is designed to close the gaps in basic educational deficiencies, to eliminate the corrosive effects of idleness, to stimulate new productive interests, and to effect a successful reintegration into the community and school system for youth who previously have shown a history of delinquent behavior.

Project PROUD Methodology

Project PROUD is a community based program offering services to adjudicated juveniles, many of whom have lengthy records of prior arrests and convictions. Most of these youngsters are either black or chicano. PROUD operates on the premise that an individual must confront his problems in his own environment--i.e., within the community. To do this the offender must be guided in adopting and maintaining a conventional life style as an alternative to the delinquent life style he has known.

PROUD provides this direction by addressing the youth's typically very low esteem for himself and others. Four main areas of service are incorporated in one program to help the client confront his problems in an integrated manner: academic education; counseling; employment; and cultural education.

Youngsters are referred to PROUD through Gotham's Juvenile Court Probation Unit. Referrals meet the following criteria:

- ..They are 14-17 years of age;
- ..Have a recent arrest or conviction for a Class 1 offense;
- ..Have two prior convictions (preferably for Class 1 offenses) and
- ..Reside in Gotham County.

PROUD received 60 of these referrals during a 12-month period. The project has been funded for a three-year period, with the condition that the previous year's performance warrants continuation funding. In total, 180 youth are expected to be served during the three years.

Services

For the first three months, youngsters in the program receive intensive services. A nine-month follow-up period continues treatment geared to the youth's needs and interests. The follow-up may involve daily to weekly contact.

The services provided include the following:

Education. Based on test results, participants are assigned to classes in either the PROUD Alternative School (located at project headquarters) or the Learning Disabilities Center.

The Alternative School provides one-to-one tutoring with relatively little lecturing. Staff are strongly supportive of student effort, encourage their strengths, and try especially to make academic work rewarding to students who have previously experienced repeated failures. Emphasis is on reintegrating students into the regular school system.

The staff of the Learning Disabilities Center work intensively with clients to correct their perceptual and cognitive disabilities. PROUD stresses the relationship between learning disabilities and juvenile delinquency. In the treatment approach, learning disability therapy and academic tutoring are equally important. Tests administered to project target youth showed that 78 percent were found to have at least two learning disabilities.

Counseling. The project attempts to match clients with counsellors who can best respond to their role model needs and personalities. Treatment is planned to enhance the youth's self-image and to help him cope with his environment. Each counselor involves himself in all aspects of his client's life and maintains frequent contact with family, teachers, social workers and any others close to the youth. In the nine-month follow-up period, counselors continue to maintain a minimum of weekly contacts with a youth and his family.

Employment. Job preparation is a key part of the program. The employment component is designed to introduce clients to the working world and its expectations, and to provide employment experience along with much needed income. During his first month of project participation, the youth attends a job skills workshop on such topics as filling out application forms and interviewing. The Job Placement Specialist counsels each client individually to develop vocational interests and to provide realistic appraisals of career ambitions and requisite skills. Actual "on-the-job training" occurs in the second and third months of program participation.

--continued--

Cultural Education. PROUD takes youngsters who have known little more than their immediate neighborhoods and exposes them to a range of experiences and activities in the Gotham area. Extensive community contacts have created a rich variety of opportunities including visits to a television station to watch the news hour being prepared, ski trips, an Outward Bound weekend, sports events, restaurant dinners and many other educational and recreational events.

Traditionally, juvenile services have been highly specialized and fragmented. Coupled with this fragmentation has been the inconsistency in the delivery of services, which consequently produced negative experiences for some youth. PROUD's approach is to integrate all services, providing comprehensive treatment to its clients, all of whom are "hardcore" delinquents--multiple offenders with a myriad of social adjustment problems. For example, a single youth may receive remedial treatment for a learning disability, take courses for high school credit, be placed in a part-time job, participate in family counseling and experience cultural events at theaters and museums. The staff is familiar with the range of each client's activities and can reinforce gains in any one area. That is why PROUD is a concept rather than just a group of people each trying to answer one problem of a delinquent youth.

PROUD provides intensive services with limited caseloads afforded by a high staff-to-client ratio. The staff includes eleven at the central location, and at the Learning Disabilities Center, a psychologist and an optometrist to perform the specialized services. In addition, a well-organized program draws a large, diverse group of volunteers from community organizations and local colleges and universities. Students receive credits for a semester's work at PROUD as counseling interns. Community volunteers may tutor clients, develop special activity programs such as a yoga course or mechanical shop, or provide administrative and clerical assistance.

Project PROUD Client (Case) Processing

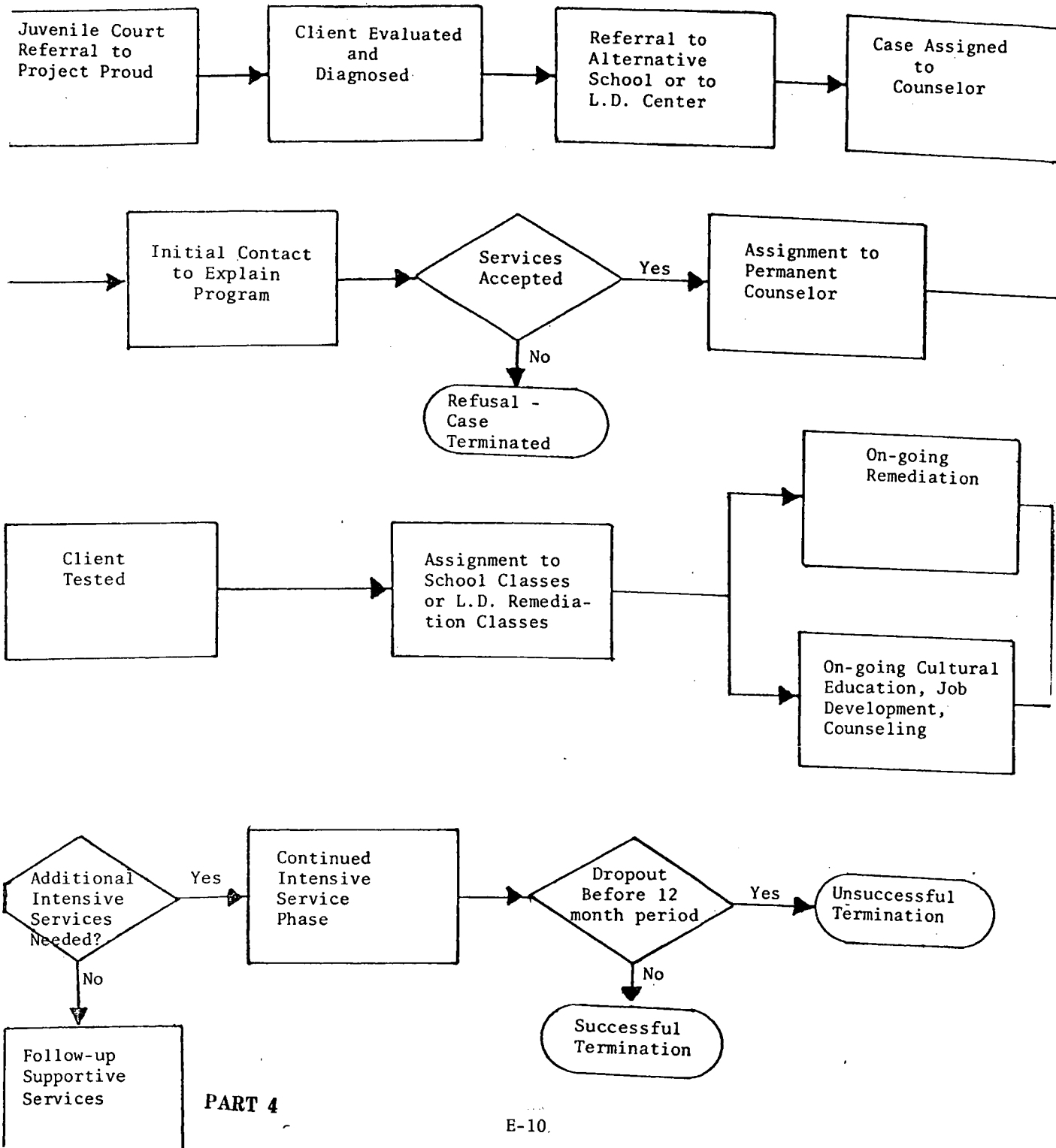
The flow chart on page D-9 describes client processing through project PROUD. Regardless of academic educational assignment all clients receive employment counseling and cultural education, and personal counseling. Where youth are interested and able, employment through job development is provided.

Project PROUD Objectives

Operational 1: to serve over a three year period, with employment, tutoring, counseling, cultural education, job skill training, and subsequent permanent employment, 180 target Class 1 offenders referred by the Gotham City Juvenile Court.

--continued--

PROJECT PROUD CASE PROCESSING FLOW



PART 4

PERSONNEL

The following is a summary of PROUD's personnel by position, for three years. Changes in the first year were made following three months of operation. Second and third year staffing changes were made in response to service demands shown on the project during the first year of funding.

| <u>Original</u> | <u>Revised First Year</u> | <u>Second Year</u> | <u>Third Year</u> |
|--------------------------|---------------------------|--------------------------|--------------------------|
| Project Director | Project Director | Project Director | Project Director |
| Administrative Assistant | Administrative Assistant | Administrative Assistant | Administrative Assistant |
| Job Placement Specialist | Teachers (3) | Job Placement Specialist | Job Placement Specialist |
| Group Leader | LD Specialist (1) | Teachers (3) | Teachers (3) |
| Group Leader | Educational Coordinator | LD Specialists (2) | LD Specialist (2) |
| Group Leader | Volunteer Coordinator | Educational Coordinator | Educational Coordinator |
| Group Leader | | Volunteer Coordinator | Volunteer Coordinator |
| Educational Coordinator | | Secretary | Secretary |
| | | Researcher | Researcher |
| | | Psychologist | Psychologist |
| | | Optometrist | Optometrist |

- Operational 2: continue to serve all first year and second year PROUD clients through follow-up employment and counseling services.
- Operational 3: continue and increase the involvement of other agencies, individual volunteers, and other groups in PROUD.
- Effectiveness 1: reduce the established rate of recidivism by 40% for a total of 180 juvenile offenders age 14-17 over a three year period.
- Effectiveness 2: facilitate the successful reintegration of youth back into the home and community by 40% with integration being defined as re-enrollment into the Gotham Public School System, and placement in an employment position.
- Effectiveness 3: to reduce the cost to the juvenile justice system for processing cases by maintaining and by servicing youth in project PROUD in lieu of incarceration.

Gotham City Serious Juvenile Offender Population

Prior to the completion of a proposal designed to be submitted to the Gotham City Crime Council for LEAA funding, a survey of youth referred to the Juvenile Court in one year was conducted. During that period, 858 multiple prior offense youth were referred to the Juvenile Court for serious (Class 1) offenses. The 858 referrals represent 24 percent of the total referrals to the Court and 8.3 percent of all youth arrested during a one year period. The following matrix provides detailed case dispositional and demographic information for the 858 Class 1 court filings for Gotham City.

--continued--

Table I

Case Dispositions and Demographic Information for Gotham City
Juvenile Court Filings During a One Year Period

| Case Dispositions | N | Percent |
|------------------------------------|-----|---------|
| Lecture and Release | 90 | 10.5 |
| Informal Adjustment | 129 | 15.0 |
| Case Dismissed | 189 | 22.0 |
| Probation | 360 | 42.0 |
| Incarceration | 90 | 10.5 |
| Total | 858 | 100.0 |
| <u>Demographic Characteristics</u> | | |
| Ethnicity - Anglo | 257 | 30.0 |
| Black | 215 | 25.0 |
| Chicano | 377 | 44.0 |
| Other | 9 | 1.0 |
| Total | 858 | 100.0 |
| Age - 13 and younger | 251 | 29.2 |
| 14 | 152 | 17.7 |
| 15 | 173 | 20.2 |
| 16 | 136 | 15.3 |
| 17 | 139 | 16.2 |
| Unknown | 7 | 0.8 |
| Total | 858 | 100.0 |

--continued--

Table II

| Demographic Characteristics | N | Percent |
|---------------------------------------|-----|---------|
| <u>Sex</u> | | |
| Male | 722 | 84.2 |
| Female | 136 | 15.8 |
| Total | 858 | 100.0 |
| <u>School Drop-Outs?</u> | | |
| Yes | 567 | 66.1 |
| No | 276 | 32.2 |
| Unknown | 15 | 1.7 |
| Total | 858 | 100.0 |
| <u>Number of Prior Arrests</u> | | |
| Two | 215 | 25.0 |
| Three | 120 | 14.0 |
| Four | 135 | 15.7 |
| Five | 120 | 14.0 |
| Six or More | 268 | 31.3 |
| Total | 858 | 100.0 |
| <u>Current Court Referral Offense</u> | | |
| Robbery | 70 | 8.2 |
| Assault | 99 | 11.5 |
| Burglary | 112 | 13.1 |
| Larceny | 183 | 21.3 |
| Auto Theft | 99 | 11.5 |
| Class II Offenses | 141 | 16.4 |
| Status Offenses | 154 | 18.0 |
| Total | 858 | 100.0 |

--continued--

Several variables describing the youth's family situations were also available from court records. Family characteristics for the 858 multiple prior offenders were as follows:

Table III

Family Characteristics for the 858 Youth Filed on in
Juvenile Court During a One Year Period

| Family Characteristics | N | Percent |
|--------------------------------|-----|---------|
| Family Situation: | | |
| Married - Both Parents in Home | 249 | 29.0 |
| Separated | 225 | 39.0 |
| Divorced | 265 | 31.0 |
| Unknown | 9 | 1.0 |
| Total | 858 | 100.0 |
| Family Income: | | |
| 2,000 - 3,000 | 178 | 20.8 |
| 3,001 - 5,000 | 288 | 27.1 |
| 5,001 - 7,000 | 301 | 35.1 |
| 7,001 - 9,000 | 65 | 7.6 |
| 9,001 - 11,000 | 44 | 5.1 |
| 11,001 or more | 37 | 4.3 |
| Total | 858 | 100.0 |

| | Comments | Rival Hypotheses |
|-----------------------------------|----------|------------------|
| I. Internal Threats A. History | | |
| B. Maturation | | |
| C. Testing | | |

Worksheet (page 2)

| | Comments | Rival Hypotheses |
|---------------|----------|------------------|
| D. Regression | | |
| E. Selection | | |
| F. Mortality | | |

NETWORKING

Third Worksheet: Determine project events to be evaluated.

Identify why you are doing this evaluation. Review the Method of Rationales and Network diagram. Then list the "key" project events that you have selected to evaluate and identify possible threats to validity for each question. Finally, note the type of evaluation you will be doing.

WHY ARE YOU DOING THIS EVALUATION?

KEY EVENTS

POSSIBLE THREATS TO VALIDITY

TYPE OF EVALUATION

PRELIMINARY EVALUATION QUESTIONS

MODULE 7

COLLECTION, ANALYSIS, AND INTERPRETATION
OF EVALUATION DATA

MODULE 7: COLLECTION, ANALYSIS, AND INTERPRETATION
OF EVALUATION DATA

OBJECTIVES

At the conclusion of this module, participants will be able to:

1. Describe the common evaluation data collection techniques.
2. Identify the major responsibilities of managing evaluation data.
3. Distinguish the major characteristics of data analysis approaches.
4. Describe the principal issues in interpreting evaluation data for causality.
5. Describe major factors in presenting evaluation data.

1. Two common data collection techniques in evaluation are self-reports by subgrantees and field visits.

- # self-reports take varied forms and have advantages and disadvantages

- # field visits also have certain strengths and disadvantages

SELF-REPORTS AND FIELD VISITS ARE COMPLEMENTARY TECHNIQUES FOR OBTAINING COMPREHENSIVE AND IN-DEPTH INFORMATION FROM A PROJECT.

2. Surveys and standardized tests are also useful data collection techniques.

- # surveys use samples of the project's target group to obtain information about the project

- random sample

- representative sample

- # standardized tests are useful and many kinds are available

OPINION OR ATTITUDE SURVEYS HAVE LIMITED USE IN EVALUATIVE WORK BECAUSE THEY DO NOT DESCRIBE BEHAVIOR.

3. Activity.
4. Data sources are usually available from the project itself.

- # project records and files

- # project staff

- #project clients

THE MOST CONSISTENTLY USEFUL INFORMATION
USUALLY IS OBTAINED FROM THE PROJECT.

5. Aggregated data is valuable, provided
you know how the data was really
collected and what the definitions
really mean.

be prepared to encounter significant
difficulty in obtaining the "public"
information from other agencies

learn how to use the privacy and
security acts to obtain information

BOTH AGGREGATED DATA BASES AND THE
GENERAL PUBLIC ARE SOURCES OF USEFUL
DATA FOR SPECIFIC TYPES OF PROJECTS.

6. Overall responsibilities in managing
evaluation data.

ensuring that data are collected
when they are supposed to be

assuring quality control

- accuracy

completeness

- confidentiality

DATA WHICH ARE NOT COLLECTED WHEN
NEEDED OR WHICH ARE INACCURATE OR
INCOMPLETE HAVE LITTLE VALUE TO
EVALUATORS OR DECISION-MAKERS.

7. Confidentiality of evaluative data.

how have you been affected in
your jurisdiction?

how do you deal with this in
conducting and reporting evaluations?

8. Data reduction is done in preparation
for analysis.

data are reduced to numbers for
further manipulation and analysis

data reduction consists of reducing
large amounts of information to
several structured categories

DATA REDUCTION IS A NECESSARY
FIRST STEP FOR ANALYSIS.

9. Qualitative analysis.

qualitative analysis can be done
with narrative, descriptive information

focuses on the logical consistency
between planned and actual project
operations

some qualitative analysis is done in
all evaluation methods

10. Quantitative analysis.
11. Data are interpreted in order to attribute causality to a project.
 - # causality examined among project input, activity, result, and outcome
 - # data must show a cause is sufficient to produce and effect

THE ATTRIBUTION OF CAUSALITY TO A PROJECT IS THE MAJOR UNDERTAKING OF AN EVALUATION.
12. Causality can never be attributed with 100% certainty.
 - # many factors influence criminal justice projects
 - # due to uncertainty about possible influences on project, causes only can be established within limits
 - # causal attribution is ultimately based on human judgement
13. Desk Activity.
14. Rival causes or explanations must be considered.
 - # always possible that other factors influenced results

113. ACTIVITY: INTERPRETING EVALUATION DATA

This activity will take about 20-30 minutes to complete. Your instructor will provide complete directions on how to proceed.

This activity provides some practice in interpreting evaluation data. The aims of the activity are to reinforce some of the concepts and principles taught about evaluation. You will be looking at a special scholastic program for delinquents.

The following pages contain all the materials needed to complete this activity. These are: a brief review of the two issues of interest to the project director and some data or findings relating to each issue, each followed by a set of questions. These questions all deal with aspects of analysis and interpretation.

In general, you will: (1) read through the materials presented, (2) answer the questions for each issue, and (3) discuss your answers with the class.

Issue 1

All youths enrolled in the project receive academic help in the form of individualized instruction. Some youths receive academic help plus group counseling. Others receive these two services, as well as special group activities. Because each service is rather costly, the project director wanted to know how well the different "treatments" (combinations of project services) "work" in affecting disruptive school behavior in the 12 months following client return to school.

The evaluator collected data from the project on clients receiving different services and on incidents of disruption reported by the school system. From this the following table was constructed to examine this relationship.

| | | Project Services Received | | | Total |
|---|-----------|---------------------------|--------------------------|---|-------|
| | | Academic | Academic + Counseling | Academic + Counseling + Social Activities | |
| Number of School Disciplinary Reports (12 mos. post-project) | 6 or more | 2 | 7 | 1 | 10 |
| | 3 - 5 | 5 | 5 | 7 | 17 |
| | 0 - 2 | 14 | 5 | 14 | 33 |
| TOTAL | | 21 | 17 | 22 | 60 |

1. What would be your first interpretation of the relationship based on the evidence presented above?
2. Are there "rival causes" or alternative explanations that you would want to consider if you were the evaluator? How would you go about examining these alternatives?
3. Do the data presented in the table answer the project director's question? What cautions would you include in presenting these findings to the project director?
4. How could these findings be used to improve the project? Would you recommend any project modifications based on this evidence?

there are many rival causes, some of which are:

- maturation
- history
- selection

interpretation of results must take into account outside influences, causes

RIVAL EXPLANATIONS OF PROJECT EFFECTS ARE ALWAYS POSSIBLE BECAUSE OF THE COMPLEX CONDITIONS UNDER WHICH CRIMINAL JUSTICE PROJECTS FUNCTION.

15. Activity.

16. Degree of certainty placed in interpretations is one way of "assessing" interpretations.

degree of certainty directly related to amount of control over rival causes

descriptive designs generally give little control, low certainty

comparative designs can give higher certainty, depending on design

DIFFERENT EVALUATION METHODS YIELD DIFFERING LEVELS OF CERTAINTY IN INTERPRETATIONS, WITH COMPARATIVE DESIGNS USING RANDOMIZATION OR SIMILAR PRINCIPLES YIELDING HIGHEST LEVEL OF CONFIDENCE.

17. Issues related to interpretation.

statistical vs. practical
significance

statistical vs. common sense

18. Desk Activity.

19. Evaluation reports should be tailored
to the decision-maker's needs.

decision-makers usually not concerned
with evaluation methodology

presentation strategies may differ
for narrative vs. statistical data

THE GOAL OF AN EVALUATION REPORT IS
TO COMMUNICATE THE MAJOR CONCLUSIONS,
NOT SUPPORTING DETAIL.

Issue 2

The project director would like to know whether there is any relationship between the length of time clients participate in the project and their additional police contacts during the following year.

Students stay in the program for a full "term" - set at 9 months maximum - or until they have improved enough academically to be referred back to the regular school program.

The evaluator prepared the following table to examine this relationship. He has eliminated 5 cases from consideration - two students moved to another city before completing the project and three others were removed at the request of the court because of further serious delinquency.

| Months in Project | | | | | |
|---|-----|-------|-------|-------|-------|
| | | 0 - 3 | 4 - 6 | 7 - 9 | Total |
| New Police Contacts (12 months post-project) | Yes | 2 | 6 | 6 | 14 |
| | No | 4 | 31 | 6 | 41 |
| Total | | 6 | 37 | 12 | 55 |

1. What would be your first interpretation of the relationship based on the evidence presented above?
2. Are there "rival causes" or alternative explanations that you would consider if you were the evaluator? How would you go about examining these alternatives?
3. Do the data presented answer the project director's question? What cautions would you include in presenting these findings to the project director?
4. How could these findings be used to improve or modify the project? Would you make any recommendation for project modifications based on this evidence?



MODULE 8
PLANNING AN EVALUATION

OBJECTIVES

At the conclusion of this module, participants will be able to:

1. State the reasons for planning the evaluation function and for having a written evaluation plan.
2. Identify and explain the steps involved in preparing an evaluation plan and in keeping the plan current and realistic.

1. The need for planning the evaluation function.

PLANNING HELPS TO MATCH NEEDS WITH RESOURCES AND TO CUSTOMIZE THE EVALUATION FUNCTION FOR GREATER IMPACT AND EFFICIENCY.

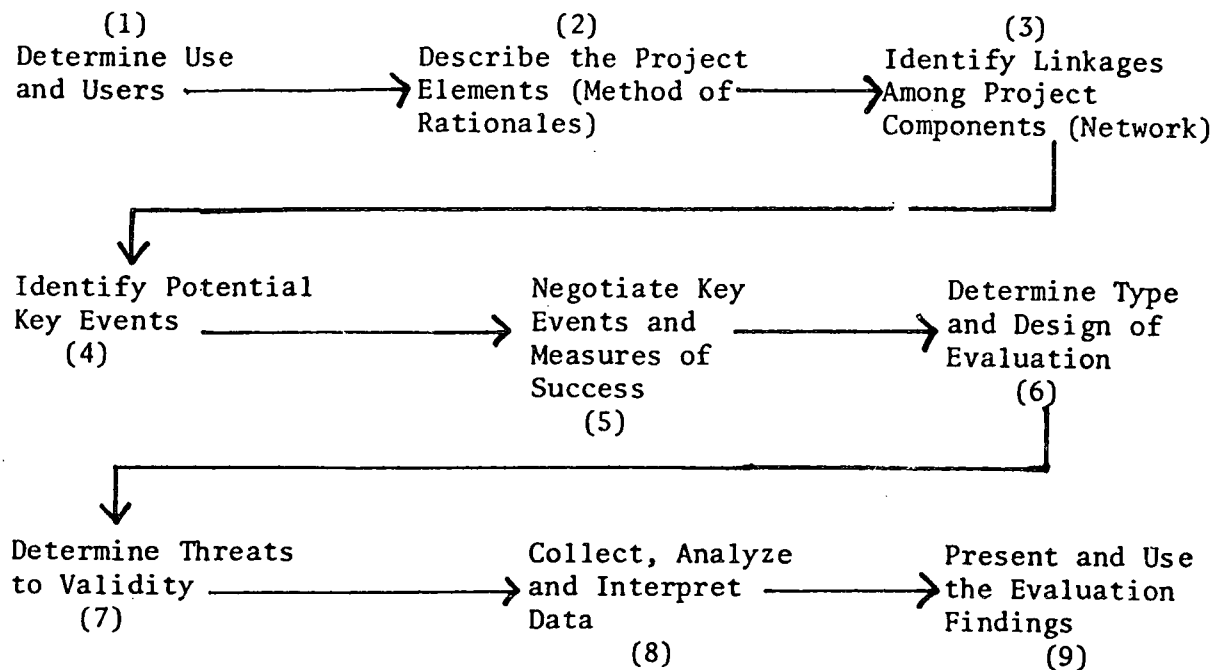
2. The evaluation plan is developed in three stages: (a) evaluation purpose, (b) the work plan, and (c) final considerations.

evaluation purpose identifies the focus of the evaluation and the logic of the project (steps 1-7 in model)

the work plan identifies specific evaluation requirements and resources (step 8 in model)

final considerations enable you to realistically review the plan and keep it current and viable during implementation (steps 8-10 in model)

STEPS IN PROJECT EVALUATION



3. Defining the evaluation purpose consists of seven steps.

environment - why are you doing the evaluation?

project logic - MOR

networking

potential key events

types

designs

threats to validity

4. Why is the evaluation being conducted?

to establish the value of the project

to assist in making informed decisions
(who will use it?)

5. The method of rationales logically connects project inputs and activities with results and outcomes.

checks assumptions that certain inputs will cause the desired outcomes

identifies gaps in logic

identifies unanticipated, and possibly, unwanted results

provides basis for common understanding of project

helps determine key events

THE MOR ENABLES YOU TO UNDERSTAND THE BASIC LOGIC OF A PROJECT IN TERMS OF THE RELATIONSHIP BETWEEN INPUTS, ACTIVITIES, RESULTS AND OUTCOMES.

THE MOR ENABLES YOU TO UNDERSTAND THE WAY IN WHICH A PROJECT RELATES TO LONG-RANGE EFFECTS AND THE CRITICAL VARIABLES IN THAT RELATIONSHIP.

6. Discussion Question.

what can you do if the logic is not there as you complete the MOR?

7. Networking further defines the relationships of project components.

8. Key event analysis.

KEY EVENTS ARE THE INPUTS, ACTIVITIES, RESULTS AND/OR OUTCOMES THAT ARE CRUCIAL TO THE SUCCESS OF THE PROJECT AND MUST BE RELATED TO THE NEEDS OF THOSE WHO CAN USE THE INFORMATION.

9. The types of evaluation.

10. Evaluation Designs.

- # descriptive

- # comparative

- # use correct method (strategy)
depending on complexity of component
relationships and applicable threats
to validity

11. Threats to validity.

- # based on key events to be analyzed
and measures of success

- # degree of accuracy desired in the
conclusion

- # consider which threats might apply

- # consider how much uncertainty is
acceptable

12. Develop a detailed evaluation work plan.

- # review steps 1-7

- # complete/negotiate a written
evaluation work plan

- # follow the nine steps for each
key event

WHY DOING THE EVALUATION?

KEY EVENTS TO BE MEASURED

| | | |
|------------------------|--|--|
| | | |
| MEASURES OF SUCCESS | | |
| DESIGNS | | |
| INFORMATION AVAILABLE? | | |
| HOW OBTAINED? | | |
| WHO OBTAINS? | | |
| WHEN NEEDED? | | |
| VERIFICATION? | | |
| HOW ANALYZED? | | |
| PRESENT AND USE? | | |

13. Activity.

14. Final Considerations.

15. Summary.



WORKSHOP F
DEVELOPING AN EVALUATION PLAN

Workshop F
Developing an Evaluation Plan

OBJECTIVES

At the end of this workshop the trainees should be able to:

1. Develop a detailed evaluation plan.

Introduction

This workshop is designed to give you the opportunity to develop a detailed evaluation plan for a typical criminal justice project. To do this systematically, seven tasks are performed in sequence:

- (1) Identifying why you are doing the evaluation
- (2) Preparing a method of rationales to describe the project
- (3) Preparing a networking diagram
- (4) Developing pertinent evaluation questions that identify key events to be analyzed
- (5) Deciding on the type and design of evaluation you will do
- (6) Identifying what threats to validity could apply to each question
- (7) Developing the detailed work plan for data collection and analysis.

The instructor has demonstrated these tasks by "walking through" an example project in the previous module.

Now you will be organized into groups to develop on your own an evaluation plan for another project. All the forms to help you complete the exercise are in these materials. After preparing the evaluation plan, each group will present it to the other participants. What you are to do for each step is outlined below.

Instructions

Step 1. Review these instructions for preparing an evaluation plan.

- First decide why you are doing the evaluation.
- Second prepare a method of rationales.
- Third prepare a networking diagram.
- Fourth define key project events that will be evaluated and form preliminary evaluation questions.

- ° Fifth identify the type of evaluation you will be doing and the design you will use.
- ° Sixth identify the threats to validity which may exist as a result of the evaluation questions and methods selected.
- ° Seventh develop a detailed work plan including:
 - what are the measures of success for each key event and evaluation question?
 - what design will be used?
 - is the information wanted available?
 - how will the information be obtained?
 - who will obtain the information?
 - when should the information be obtained?
 - can the data be verified and how?
 - how will the information be analyzed?
 - how will the information be used/presented?
- ° NOTE: You will have approximately 2 hours to complete these seven steps of the activity. Then you should:
- ° Eighth prepare for a 15-minute class presentation based on the worksheets which your group completed. NOTE: Spend about 15 minutes on this step.
- ° Ninth make the 15-minute class presentation. NOTE: An instructor-led critique and discussion will follow the presentations.

Step 2. Read the project description beginning on the next page.

Project Narrative: A Property Identification Project

I. Background.

- During the past two years there has been a major increase in the number of burglaries committed in residential and commercial areas of Urban City. The number of reported burglaries increased by an average of 6 percent per year within 1975 and 1976.
- It is widely believed that a major deterrent to burglaries is the permanent identification of property items likely to be the target of burglars and clear identification of those residential and commercial establishments utilizing this approach.
- It was proposed to establish a property identification project to be operated by the Urban Police Department to encourage and facilitate the identification of personal and business property.

II. Objectives.

- To enroll 20% of the residential and commercial property units (N = 8,000) in those parts of the city designated as high burglary risk areas during the first year.
- To reduce burglary by 10% in those areas at the end of the first year.
- To increase (by 5%) the percentage of burglary crimes cleared by arrest at the end of the first year.
- To reduce the degree of citizen apprehension and concern over the prospect of being burglarized.

III. Implementation Plan.

- To hire and train 24 full-time project staff, including a senior and assistant project director, 4 record clerks, 3 identification team supervisors, and 15 property identification specialists (within 30 days of project start-up).
- To survey the entire city regarding their level of apprehension about burglary and fear of crime.
- To purchase or lease necessary equipment, materials, and facilities, including property identification engravers, inventory forms and decals; office space, supplies and other equipment (within 90 days of start-up).
- To develop and present various forms of media material to increase public awareness of the project (within 90 days of start-up).

- ° To solicit public participation in the project through direct contact with area residents and merchants.
- ° To make available at various locations, necessary equipment and forms for individual citizens to inventory and mark valuable possessions.
- ° To permit enrollment by: (1) citizens calling project and staff going to home to mark property; (2) citizens agreeing to mark property during staff surveys of area; and (3) citizens going to a centralized site to enroll and mark own property.
- ° To develop and maintain a record of all property identified through the project.

IV. First-Year Evaluation Results.

The project was reviewed after one year for refunding. The Supervisory Board had indicated that it was unlikely that the project could demonstrate any of its long-term objectives until a significant proportion of the residential/commercial units had been enrolled. Thus, refunding was based on evidence of success in carrying out the implementation plan and meeting the enrollment objectives as well as the demonstration that identification techniques were indeed being utilized by the enrollees in a significant number of units.

Upon the evaluators positive report after one year of funding, the Board decided to refund and to expand the project to other sectors of the city. This one-year expansion of the project was contingent upon the project assessing which of the contact methods was the most effective in enrolling the greatest numbers of units. The Board also recommended that the start-up process in the new areas be monitored as closely as the initial ones and an interim report be provided to curtail unnecessary spending of the city's money as well as to assess the initial success of the new efforts.

Additional staff, equipment and materials were provided to expand the project.

V. Decision-Making Requirements.

After two years of the project's life, the Board is interested in assessing the success of the projects in a number of areas: (1) an indication of the project's success in affecting burglary and citizen perception in their target areas; (2) the impact these projects have had, if any, on the overall crime and specific burglary rates (both city-wide and in the project target areas); and (3) an indication of any significant change in citizen perception in the target areas as well as in the non-target areas.

Step 3. Using the instructions provided in Step 1, prepare an evaluation plan to be presented to the group.

METHOD OF RATIONALES WORKSHEET FOR
PROPERTY IDENTIFICATION PROJECT

| | | |
|-------------------|--------|-----------------------|
| OUTCOMES | | |
| IMMEDIATE RESULTS | | |
| ACTIVITIES | | |
| INPUTS | | |
| | STATED | IMPLIED/UNANTICIPATED |

NETWORKING

Determine project events to be evaluated. Identify why you are doing this evaluation. Review the Method of Rationales and Network diagram. Then list the "key" project events that you have selected to evaluate and identify possible threats to validity for each question. Finally, note the type of evaluation you will be doing.

WHY ARE YOU DOING THIS EVALUATION?

KEY EVENTS:

POSSIBLE THREATS TO VALIDITY:

TYPE OF EVALUATION:

Key Project Events to be Evaluated

| | | | | |
|-----------------------------------|--|--|--|--|
| | | | | |
| Define Measures of Success | | | | |
| Design to be Used | | | | |
| Information Available? | | | | |
| How Will Information be Obtained? | | | | |
| Who Will Obtain? | | | | |
| When is Information Needed? | | | | |
| Can Data be Verified and How? | | | | |
| How Will Information be Analyzed? | | | | |
| How Will Information be Used? | | | | |

