Wardlaw Product

GRANTEE PROGRAM MANAGEMENT SYSTEM

THE PERFORMANCE PHASE: IMPACT EVALUATION AND ASSESSMENT OF PROJECT PROGRESS, PLANNING AND MANAGEMENT FUNCTIONS

T R A I N I N G G U I D E

Skill Training for Community Action Agencies

Community Services Administration
Washington, D.C.
July, 1981

TRAINER'S INTRODUCTION

This skills training package in GPMS Evaluation and Assessment is the fourth and probably final in a series of four training packages. The first three (3) are:

1. GPMS Orientation, which provides a comprehensive orientation to GPMS. It has been delivered as a general orientation (usually in two to two and one half days) and as an indepth orientation (usually in four and one half days).

   The retention of the information presented in the orientation package has been limited in about 50% of the trainees attending the following skills training sessions and, so, the usual first section to the skills training packages has been a refresher course on GPMS in general. One of the reasons for limited trainee familarity with GPMS is that many of them never attended the GPMS Orientation training sessions.

2. GPMS: Planning Phase Skills Workshop ("Package II")

3. GPMS: Two Year Work Program and Grant Application Phase Skills Workshop (Package III")

To be used with all workshops is the GPMS Case Study: Northeast Community Action Program which includes a "model" PPN, EPN, Four-Year Action Plan with Forms 509 and 510, and a Work Program for the Grant Application with Forms 511, 512A, and 512B.

This package, The Performance Phase: Impact Evaluation and Assessment of Project Progress, Planning and Management Functions (or "GPMS Evaluation and Assessment Skills Workshop," for a short title), consists of the following documents:

1. Training Guide
2. Training Guide Appendix which includes:

   a. Management Functions Assessment Checklist
   b. Management Functions Assessment Review Form.

3. Participant's Workbook, which includes the material from the Training Guide Appendix (which should be under separate cover)

In addition, there are four documents which should be read and understood very thoroughly by the trainer. The first two make up the content of the Module D ("Frame of Reference: Evaluation and Assessment Concepts") and Module H ("Impact Evaluation"). The third one provides guidance information for the other modules of this package. The fourth is the "Case Study" on the Northeast CAP which provides the documents used in most of the small group exercises through out this package:

1. Evaluation Issues, LEAA, U.S. Department of Justice, 1975

2. Evaluation Manual for Impact Evaluation (Draft), Community Services Administration, 1981. A guidance document for CAAs.

3. GPMS Staff Manual (6710-1), Community Services Administration, March, 1981.

4. GPMS Case Study: Northeast Community Action Program, Community Services Administration, 1981.

There are nine modules (A through I) in this training package. Each module is described in a nine part section:

A. Purpose
B. Content Outline
C. Time
D. Objectives
E. Preparation (of trainer)
F. Procedure
G. Materials
H. Suggested Outline of Presentation (of the module)

The suggested outline part, with some notes to the trainer removed, forms the basis of the Participant's Handbook which the trainee can use to follow the presentation and take appropriate notes. It also has all instructions for the exercises and some group activities recommended for each module.

Using the Participant's Handbook, the trainee will see some of the presentation, while he or she hears the trainer. It also encourages the trainee to take notes BUT ALOT OF THE TEXT OF THE PRESENTATION IS PROVIDED SO THAT THE TRAINEE WILL NOT FALL BEHIND TAKING NOTES.

In essence, part H for each module is the suggested "SCRIPT" for the trainer at some points and a general outline of his or her presentation at others. It also reduces the need for the trainer to make up--and carry around from city-to-city bulky visual aids of varying artistic quality. Of course, most trainers will still need NEWSPRINT and/or a BLACKBOARD for making particular points to accomodate their training "style." Some trainers may also want to some visual aids on newspring or overhead projectors, but they are not vital.

Alot of examples are provided in the Participants Handbook. The trainer should be very comfortable with these. If he or she is not, they should develop their own examples and use HANDOUTS to introduce them.

This author has found, that his most effective training is done directly from his copy of the Participant's Handbook--without relying on the text of supporting documents--in which personal notes are marked, all answers to blanks filled in, beginning and ending times for each module or exercise noted, and reminders of appropriate jokes and humour are noted.

The part of the Training Module called "Preparation" tells you what needs to be done ahead of the intended training session while "Procedure" gives you the actual steps to take during the training session in summary form. (Of course, "Suggested Outline of Presentation" provides more detailed steps.).

Design of a Particular Training Session

The design of the specific training session you will give will entail the consideration of several critical variables:

. Desired outcomes

The trainer needs to be clear about what the training is to accomplish. Do the objectives specified at the beginning of a training module meet the needs of the particular group to be trained?

. Length, timing, and site for training

Will the training occur as one concentrated block of time, or be spread out over a number of weeks. Training facilities are an important consideration; it is important to anticipate and prevent the training sessions from being interrupted by non-participants, telephone calls, or other annoyances.

The methods detailed in this Guide include materials to be read by participants, desk exercises with questions and answers, small group discussion, and lectures. You will find that it is the communication which goes on in the small group discussions and the feedback as they report back to the larger training group that is most valuable for the trainees.

One final comment. Don't rush. In this type of workshop, the trainees can't accept that. So if you have to cut a lecture and increase a workshop so that they feel less pressure in the workshop, do so. Also, try to answer all questions as they arise. If you can't make progress that way because of too many questions, ask the trainee to jot down the question and you will address right after the next break.

Table of Contents

TRAINING GOALS FOR THE PERFORMANCE PHASE

I. KNOW THE GPMS REQUIREMENTS FOR IMPACT EVALUATION, ASSESSMENT OF PROJECT PROGRESS, ASSESSMENT OF THE GPMS PLANNING PROCESS, AND ASSESSMENT OF THE CAA MANAGEMENT FUNCTIONS.

II. KNOW THE ELEMENTS OR COMPONENT PARTS OF THE PERFORMANCE PHASE OF GPMS.

III. UNDERSTAND HOW THE ELEMENTS OF THE PERFORMANCE PHASE RELATE TO THE OTHER PHASES (PLANNING AND GRANT APPLICATION) OF GPMS.

IV. ABLE TO PLAN, CONDUCT AND REPORT THE REQUIRED IMPACT EVALUATION AND ASSESSMENTS.

V. FAMILARITY WITH THE GPMS FORMS WHICH ARE USED DURING THE PERFORMANCE PHASE.

VI. RESOLUTION OF ISSUES RAISED BY THE REQUIREMENTS OF THE PERFORMANCE PHASE.

VII. RECOGNITION OF APPROACHES TO TAILORING THE SCOPE OF EVALUATION AND ASSESSMENT TO THE RESOURCES AVAILABLE FOR SUCH PURPOSES WITHIN A CAA.

OVERVIEW OF THE TRAINING GUIDE

This training guide consists of the following modules:

A.	INTRODUCTION	0.5 Hours
B.	OVERVIEW OF GPMS	1.0 Hours
C.	ELEMENTS OF THE PERFORMANCE PHASE	1.0 Hours
D.	FRAME OF REFERENCE: EVALUATION AND ASSESSMENT CONCEPTS	1.0 Hours
E.	ASSESSMENT OF CAA MANAGEMENT FUNCTIONS	2.0 Hours
F.	ASSESSMENT OF CAA PLANNING	1.5 Hours
G.	ASSESSMENT OF PROJECT PROGRESS AND PERFORMANCE	3.0 Hours
H.	IMPACT EVALUATION	4.5 Hours
I.	RESOLUTION OF ISSUES AND WRAPUP	1.0 Hours
	TOTAL TRAINING TIME (Estimated)	14.5 Hours
	BREAK TIME	1.5 Hours
	TOTAL WORKSHOP TIME (Not including the Lunch Break)	16.0 Hours

MODULE A -- INTRODUCTION

A. PURPOSE

Familiarize trainees with goals of the workshop, the agenda, the facilities, etc.

To "warm up" the trainees

To minimize concerns which might interfere with training

B. CONTENT OUTLINE

Each trainer will have his or her own manner of conducting the opening session. The following outline, therefore, is suggestive only.

1. Call to Order
2. Introduce Trainers
3. Introduce Trainees

   "How many of you are CAA Directors?"

4. Rundown on Day (Agenda and Breaks)
5. Introduce materials and handouts
6. Get Acquainted

   "Shake hands with someone you have not said 'hello' to yet!"

7. Develop list of trainees' chief concerns about the GPMS Performance Phase and specific questions they would like by the end of the workshop.
8. Facilities: Restrooms, telephones, messages, etc.

C. TIME

15 - 30 minutes

D. OBJECTIVES (OUTCOMES)

Self-evident for this module

E. PREPARATION

Trainer should be very familiar with agenda, when and where the breaks come, timing for lunch, breakout rooms, need for breaking into later subgroups, etc.

E. PREPARATION (continued)

Trainer should have the latest information as to when various forms and CAA guidance documents, etc. will be published.

It would help if trainer had some idea of the rural/urban mix of the CAAs at the training session and anything unique about the particular states in which the CAAs are located, especially related to CSA block grant policies within the state.

F. PROCEDURE

Trainer should use own style but should create an atmosphere of informality. Should try to dispell fear of "professional evaluators, social scientists and statisticans" which some trainees may have. Emphasize the "practical, real world" aspects of GPMS evaluation and assessment.

In developing the trainees lists of concerns or questions about GPMS in general, and the performance phase in specific, don't try to answer the questions as they are asked. Rather, put them on NEWSPRINT and up on the front wall. Indicate, they will be answered as they come up on the agenda. Any not answered by the end of the session will be addressed in the final wrapup session.

This workshop is designed so that those participating will work with paper, forms, charts and newsprint. It is important that the room be set up with tables and chairs for writing, small group exercises and small group case studies. The ideal set-up would be a large room with round tables sitting six to eight persons in a large room. An acceptable alternative would be to set-up classroom style with break-out rooms.

NEWSPRINT AND EASEL, MARKERS, MASKING TAPE SHOULD BE AVAILABLE AND USED.

When covering the agenda and goals in item 4, above, HAVE THE GOALS ON NEWSPRINT and keep the sheet on the wall at the head of the room.

G. MATERIALS

1. Agenda

2. Trainee's Workbook

MODULE B -- OVERVIEW OF GPMS

A. PURPOSE

Provide a general re-orientation to the GPMS and to provide clarification of major misunderstandings on the part of particular trainees about GPMS.

B. CONTENT OUTLINE

1. Lecture (See part H)

2. Desking Exercise ("Linking evaluation and assessment activities to other GPMS phases")

3. Q&A

C. TIME

1 Hour

D. OBJECTIVES (OUTCOMES)

Trainee will know GPMS terminology, the major components of GPMS, the time dimensions of GPMS and the components with which evaluation and assessment interface.

The position of evaluation and assessment within the GPMS structure.

E. PREPARATION

Be familiar with the first three (3) modules of the GPMS Orientation Package.

Know the GPMS Rule very thoroughly, and memorize the GPMS timeline.

Anticipate the kinds of questions to be asked about GPMS so as to have a ready answer for the most "popular" questions.

F. PROCEDURE

Present lecture, first asking how many are familiar with GPMS.
Do desk exercise (see Instructor's note in part H, below)
Take questions. Any answers which are lengthy, place the question on NEWSPRINT if it will be addressed in one of the later modules. IF NOT, answer it immediately.

G. MATERIALS

1. Trainee's (Participant's) Workbook

2. NEWSPRINT and markers.

H. SUGGESTED OUTLINE OF PRESENTATION (This outline also forms the content of the Trainee's Workbook

OVERVIEW OF GPMS

GPMS is both PROCESS and PRODUCTS

PROCESS:

1. Comprehensive, participatory planning over a nine (9) months period, once every FOURTH YEAR.

2. A Four-Year Action, or implementation, period

   --Implemented in two-phases: two 24 months work programs.

3. Annual release of funds

4. Assessment of project performance by Board and low-income community.

5. Evaluation of goal achievement and impact on poverty by Board, low-income community, and general community.

PRODUCTS:

1. PPN, EPN, EOP	Free form	Approved
2. PERFORMANCE ASSESSMENT PROCEDURE	Free form	Not Submitted
3. NEEDS ANALYSIS	Free form	Not Submitted
4. 4-YEAR PLAN . Problem Statement . Causes . Resource Analysis . Goals . Alternative Strategies . Impact Measures	Form 510	Accepted
5. GRANT APPLICATION . Work Program (Projects) . Two-Year Objective . Performance Measures	Form 512A	Approved
6. PROJECT PROGRESS REPORTS . PPRs: 6, 15, 24 Months	Forms : 512A & B	Reviewed
7. IMPACT EVALUATION	Free form	Reviewed
8. ASSESSMENTS (Planning & Management)	Free form	Reviewed

THE EMPHASIS OF GPMS IS ON:

1. RESULTS, IMPACTS

   (Rather then line item budgets, effort, tables of organization)

2. CAUSES, SOLUTIONS

   (Causes rather than symptoms, solutions for many rather than just helping a few)

3. FOCUS ON THE PLANNING PROCESS, NOT DOCUMENTS

   (The process of participation, analysis of problems and causes, creative ways of working together to devise new approaches and strategies.)

4. BOARD'S RESPONSIBILITY TO CONCENTRATE ON RESULTS AND IMPACTS, TO EVALUATE RESULTS AND IMPACTS

5. HIGH IMPACT STRATEGIES

   (More bang for the buck.

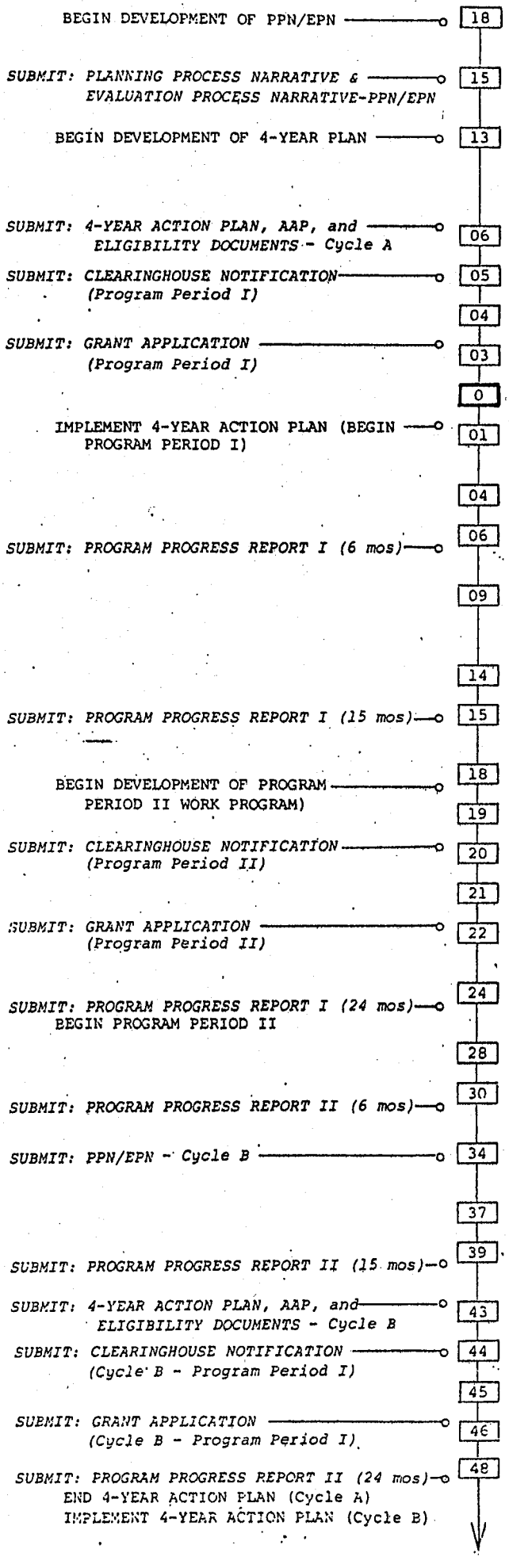
REVIEW OF THE GPMS TIMELINE:

-18 to -15 months - Develop a PPN/EPN/EOP

-15 to - 6 months - Plan (Implement narrative)

- 6 to - 3 months - Develop Work Program

0 to +48 months - Implement Action Plan
Monitor Project Progress
Assess Planning and Management
Impact Evaluation


BEGIN DEVELOPMENT OF PPN/EPN
18
SUBMIT: PLANNING PROCESS NARRATIVE &
EVALUATION PROCESS NARRATIVE-PPN/EPN
15
BEGIN DEVELOPMENT OF 4-YEAR PLAN
13
SUBMIT: 4-YEAR ACTION PLAN, AAP, and
ELIGIBILITY DOCUMENTS - Cycle A
06
SUBMIT: CLEARINGHOUSE NOTIFICATION
(Program Period I)
05
04
SUBMIT: GRANT APPLICATION
(Program Period I)
03
0
IMPLEMENT 4-YEAR ACTION PLAN (BEGIN
PROGRAM PERIOD I)
01
04
SUBMIT: PROGRAM PROGRESS REPORT I (6 mos)
06
09
14
SUBMIT: PROGRAM PROGRESS REPORT I (15 mos)
15
BEGIN DEVELOPMENT OF PROGRAM
PERIOD II WORK PROGRAM)
18
19
SUBMIT: CLEARINGHOUSE NOTIFICATION
(Program Period II)
20
21
SUBMIT: GRANT APPLICATION
(Program Period II)
22
SUBMIT: PROGRAM PROGRESS REPORT I (24 mos)
BEGIN PROGRAM PERIOD II
24
28
SUBMIT: PROGRAM PROGRESS REPORT II (6 mos)
30
SUBMIT: PPN/EPN - Cycle B
34
37
SUBMIT: PROGRAM PROGRESS REPORT II (15 mos)
39
SUBMIT: 4-YEAR ACTION PLAN, AAP, and
ELIGIBILITY DOCUMENTS - Cycle B
43
SUBMIT: CLEARINGHOUSE NOTIFICATION
(Cycle B - Program Period I)
44
45
SUBMIT: GRANT APPLICATION
(Cycle B - Program Period I)
46
SUBMIT: PROGRAM PROGRESS REPORT II (24 mos)
48
END 4-YEAR ACTION PLAN (Cycle A)
IMPLEMENT 4-YEAR ACTION PLAN (Cycle B)

THE PHASES OF GPMS

The process and the Products of GPMS are grouped into three PHASES

		E and A Items
Planning Phase (Every 4th Year)		
. Define Planning Process	PPN/EPN	Defines how impact evaluation will be done
. Nine Month comprehensive, participatory planning	4-YEAR PLAN (510s)	Baseline desc of planning process.
		Baseline statistics Goals, Impact Measures
Grant Application Phase (Every Other Year)		
. Preparation of Work Program	GRANT APPL (512As)	Eval work program
. Preparing to Implement Work Program when approved.		Perf Measures of 512As 2-Year Objectives
Performance Phase (On-going)		
. 4-Year Action Period, in two-year phases.		
. Project Progress (Performance) Assessment.	PPRs (512As & 512Bs)	
. Assessment of Mgt. Practices	Findings Report	
. Assessment of Planning Process and Documents	Findings Report	
. Impact Evaluation	Findings Report	

Note to Instructor: At this point you end the "Overview of GPMS."

An exercise would be useful at this point. The results of the exercise are indicated in handwriting (an example of a trainee's responses) above. The exercise begins like this: "ALTHOUGH YOU WILL NOTE THAT CERTAIN PRODUCTS ARE DUE 'DURING' THE PERFORMANCE PHASE, MANY EVALUATION AND ASSESSMENT EFFORTS WILL HAVE TO TAKE PLACE DURING THE OTHER PHASES AND WILL MAKE USE OF INFORMATION DEVELOPED IN OTHER PHASES. LET'S SEE IF WE CAN IDENTIFY A FEW OF THESE. ON THE LINE ABOVE THE THIRD COLUMN WRITE "E&A ITEMS" FOR EVALUATION AND ASSESSMENT AND LIST SOME OF THE THINGS A CAA WILL BE DOING DURING THESE OTHER PHASES AND SOME OF THE INFORMATION WHICH WILL BE USEFUL TO EVALUATORS.

Give trainees about 5 minutes and then call for some items from the audience and put them up on a flip chart under the three phase headings. The following page lists some possible answers for the trainer.

MODULE C -- ELEMENTS OF THE PERFORMANCE PHASE

A. PURPOSE

To introduce the four GPMS requirements (elements) which are primarily carried out in the "performance" phase and show their relationship to the major documents (e.g., PPN, EPN) and forms of GPMS.

B. CONTENT OUTLINE

1. Lecture

   a. Four Processes of the Performance Phase
   b. How the Four Processes Link to other GPMS Phases
   c. GPMS Performance Phase Requirements.

2. Small Group Exercise: Relating Evaluation/Assessment Activities to the GPMS Timeline.

C. TIME

60 Minutes

D. OBJECTIVES

Will understand the differences between the four processes and how and where they are documented in the GPMS system.

Appreciate the preliminary work which must be done in the prior two GPMS phases to conduct the four processes in the performance phase.

E. PREPARATION

Be familiar with all of the GPMS training packages interms of the major steps in GPMS, the major documents of GPMS, etc. Specifically review the GPMS requirements for each of the four processes.

F. PROCEDURE

1. Lecture (see part H)
2. Small Group Exercise (see description of exercise)
3. Small Group reports and Q&A.

G. MATERIALS

GPMS Case Study
Trainee's Workbook
Blank Timeline Sheets
NEWSPRINT

H. SUGGESTED OUTLINE OF INSTRUCTOR'S PRESENTATION

ELEMENTS OF THE PERFORMANCE PHASE

PERFORMANCE PHASE CONSISTS OF FOUR ON-GOING PROCESSES:

1. PROJECT PROGRESS REPORTING (OR Performance Assessment
2. ASSESSMENT OF Management Functions
3. ASSESSMENT OF THE GPMS Planning Process in CAA
4. IMPACT EVALUATION OF GOAL ACHIEVEMENT AND CHANGES IN THE POVERTY CONDITION.

PLANNING AND PRELIMINARY ACTIVITIES FOR THESE PROCESSES OR ELEMENTS IS UNDERTAKEN IN BOTH THE PLANNING AND GRANT APPLICATION PHASES:

Efforts in the Planning Phase include:

1. Development of baseline data as part of the Needs Analysis Analysis.

2. Identifying and defining IMPACT MEASURES.

3. Defining in the EPN how the following three processes of the Performance Phase will be accomplished and who will be involved:

   Impact Evaluation
   Assessment of Mgt
   Assessment of Planning

4. Making sure that GOAL statements are clear and Verifiable.

5. Determining how post-project data relating to Goal Achievement and Impact Measures will be obtained.

   E.g., Number of units of substandard housing in 1981 can be estimated from the 1980 census. How will you know the number of substandard housing units in 1985. There is no 1985 census of housing.

Efforts in the Grant Application Phase include:

1. Development of the Evaluation work program
2. Development of the Planning Assessment work program.
3. Both of these work programs become a project in the Grant Application Work Program and are recroded on a Form 512A.
4. Development of a written plan and procedures for the conduct of Performance Assessment. This plan is not submitted to CSA.
5. Development of the Performance Measures for each project in the Work Program.
6. Ensure that the Two-Year Objective is clear and verifiable.

GPMS REQUIREMENTS FOR THE PERFORMANCE PHASE

ASSESSMENT OF CAA MANAGEMENT PRACTICES

. 1067.70-4, (b), "Developing the EPN":

"The EPN will also describe how the CAA will assess project administration including management policies, procedures and practices. ... The assessment of the management function must be addressed in the EPN.

"CAA shall describe in the EPN ... the (2) processes that will be used (ii) to select the management function(s) to be assessed.

. 1067.70-6, (d), "Required Projects in Grant Application":

"For each work program, the CAA shall record its evaluation activities as a project on CSA Form 512A. ... it shall also evaluate the planning process in its totality.

(Note: Rule does not refer to inclusion of assessment of management functions in the project. Thus, management assessment is outside the 512A procedure.

ASSESSMENT OF CAA PLANNING

. 1067.70-4, (b): "Specifically included is the management of the total, ongoing planning process."

. 1067.70-6, (d): "Using its approved evaluation process, the CAA shall ... evaluate (sic) the planning process in its totality."

PERFORMANCE ASSESSMENT

. 1067.70-8:

--(a) "The CAA shall develop a process for regularly assessing CSA-funded projects.

--"The CAA shall maintain on active file available to the CSA a written description of this process."

--(b) "... report to the CSA at 6, 15, and 24-month intervals of the work program the results of its assessment of the progress of CSA-funded projects and activities.

--(c) "The CAA shall document project progress on CSA Form 512-A and if necessary on CSA Form 512-B, "Grantee Work Program and Project Progress Report (Exception Report)."

--"The CAA Board shall review and approve the report. Within 30 days after the end of each reporting period the CAA shall submit to the Regional Office three copies of each CSA Form 512-A used to report project progress, three copies of CSA Form 512-B for any projects which require an exception report, and three copies of the minutes of the meeting at which the project progress reports were approved.

--"For any project in which CSA funds are used only for administration, the CAA shall submit to the CSA Regional Office all project progress reports which it submits to the other agency (or agencies) which provides operating funds for the project.

--"The Regional Office will advise the CAA of any action it will take on these progress reports.

IMPACT EVALUATION

.1067.70-4(b):

"The entire community action program can be evaluated against the purposes of the Act using the Standards of Effectiveness and other goal achievement measures set forth in the Four Action Plan.

At least once every four years, the CAA must evaluate the impact of at least one high priority project.

"The EPN will describe how the impact evaluation will be conducted.

. "For both the impact evaluation of the project(s) and for assessment of the management function(s) the CAA shall describe in the EPN:

(1) The specific structures and methods that will be used, including the roles and responsibilities ...

(2) The processes that will be used:

(i) To select the proejct(s)

(ii) To select the management function(s) to be assessed;

(iii) To select the measurable performance criteria that will be used;

(iv) To carry out the evaluation or assessment.

(3) The use of the products--including how the CAA Board will review and act upon the assessment and evaluation reports,

How the information in these reports will be used to improve performance of the CAA, and how the information will be used to develop the next Four-Year Action Plan.

Different structures and methods may be chosen for evaluation and assessment.

. 1067.70-6, "The Grant Application"

(d) (1) "For each work program, the CAA shall record its evaluation activities as a project on a CSA Form 512-A. Using its approved evaluation process, the CAA shall evaluate at least one high priority project in its work program ...

The CAA shall establish milestones for its evaluation activities such that the results can be used to develop the next Four-Year Action Plan.

SUMMARY OF THE GPMS REQUIREMENTS FOR EVALUATION AND ASSESSMENT

PROCESS	PLANS/PROCEDURES	REPORT DOCUMENTS
PERFORMANCE ASSESSMENT	Not Submitted: CAA maintains a written description of process on file available to CSA	PPRs on 512A 512B Exception Report Minutes of Board Meeting
IMPACT EVALUATION	EPN	512A for Evaluation Project Evaluation Report on at least one high priority project.*
PLANNING PROCESS ASSESSMENT	EPN	512A for Planning Assessment. Planning Assessment Report.*
ASSESSMENT OF MANAGEMENT FUNCTIONS	EPN	Not required as a 512A project. Report on Management Functions.*

*The Rule does not provide instructions in regard to submission of these reports. Each Regional Office will instruct CAAs at a later date in regard to submissions.

SMALL GROUP CASESTUDY EXERCISE

Relating Evaluation/Assessment Activities to GPMS Timeline

OBJECTIVE

To develop an understanding of how Evaluation and Assessment activities are totally inter-related with GPMS planning and work program implementation.

To make one aware that evaluators and performance assessors must be involved at the very beginning of the GPMS process.

To review the content and characteristics of PPNs and EPNs.

ACTIVITIES

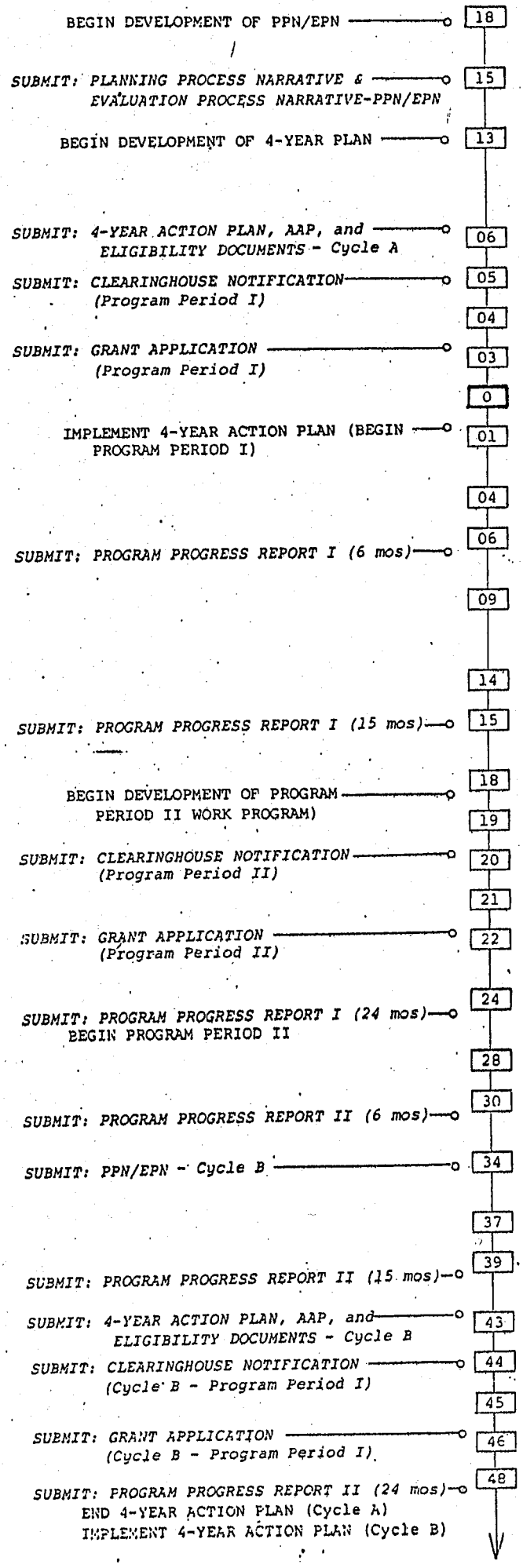
1. Review the PPN and EPN in the casestudy materials from an evaluation and planning perspective.

2. Take a blank time-line sheet and enter all of the major events/dates from the PPN which are important for the impact evaluation and place to the left of the timeline. Then review the EPN and place all major events/dates on the right side of the time line.

3. Now put the EPN planning assessment events and dates in the far right column of the timeline.

4. Finally, place the management assessment events and dates in the far left column of the timeline.

5. Now transfer these to NEWSPRINT for reporting back at the general session. Select a group leader to make your group's report.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SUBMIT: PLANNING PROCESS NARRATIVE &
EVALUATION PROCESS NARRATIVE-PPN/EPN
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BEGIN DEVELOPMENT OF 4-YEAR PLAN
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SUBMIT: 4-YEAR ACTION PLAN, AAP, and
ELIGIBILITY DOCUMENTS - Cycle A
06
SUBMIT: CLEARINGHOUSE NOTIFICATION
(Program Period I)
05
04
SUBMIT: GRANT APPLICATION
(Program Period I)
03
0
IMPLEMENT 4-YEAR ACTION PLAN (BEGIN
PROGRAM PERIOD I)
01
04
SUBMIT: PROGRAM PROGRESS REPORT I (6 mos)
06
09
14
SUBMIT: PROGRAM PROGRESS REPORT I (15 mos)
15
18
BEGIN DEVELOPMENT OF PROGRAM
PERIOD II WORK PROGRAM)
19
SUBMIT: CLEARINGHOUSE NOTIFICATION
(Program Period II)
20
21
SUBMIT: GRANT APPLICATION
(Program Period II)
22
24
SUBMIT: PROGRAM PROGRESS REPORT I (24 mos)
BEGIN PROGRAM PERIOD II
28
30
SUBMIT: PROGRAM PROGRESS REPORT II (6 mos)
SUBMIT: PPN/EPN - Cycle B
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39
SUBMIT: PROGRAM PROGRESS REPORT II (15 mos)
SUBMIT: 4-YEAR ACTION PLAN, AAP, and
ELIGIBILITY DOCUMENTS - Cycle B
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SUBMIT: CLEARINGHOUSE NOTIFICATION
(Cycle B - Program Period I)
44
45
SUBMIT: GRANT APPLICATION
(Cycle B - Program Period I)
46
48
SUBMIT: PROGRAM PROGRESS REPORT II (24 mos)
END 4-YEAR ACTION PLAN (Cycle A)
IMPLEMENT 4-YEAR ACTION PLAN (Cycle B)

SMALL GROUP CASESTUDY EXERCISE

Relating Evaluation/Assessment Activities to GPMS Timeline

OBJECTIVE

To develop an understanding of how Evaluation and Assessment activities are totally inter-related with GPMS planning and work program implementation.

To make one aware that evaluators and performance assessors must be involved at the very beginning of the GPMS process.

To review the content and characteristics of PPNs and EPNs.

ACTIVITIES

1. Review the PPN and EPN in the casestudy materials from an evaluation and planning perspective.

2. Take a blank time-line sheet and enter all of the major events/dates from the PPN which are important for the impact evaluation and place to the left of the timeline. Then review the EPN and place all major events/dates on the right side of the time line.

3. Now put the EPN planning assessment events and dates in the far right column of the timeline.

4. Finally, place the management assessment events and dates in the far left column of the timeline.

5. Now transfer these to NEWSPRINT for reporting back at the general session. Select a group leader to make your group's report.

Note to Trainer for "E&A" exercise

EPN: Which of the four Performance Phase evaluation and assessment processes are described in the EPN?

Impact Evaluation - Yes
Assess Planning Process - Yes
Assess Management Functions - Yes
Performance Assessment (of Projects) - No

PPN: Baseline description of the planning process against which the actual process will be evaluated, i.e., did you really do this process? how should this process be changed to make it better?

4-YEAR PLAN: Baseline (or pre-project) data on the poverty problem or condition; resource analysis data which may needed to be taken into account when explaining later changes in the condition, e.g.,"CAA project must be responsible for change, there were no other projects addressing the problem in the community."

The actual goals which will be assessed

The "impact measures" to be used to assess impact on the poverty condition.

WORK PROGRAM: The evaluation project and the assessment of planning and management functions project are described on Form 512As, i.e., the evaluation unit's work program.

The performance measures and Two-Year objectives for each project.

Budget information which could be used for cost-effectiveness studies.

Other items could be included, e.g., assumptions about causes of problems or characteristics of poverty population with a certain problem could be useful in interpreting evaluation data.

MODULE D -- FRAME OF REFERENCE: EVALUATION AND ASSESSMENT CONCEPTS

A. PURPOSE

To present classical evaluation concepts so that prior evaluation concepts to which trainees may have been exposed will be systematized. To provide a "frame of reference" which trainees can use to organize the GPMS assessment and evaluation concepts presented later; that is, if trainees understand the classical evaluation structure, they will not bother arguing that GPMS "impact evaluation" is not "really" impact evaluation.

B. CONTENT OUTLINE

1. Lecture: Evaluation and Assessment Concepts

    a. Definitions
    b. Five areas of evaluation
    c. Types of evaluation
    d. Technical steps in evaluation
    e. Final comments.

2. Review Administrative Checklist for Reviewing Evaluation Plans.

C. TIME

1 Hour

D. OBJECTIVES

Trainees new to evaluation will have a good, basic frame of reference in regard to evaluation and will be able to organize many terms that he or she has "flying" about him/her.

"Strict constructionists" will be satisfied that the trainer is aware of classical evaluation concepts and will not belabor "technicalities" during the Impact Evaluation module.

E. PREPARATION

Read the paper on Evaluation Issues. Review the "Administrative Checklist" at the end of this module so that there will be no surprises and to develop helpful comments on selected items on the check list.

F. PROCEDURE

Deliver the lecture and then mention the "checklist". Ask the trainees to read the check list and call for any questions. If no questions, discuss some of the more important items on the check list.

G. MATERIALS

Trainee's Workbook

H. SUGGESTED OUTLINE OF PRESENTATION

FRAME OF REFERENCE: EVALUATION & ASSESSMENT CONCEPTS

A MEETING OF THE MINDS

1. The trainee may have different definitions of "assessment" and "evaluation" in his or her mind than those used in the GPMS.

2. In this session--before beginning the other sessions on GPMS assessment and evaluation--concepts of assessment and evaluation in more common use by professional evaluators and social scientists so that the trainee can place the GPMS terms in the proper frame of reference.

THE TERMS ABOUT TO BE USED ARE NOT GPMS TERMS BUT BY UNDERSTANDING THESE TERMS YOU WILL NOT LATER MISUNDERSTAND THE MEANING OF GPMS TERMS.

MONITORING

Comparison of a project's plans with what actually is happening or has happened.

Entails collecting specific information on events associated with the operation of a project.

In general, a monitoring system obtains data on both the project and its activities, allows for the analysis necessary to determine whether activities are acceptable, and provides for feedback of this information to management.

EVALUATION

Judging the merit of something by comparing it against some yardstick.

Evaluation studies are done to measure the effects of a program or project against the objectives it set out to accomplish and thus aid subsequent decisions about the project's future or structure.

In the strictest sense, evaluation studies are designed to verify whether a certain effect occurred and to suggest conclusions about--

the extent to which this effect can be directly attributed to the project rather than to outside forces.

FIVE AREAS OF PROJECT INPUT OR OUTPUT WHERE EVALUATION IS APPLIED:

--Effort:

--Efficiency:

--Operation:

--Effectiveness of Performance:

--Adequacy of Performance:

THESE FIVE AREAS, AND PERHAPS A FEW OTHER AREAS OF PERSPECTIVE, OF A PROJECT COMBINE TO FORM TWO BASIC TYPES OF EVALUATIVE RESEARCH:

--MEASURES OF THE INPUTS OR PROCESSES IN THE PROJECT

--MEASURES OF THE OUTCOME OR IMPACT OF THE PROJECT.

(Each provides a distinct type of information, used together they provide a balanced analysis of the project.)

TYPES OF EVALUATION

--Process Evaluation:

A study of the various parts of the project and how they are linked.

Focuses on activities, recipients, relationships, units, milestones.

Effort, Efficiency, Operation

--Impact Evaluation:

The concern here is with the relationship of project outcomes to stated goals.

Assumes

- A problem has been identifed
- A theory about what will alleviate it (cause-strategy)
- A project goal
- Program activities will have a specific impact on the target group, neighborhood, organization/institution.

At a minimum, an impact evaluation is a study of change in some target group (individuals, a section of a community, a jurisdiction, etc.)

Designed to reach CONCLUSIONS about the extent to which the project activities themselves created the change.

E.g., to say that a job program for youth reduced their delinquent behavior what are some kinds of "proof" you would have to offer.

Impact evaluation is not always appropriate or possible.

- limited resources
- limited expertise
- inadequate project design.
- impact data will not be obtainable

--Process and Impact Evaluations are Related

Knowing why an effect did/did not occur is very important.

- Knowing if a project was implemented as planned is a variation of this. If it was not implemented at all it could not have caused the effect, if the effect occured.

- Also the project may have been "differentially" effective:

  E.g., In a job program, different types of jobs may be viewed differently and thus have different impacts on reducing delinquency.

  The evaluator, therefore, may want to see if the delinquency rates are lower for youths in different types of jobs, e.g., private sector vs. public sector; commercial vs. not-for-profit.

--Information Gained from "Monitoring" Project Activities Is Frequently All That Is Required

- Because this type of project has been proven effective time after time, e.g., innoculation of children, prenatal care, etc.

- However, monitoring often shows room for improvement in the way activities are carried out, efficiency, etc.

--However, when an evaluation of a project's impact is what is wanted, there are three crucial questions to consider carefully

STEP 2: Is the project evaluable?

- Ability to identify the project's goals and objectives

- Ability to identify the criteria for data

- Availability of the data when needed, e.g., in 3 or 4 years from now.

- Ability to identify the relevant groups (individuals, neighborhoods, institutions) that the evaluation can use to measure impacts.

STEP 3: Who can do this work?

- Staff with a commitment to being rigorous, systematic and objective

- Staff that also have the time

- Staff or consultant with the expertise and experience in this type of evaluation to direct the technical aspects of evaluation and to design the study and the measurement instruments to be used.

- Consider limiting the project evaluated to the type which the available staff or consultant can handle.

- Attepmting a sophisticated and complet design without proper understanding of the techniques or skills to do the necessary statistical analysis and data interpretation would waste staff time and project resources.

TECHNICAL STEPS TO EVALUATION

TASK 1: Formulating the Question

TASK 2: Designing Instruments or Techniques for Measurement

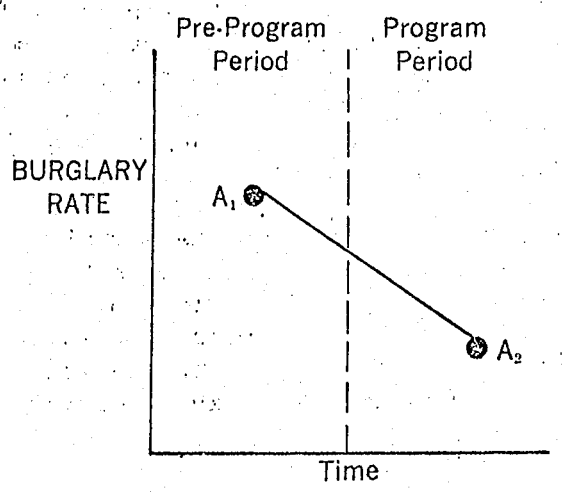
TASK 3: Designing the Study: Common Models for Evaluation Studies

TASK 4: Data Collection

TASK 5: Utilization of Results

DESIGN 1

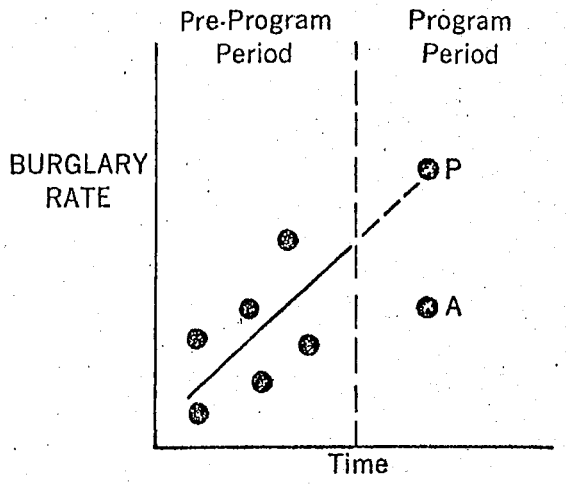
Before vs. After
Program Comparison



Estimated Program Effect = After Program Rate (A_2) – Before Program Rate (A_1)

DESIGN 2

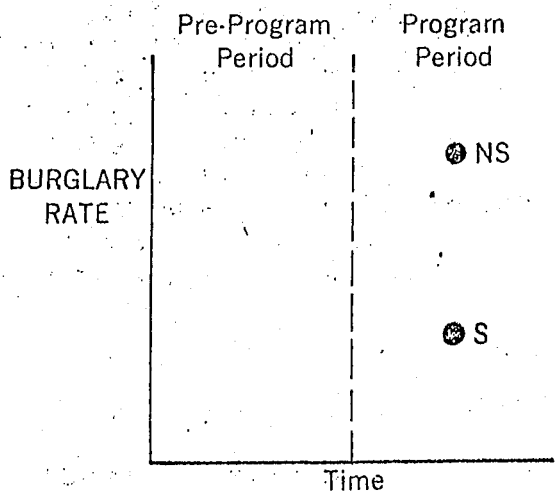
Time Trend Projection
of Pre-Program vs. Actual Program Data



Estimated Program Effect = Actual Rate (A) — Projected Rate (P)

DESIGN 3

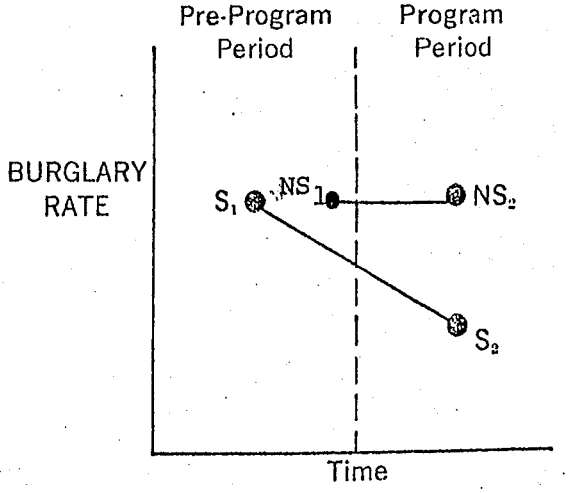
One Time Comparison Between Those
Served and Not Served by Program



Program Effect = Rate of Those Served (S) — Rate of Those Not Served (NS)

DESIGN 4

Time Series Comparisons Between
Those Served and Not Served



Program Effect = Difference in Before and After Burglary Rates of Population Served by the Program (S_2–S_1) – Similar Difference for Those Not Served (NS_2–NS_1)

Adapted from: *Evaluation Design Methodologies*
Intensive Evaluation for Criminal Justice Planning Agencies
(Weidman, et al., 1975)

FINAL COMMENT ABOUT EVALUATION AND ASSESSMENT CONCEPTS

--We will later note that GPMS Performance Assessment has elements of process evaluation (Effort, Efficiency, and Operation) and monitoring.

--Impact evaluation under GPMS focuses on the areas of Effectiveness of Performance and Adequacy of Performance.

Impact evaluation also attepmts to determine if the performance of the project was the "cause" of the impact(s).

AN ADMINISTRATIVE CHECK LIST (See following pages)

An Administrative Checklist for Reviewing Evaluation Plans

Conceptualization of Evaluation

____ Definition:	How is evaluation defined in this effort?
____ Purpose:	What purpose(s) will it serve?
____ Questions:	What questions will it address?
____ Audiences:	Who will it serve?
____ Agents:	Who will do it?
____ Process:	How will they do it?
____ Standards:	By what standards will their work be judged?

Sociopolitical Factors

____ Involvement:	Whose sanction and support is required, and how will it be secured?
____ Internal communication:	How will communication be maintained between the evaluators, the sponsors, and the system personnel?
____ Internal credibility:	Will the evaluation be fair to persons inside the system?
____ External credibility:	Will the evaluation be free of bias?
____ Security:	What provisions will be made to maintain security of the evaluative data?
____ Protocol:	What communication channels will be used by the evaluators and system personnel?
____ Public relations:	How will the public be kept informed about the intents and results of the evaluation?

Contractual/Legal Arrangements

____ Client/evaluator relationship:	Who is the sponsor, who is the evaluator, and how are they related to the program to be evaluated?
____ Evaluation Products:	What evaluation outcomes are to be achieved?
____ Delivery Schedule:	What is the schedule of evaluation services and products?
____ Editing:	Who has authority for editing evaluation reports?
____ Access to data:	What existing data may the evaluator use, and what new data may he obtain?
____ Release of reports:	Who will release the reports and what audiences may receive them?
____ Responsibility and authority:	Have the system personnel and evaluators agreed on who is to do what in the evaluation?
____ Finances:	What is the schedule of payments for the evaluation, and who will provide the funds?

The Technical Design

____Objectives and variables:	What is the program designed to achieve, in what terms should it be evaluated?
____Investigatory framework:	Under what conditions will the data be gathered, e.g., experimental design, case study, survey, site review, etc?
____Instrumentation:	What data-gathering instruments and techniques will be used?
____Sampling:	What samples will be drawn, how will they be drawn?
____Data-gathering:	How will the data-gathering plan be implemented, who will gather the data?
____Data storage and retrieval:	What format, procedures, and facilities will be used to store and retrieve the data?
____Data analysis:	How will the data by analyzed?
____Reporting:	What reports and techniques will be used to disseminate the evaluation findings?
____Technical adequacy:	Will the evaluative data be reliable, valid, and objective?

The Management Plan

____Organizational mechanism:	What organizational unit will be employed, e.g., an in-house office of evaluation, a self-evaluation system, a contract with an external agency, or a consortium-supported evaluation center?
____Organizational location:	Through what channels can the evaluation influence policy formulation and administrative decision making?
____Policies and procedures:	What established and/or ad hoc policies and procedures will govern this evaluation?
____Staff:	How will the evaluation be staffed?
____Facilities:	What space, equipment, and materials will be available to support the evaluation?
____Data gathering schedule:	What instruments will be administered, to what groups, according to what schedule?
____Reporting schedule:	What reports will be provided, to what audiences, according to what schedule?
____Training:	What evaluation training will be provided to what groups and who will provide it?
____Installation of evaluation:	Will this evaluation be used to aid the system to improve and extend its internal evaluation capability?
____Budget:	What is the internal structure of the budget, how will it be monitored?

Moral/Ethical/Utility Questions

____Philosophical stance:	Will the evaluation be value free, value based, or value plural?
____Service orientation:	What social good, if any, will be served by this evaluation; whose values will be served?
____Evaluator's values:	Will the evaluator's technical standards and his values conflict with the client system's and/or sponsor's values; will the evaluator face any conflict of interest problems; and what will be done about possible conflicts?
____Judgments:	Will the evaluator judge the program; leave that up to the client; or obtain, analyze, and report the judgments of various reference groups?
____Objectivity:	How will the evaluator avoid being co-opted and maintain his objectivity?
____Prospects for utility:	Will the evaluation meet utility criteria of relevance, scope, importance, credibility, timeliness, and pervasiveness?
____Cost effectiveness:	Compared to its potential payoff, will the evaluation be carried out at a reasonable cost?

MODULE E -- ASSESSMENT OF CAA MANAGEMENT FUNCTIONS

A. PURPOSE

To present GPMS requirements for assessment of CAA management functions and provide trainees with suggestions for conducting assessments.

B. CONTENT OUTLINE

1. Lecture (see part H)

   a. GPMS Requirement
   b. Guidance

2. Exercise: Trainees revies Case Study EPN

3. Review of Assessment Checklist and Assessment Review Form

4. Assessment Products

5. Q&A

C. TIME

2.0 Hours

D. OBJECTIVES

Trainees will understand methods for conducting assessments and be familiar with the types of instruments useful with such methods.

Trainees will be able to establish a priority for conducting assessments within their CAAs.

E. PREPARATION

Be familiar with GPMS requirements and the CSA Staff Manual. Be familiar with the assessment "checklists" which may be found in the Appendicies to this Guide.

F. PROCEDURE

Present lecture on GPMS requirements. When you reach "Guidance" have the trainees review the Case Study EPN focusing on pages 9 and 11 to see how management assessment is addressed in EPNs. Discuss their findings and then continue with "Suggested Techniques. Then have them review the "checklists" as examples of instruments which are helpful for management assessments. Entertain questions about the checklists. Close the presentation with a discussion of products of assessment and then call for final questions and answers.

G. MATERIALS

"Checklists" found in the Appendicies of the Trainee's Workbook

Trainee's Workbook.

H. SUGGESTED OUTLINE OF PRESENTATION

ASSESSMENT OF CAA MANAGEMENT FUNCTIONS

A. REQUIREMENTS

--EPN:

Description of how CAA will assess project administration, including management policies, procedures and practices.

Description of processes used to select the management functions to be assessed.

--GRANT APPLICATION:

Not required as a project on a Form 512A like planning. CAA should have an internal work program (assignments, schedule, etc.).

--PERFORMANCE:

Keep assessment plans and reports on file for CSA field review.

Document the assessment process, e.g., dates of meetings of participants in the assessment process, board actions, etc.

B. GUIDANCE

--Preparation

1. Review the EPN and refamilarize yourself with the process outlined there.

See pages 9-11 of Case Study EPN

2. Develop an Outline for Conduct of Assessment

--a detailed work program for each function to be assessed:

a. Persons who are to be interviewed and key questions to be asked.

b. Records or documents which are to be reviewed, e.g., personnel policies manual, and/or specific data and information to be requested from units of the CAA or delegate agencies.

c. Information you will attempt to verify during the assessment, e.g., pulling of personnel folders to verify presence of position descriptions.

d. Activities, meetings, etc. which the assessment team or individual members wish to observe as part of the assessment.

3. Development of Schedule for the Assessment

--Permits the units to be assessed to prepare for visit.

4. Conduct the Assessment

--Interviews,

--Personal observations

--Records reviews

--Reporting findings

5. Activities which could be included in an Management Assessment:

a. Administration

- Personnel Administration
- Financial Administration and Control
- Property Management and Procurement
- Information/Reporting Systems

b. Management Assessment

- CAA Board composition/operations
- Mobilization/Coordination of Resources
- Affirmative Action
- Adequacy of Performance Assessment Process
- Advocacy
- Training and TA

- General program oversight and leadership

6. Assessment Strategy

- Do a general survey, first, to identify problem area.

- Address administrative/management problem areas first. But areas with no apparent problems off to other years.

- In prioritizing problem areas, use two criteria:

  Which problems will have a serious impact on the implementation of projects and achievement of project goals?

  Which problem areas could get the CAA in legal troubles, including financial loss from fines, etc.?

C. SUGGESTED TECHNIQUES

A general checklist of questions and issues should be developed for each of the administrative and management assessments to be made.

Two such checklists are in the Appendicies of thie workbook:

--Assessment Check List

--Assessment Review Form

D. PRODUCTS

No official format for Management Assessment reports is required by GPMS. Reports in any given area should cover the following topics:

PRODUCTS (continued)

Description of the Function Assessed

Personnel/Board committees responsible for the Function

Dates the function was assessed

Description of the assessment group/team and the names and titles of the persons in the group/team.

Description of the assessment process used

Listing of the Documents (manuals, etc.) and record types reviewed.

Listing of the persons interview and the topics of the interview.

General Summary of Status of Policies and Procedures

--Itemization of policies and/or procedures which are missing and should be developed

--Discussion of defective policies and/or procedures

--Identification of existing policies and/or procedures which are not adhered to, e.g., no performance evaluations are given.

CAA Strengths in the Functional Area

CAA Weaknesses in the Functional Area

Recommendations and Who Should Carry Them Out

Cover Sheet indicating signature of the assessment group/team and showing the official acceptance of the report, including Board acceptance.

MODULE F -- ASSESSMENT OF CAA PLANNING

A. PURPOSE

To present the requirements for assessment of GPMS planning activities and introduce methods and techniques for conducting such assessments.

B. CONTENT OUTLINES

1. Lecture

   a. GPMS Requirements
   b. Guidance

2. Small Group Case Study: Developing Planning Assessment Checklists.

3. Lecture: Planning Assessment Products.

4. Q&A

C. TIME

1.5 Hours

D. OBJECTIVES

Trainee will know how to set-up and conduct a planning assessment process.

E. PREPARATION

Be familiar with the Case Study PPN and EPN

F. PROCEDURE

First, lecture on the requirements and techniques for planning assessment. Then break into small groups and use the Case Study PPN as an assessment standard against which to develop a planning assessment checklist. See the description of the Exercise for details. Following the presentation of the small groups to the general session, lecture on the Products of the assessment process.

G. MATERIALS

Participant's Handbook
Case Study PPN and EPN
Blank GPMS Timelines for reference.
NEWSPRINT

H. SUGGESTED OUTLINE OF PRESENTATION

ASSESSMENT OF CAA PLANNING

A. REQUIREMENTS

--EPN:

The CAA will assess project administration including management policies, procedures and practice. Specifically included is the management of the total ongoing planning process.

--GRANT APPLICATION:

Required in the work program as a project documented on a Form 512A.

--PERFORMANCE:

Using its approved evaluation process, the CAA shall ... evaluate the planning process in its totality.

B. GUIDANCE

Formulate the questions to be answered by the assessment:

- Was the planning structure (roles and responsibilities of Board, Committees, Low-Income Groups and Program Participants, Other Agencies/Organizations and CAA Staff) created and implemented as outlined in the PPN?
- Where the steps in the planning process (e.g., Needs Analysis, Goal Setting, etc.) carried out as outlined in the PPN.
- Where the steps in the planning process carried out in reasonable accordance with the PPN timetable?
- Do the products of the planning process serve their purpose and meet the purposes of GPMS?
- What corrective actions need to be taken in the current PPN for the next planning cycle?

The CAA will also have to decide if the assessment is to be formative or summative?

- A formative assessment (monitoring the planning process as it is implemented) would permit corrective action to take place on the spot rather than the CAA failing to carry out its PPN.

This should be done for each major step of the PPN, including a copy of that step from the actual PPN document for easy reference.

The following are a series of questions which could be included in a check list. They are organized by major steps in the CAA's planning process:

1. In the case of the development of the CAA MISSION STATEMENT, the review should focus on the inclusion of all five aspects of the purpose of community action as included in the EOA (see Figure 1).

2. In the case of NEEDS ASSESSMENT, the review should focus on:

   1) How low-income people were involved in assessing needs.

   2) What identified needs were rejected by the CAA.

   3) The types of data used, the currency and completeness of data used and the sources of the data.

   4) The use of results of previous years' evaluations and analyses in assessing needs.

   5) The quality and completeness of the problem statements that have been developed. The statements must include, at a minimum; 1. the causes of the problem; 2. the number and characteristics of those affected by the problem, and 3. where those affected lives.

   6) The appropriate assignment of the problem to a standard program area.

3. In the case of RESOURCE ANALYSIS, the review should focus on:

   1) Were private and public sector agencies and resources researched and identified for each poverty problem area?

It is more important to do the right thing than to do things right.

--P. Drucker

2) In identifying resources of other agencies, did the material include funding levels, staff, location, services available, services being considered, etc.?

3) Is performance information about the agencies included---levels of service in general, service levels for low-income persons, service levels for particular target population?

4) Were CAA referral records used in determining services available?

5) Were problems of the various community services identified, and what criteria were used in making the identification?

6) Are the <u>most severe</u> poverty problems receiving the largest share of community resources?

7) Are CAA referals being made to agencies with adequate resources to handle those referrals?

4. In the case of ESTABLISHING PRIORITIES, the review should focus on:

1) What method(s) was used by the CAA Board to rank or set priorities among poverty problem statements? Did the method(s) take into account magnitude of the problems (number of persons affected), intensity of the problem (degree of suffering or affliction caused), serverity of the problem (a combination of magnitude and intensity), available resources to address the problem, capability of the CAA to address the problem?

2) Was the ranking system a formal, numerical system, or an informal one?

3) If it was formal and numerical, what factors and weighting were used?

4) Do the priorities established exclude the priority needs of certain target populations?

5) Are the priorities established by the CAA Board different than those established during the Needs Assessment step? If so, what were the reasons for the change?

5. In the case of ESTABLISHING GOALS, the review should focus on:

   1) Are there one or more goals for each priority problem statement?

   2) Are the goals realistic and specific enough to be quantified or measured in some way?

   3) Do the goals relate directly to the needs identified?

   4) Are the goals consistent with past accomplishments or achievements of the CAA or community services agencies?

   5) What method did the CAA Board use in establishing the goals?

6. In the case of STRATEGY DEVELOPMENT, the review should focus on:

   1) Were alternatives related to the basic approches of institutional change, advocacy, coordination, and resource provision considered for each priority poverty problem area?

   2) How were alternative strategies identified, and were all applicable community resources considered in the analysis of the alternative stategies?

   3) What method does the CAA Board use in evaluating the alternate strategies?

VERY IMPORTANT

   4) What was the quality of the analysis of alternatives presented by the CAA staff to the CAA Board?

   5) Do the strategies selected deal directly with the goals, priorities and needs previously identified?

   6) Does the analysis of alternatives take into account previous evaluactions of CAA activities and performance?

   7) Will the strategy selected--if all goes well--have significant impact on the Goal/Problem.

The following is an example of a check list which could be used to assess the extent to which the CAA complied--or is complying--with its formal approval process:

	YES	NO	OTHER
The Action Plan was reviewed and approved at a public meeting the of the CAA Board.	___	___	___
Date of Meeting:			
Copy of Board resolution:			
What was the vote:			
The Boards public meeting was appropriately publicized and sufficient notice was provided to the target population and low-income residents of the community	___	___	___
Date of publication; how many days in advance?			
Was notice clear from perspective of low-income?			
Method used?			
The approved Action Plan was appropriately publicized, in particular with low-income residents and relevant community organizations	___	___	___
Date of publication			
Method			
List of organizations receiving copies			
Were summary pamphlets used			
Media coverage			
Suggestions for problem priorities or strategies which received substantial community support which were <u>rejected by the Board</u> are noted in the action plan and accompanied by a summary of community comments and the Boards reasons for rejecting the suggestions	___	___	___
Were the comments made by an organization operating a project seeking CSA funds?			
When were the suggestions rejected? At what point in time and in the planning process?			

SMALL GROUP CASESTUDY EXERCISE

Developing Planning Assessment Checklists

OBJECTIVE

To understand how to develop checklists for the CAA planning process assessment using the PPN as the main assessment standard.

To provide the trainees with some preliminary "draft" checklists which they can use as examples when the return to their CAAs.

ACTIVITIES

1. Have the trainer assign your group one of the major steps in the planning process.*

2. Using the casestudy PPN, review the step assigned to your group.

3. Taking the information needed from the PPN and some of the suggestions presented in the Trainee's Workbook, develop a planning assessment checklist for the step assigned to your group.

4. Elect a group recorder and transfer your check list in summary form to NEWSPRINT for reporting back at the general session.

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*Mission Statement
Needs Assessment/Problem Analysis and Ranking
Resource Analysis
Priority Setting
Goal Development
Strategy Development
Public Participation in Plan Approval

D. PRODUCTS

No official format for Planning Assessment reports is required by GPMS. Reports should cover the following topics:

--Brief Description of the CAAs Planning Function and the dates of implementation.

--Personnel and Board members responsible for the planning function.

--Dates the assessment was performed

--Identification and description of the assessment group/team.

--Brief description of the assessment methods/process used.

--Divide by each major step in the process and for each step discuss and assess:

- documents and records reviewed.

- listing pf persons interviewed and the topics of the interview

- comparison of actual to planned on:

  . Structure

  . Steps implemented

  . According to timetable

  . Quality of Products

  . Strengths in this area

  . Weaknesses in this area

  . Recommendations for improvements in structure, steps, or product quality.

--Cover Sheet indicating signature of the assessment group/team leader and showing the official acceptance of the report, including Board acceptance.

MODULE G -- ASSESSMENT OF PROJECT PROGRESS AND PERFORMANCE

A. PURPOSE

To present the requirements for performance assessment of projects under GPMS and introduce methods and techniques for conducting such assessments.

B. CONTENT OUTLINE

1. Lecture

    a. Requirements for performance assessment
    b. Guidance: methods and techniques

2. Desk Exercise: Developing Performance Measures for Youth.

3. Small Group Case Study: Case Study 512As

4. Lecture: More on techniques

5. Lecture: performance assessment projects.

C. TIME

3 Hours

D. OBJECTIVES

Trainees will be able to develop performance measures for projects.

Trainees will understand how to conduct a performance assessment process.

Trainees will be able to distinguish between "activities" and "objectives" and their relationship to "performance measures".

E. PREPARATION

Thoroughly understand the concepts used in this module (see part H) and the 512As and 510s used in the Case Study.

F. PROCEDURE

Present lecture and conduct workshop exercises as outlined in the exercise's instructions. Maintain an informal atmosphere. Encourage ideas from the trainees, e.g., creative performance measures, not part of the case studies.

G. MATERIALS

Trainee's Workbook
Case Study 512As and 510s.

H. SUGGESTED OUTLINE OF PRESENTATION

PERFORMANCE ASSESSMENT

A. REQUIREMENTS

--PLANNING PHASE

Develop a performance assessment process and keep description of it on file at the CAA. Not required to be in the EPN.

--GRANT APPLICATION PHASE

Performance measures are put on the Form 512As for each project in the work program of the Grant Application.

--PERFORMANCE PHASE

PPRs (using the original Form 512As--and Form 512Bs, Exception Reports when necessary) are submitted to CSA at 6, 15 and 24 months intervals.

Minutes of the Board Meetings at which the PPRs were approved by the Board must also be submitted along with the PPRs.

PPRs are not required for any project in which CSA funds are used only for administration. However, the CAA shall submit to CSA all project progress reports it submits to the other funding source(s). If other funding source does not require PPRs, then CAA shall develop PPRs for CSA.

B. GUIDANCE

After a CAA is funded it enters the implementation or performance phase.

Central point of the performance phase is the _____ _____ (objectives, goals, impacts).

And, if necessary, to make changes in projects necessary to insure that results are achieved.

Greatest sin is not a lag in performance BUT NOT TAKING CORRECTIVE ACTION TO CORRECT THE LAG, TO IMPROVE PERFORMANCE.

Under GPMS emphasis has shifted from consideration of line item budgets and staff position descriptions to assessing performance and evaluating results.

What is performance assessment?

A process by which the CAA Board and top management periodically determines whether or not its strategies are activities are being implemented and operated as planned.

Without performance, there can be NO RESULTS.

TO ENCOURAGE BOARD INTEREST IN PERFORMANCE, PERFORMANCE ASSESSMENT IS AN INTEGRAL PART OF GPMS.

Project Progress Reports (PPRs)

Used to formally assess a project's progress at the 6, 15 and 24th month of each two-year work program.

Gives a picture of the extent of project implementation, progress, problems, changes in activities or the entire project which are needed, and assistance needed by the project.

If progress is not according to plan, the CAA must also file an exception report.

Performance Measure

Key indicator used to tell if a project is being implemented according to plan (start-up) and is progressing (operating) as planned.

Performance measure may relate to objectives, activities, or the quality of certain processes.

They are indicators. The formal ones should be kept to the minimum necessary for a manager or Board to assess a project from the position of a general overview.

When performance measures indicate that something may be wrong in the project, a more detailed assessment can be made and corrective action recommended.

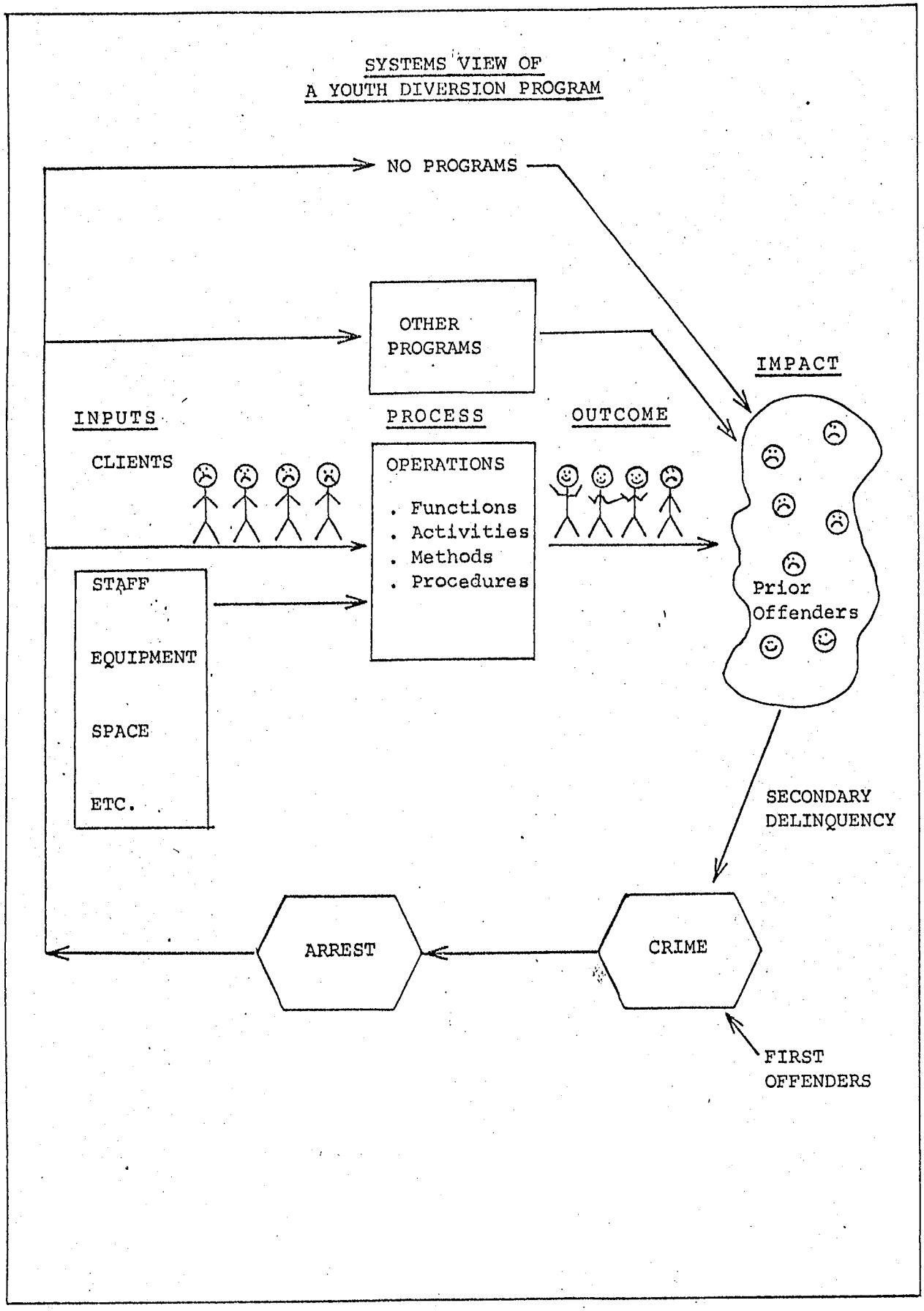
The performance measures for each project are developed during the program development phase. They are then placed on the Form 512A and submitted with the grant application.

The measures should be carefully selected and limited in number, since too many measures per project may be worse than no measures at all.

Where possible, key measures should be developed for input objectives (e.g., number of participants planned for), process objectives (e.g., number of community education ads to be run in the media) and output objectives which are achieved in the two year period (e.g., number of homes successfully weatherized by month).

Also, the beginning event or the ending event of key activities in each project can be used as performance indicators. For projects using nonservice strategies, the ending events of key activities will be crucial performance measures.

Performance measures are very important, also, when it comes to an evaluator trying to explain why a project did or did not achieve its goals and have the expected impacts.


SYSTEMS VIEW OF
A YOUTH DIVERSION PROGRAM
NO PROGRAMS
OTHER PROGRAMS
IMPACT
INPUTS
PROCESS
OUTCOME
CLIENTS
OPERATIONS
. Functions
. Activities
. Methods
. Procedures
STAFF
EQUIPMENT
SPACE
ETC.
Prior Offenders
SECONDARY DELINQUENCY
ARREST
CRIME
FIRST OFFENDERS

DESK EXERCISE

Developing Performance Measures for Youth

Instructions

1. Assume you are planning a youth project which diverts youths from the formal juvenile justice project and offers them GED training and job training.

2. Use the work sheet on the following page and develop a list of activities and objectives for this project. Then identify some illustrations of "inputs", "process activities", and "outputs" for this project. (In this example, "inter-mediate" outputs refer to changes in the clients, while "ultimate" refer to goals of the project.)

3. When this has been completed, study the work sheet and mark the most critical elements of the project. For each of these, develop a performace measure. For example, in the start-up activities, certain agreements may have to be reached before the project can begin. For example, a youth project needs a certain volume of clients at any given time; a performance measure might be developed for the number of clients who should have been served by the project by the end of the 6, 15 and 24th months vs. the number of youths actually served. A variation on this might be the number of qualified (target) youths currently enrolled as of the end of the 6, 15 and 24th months.

4. When you have finished, summarize your inputs, processes, and outputs on the worksheet and the performance measures on the blank CSA Form 512A.

5. Report to the general group

P R O J E C T

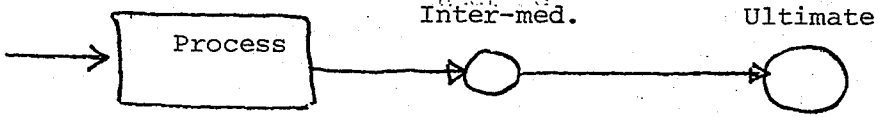
START UP ACTIVITIES AND OBJECTIVES

Activities:

Objectives:

ON-GOING PROCESS

Inputs:



SMALL GROUP CASESTUDY EXERCISE

Developing Performance Measures from the Casestudy 512As

OBJECTIVE

To provide practical experience in the development of performance measures for actual 512As.

To identify problems which the trainees may be having with the use of performance measures and to resolve these problems through the discussion process.

ACTIVITIES

1. Review the 512A assigned to your group. You will note that is has activities and associated dates listed and some objectives.

2. Develop performance measures for this 512A. In the process, you may add objectives and even activities if necessary.

3. After you have listed your performance measures, ask the question, "By these measures will the Board really know if the project is going as planned?"

   HINT: In developing performance measures, you may first want to identify the project's start-up activities, inputs, processes, and outputs.

4. Record your findings on your copy of the 512A. Then elect a member of the group to record the findings of the group in summary form on NEWSPRINT for presentation to the group.

5. As your group reports back, other groups can critique your report and add some performance measures to it or suggest that some be eliminated for one reason or another.

6. As a final part of your report, perhaps on a separate sheet of NEWSPRINT, present an outline of how the data necessary for each performance measure will be collected and reported. For example, in the earlier example of the youth project, how would the project manager know how many youths were served by the project in the six months period? What forms would be used to collect such data?

C. TECHNIQUES

Ways to Organize for Performance Assessment

Establish a performance assessment committee of the Board.

Establish performance assessments teams:

--one for each project or for clusters of projects in the same field, e.g., youth programs, energy, etc.

--the teams could be subcommittees of the overall performance assessment committee and could include "experts" as well as suggested below:

Composition of Team	Committee Member	Team Member
Board Member(s)	X	X
Project Participant(s)		X
Low-Income Rep.(s)	X	X
Community Agency(ies)	X	X
Volunteer or Paid Experts in the relevant field.		X
State agencies (SEOO, Manpower, Youth Serv.)		X

Identify liasion person within the project for working with the team leader.

Establish schedule for data collection and analysis. Must be in time for 6, 15 and 24 months assessments and the Board and committee meetings.

Establish linkages with Impact evaluators on selected projects.

Make recommendations for projects which are showing poor performance.

Plan on exit interview with project manager regarding your findings.

Keep in mind that if a project's performance measures show progress as planned, the team need do only a general assessment.

If the performance measures indicate progress less than planned, the a more indepth assessment should be done, including looking for ways to improve progress and performance.

D. PRODUCTS

The products are a 512A with the data required for the period 6, 15, 24) being reported and 512B, Exception Report, for instances where progress is unsatisfactory, with recommendations for improvement.

SMALL GROUP CASESTUDY EXERCISE

Exception Reporting

OBJECTIVE

To indicate how a committee or board level person should critically examine the 512A and, especially, the 512B, Exception Report.

To provide insight into the performance assessment process so that the trainee appreciates the fact that the performance assessment team must be involved in developing the performance assessment reports and not just reviewing them.

ACTIVITIES

1. Review the 512A and 512B assigned to your group from the CAA Case Study.

2. Determine if the project is really progressing as planned and, if not, what are the reasons why?

3. Determine if you would accept the recommendations of the 512B, Exception Report. Is the 512B for this particular project even necessary?

4. If you would not accept the recommendations of the 512B, offer alternative findings and recommendations.

5. Elect a recorder/reporter to place the groups findings on NEWSPRINT and report back to the g enerall session.

MODULE H -- IMPACT EVALUATION

A. PURPOSE

To present the requirements of GPMS for impact evaluation; to orient or "refresh" trainees on the concepts of evaluation as a classical tool of social science; and to present evaluation methods and techniques appropriate for conducting impact evaluations within the framework of GPMS.

B. CONTENT OUTLINE

1. Introductory Lecture

   a. GPMS Requirements
   b. Guidance

      --Impact Evaluation (definitions)
      --Purpose of
      --Using Results
      --Contrast with Performance Assessment

         (Example A and Discussion ("High Fuel Costs")

      --Selecting the Project to Be Evaluated
      --Timing of Evaluation
      --Characteristics of Problems to Be Evaluated
      --Conducting Impact Evaluation

         E.g., Infant Mortality
         Example of impact measure contrasted with performance measure.

2. Research Design

   Why three types of evaluation: a brief introductory lecture

3. Non-Experimental Design

   a. Lecture
   b. Desk Exercise: Non-Experimental Models
      (See part H for instructions)

4. Quasi-Experimental Design

   a. Lecture
   b. Open Discussion on Fuel Bills example
   c. Desk Exercise: "Locating a Control Group"
   d. Lecture: Data Analysis for Quasi-Experimental Designs.

5. Experimental Design

a. Lecture
b. Desk Exercise: Experimental Designs
(See part H for details)
c. Summary Discussion

6. Research Techniques

1. Lecture
2. Small Group Case Study Exercise: "Developing an Impact Evaluation Design Using Case Study Forms 512A and 510s.

C. TIME

4.5 Hours

D. OBJECTIVES

Trainee will be able to design an impact evaluation for a typical CAA project.

Trainees will understand the criteria for selecting CAA projects to be evaluated.

E. PREPARATION

Trainer should be familiar with current evaluation literature. He or she should read and study the GPMS Case Study: Northeast Community Action Program, especially the 510s and 512As; the LEAA document Evaluation Issues (1975) which gives a very straight forward, but brief, presentation of classical evaluation concepts, as well as good references on "state-of-the-art" evaluation literature; and, most importantly, Evaluation Manual for Impact Evaluation (CSA, 1981), which is currently in draft form.

F. PROCEDURE

Keep the entire presentation and questions and answer sessions very informal. Handle "dumb" questions with sensitivity. Avoid an emphasis on "statistical analysis" because that usually scares half of the participants. Focus on "how would a logical person demonstrate that a project was having the intended impact?" What kind of "proofs" would persons skeptical of most things a CAA does require is a relatef kind of focus.

Keep the atmosphere positive and creative. Build confidence.

Destiled procedures for this module are presented in part H.

G. MATERIALS

Trainee's Workbook
Case Study 512As and 510s.
Lots of NEWPRINT and markers.

a. Lecture
b. Desk Exercise: Experimental Designs
(See part H for details)
c. Summary Discussion

6. Research Techniques

1. Lecture
2. Small Group Case Study Exercise: "Developing an Impact Evaluation Design Using Case Study Forms 512A and 510s.

C. TIME

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G. MATERIALS

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Case Study 512As and 510s.
Lots of NEWPRINT and markers.

H.

IMPACT EVALUATION

A. REQUIREMENTS

--PLANNING PHASE

EPN - The impact evaluation process is described in the EPN

During the planning phase, the evaluators must be active in helping the planners be certain that:

- Goals are measurable

- Sound baseline data is collected (problem, goal, impact)

- It is clear where and how the data necessary to measure goal achievement will be collected in the future, and:

  . when and who will be responsible for its collection.

- Impact measures are realistic, that the data necessary for them can be collected in the future.

--GRANT APPLICATION PHASE

Evaluation work program is developed as a project and submitted with the grant application as on a Form 512A.

--PERFORMANCE PHASE

Implement the EPN: establish the evaluation structures and implement the processes

Conduct an impact evaluation of at least one high priority project in the CAAs work program.

Ensure that the evaluation findings are fed back into the next four year planning cycle.

Begin planning for the impact evaluation for planning cycle E

B. GUIDANCE

IMPACT EVALUATION

- Analyzes whether change has occurred in the because of poverty in the community because of the CAAs project(s).

1. CAA defines the conditions of poverty it intends to change, and

   sets a goal to achieve so much of that change in 4 years.

2. Impact evaluation measures:

   a. whether or not, or how much of, the project's goal has been achieved, and

   b. whether or not, or how much of, a change in the condition of poverty in the community has occurred.

3. Whether or not the CAAs project was responsible for changing the causes and conditions of poverty in the community as opposed to factors other than the project causing the change.

PURPOSE

- How will the evaluation findings be used by the CAA?

1. Internal: Management staff, project staff, board of directors, advisory committees?

2. External: Participants, citizens, other agencies in the same field and funding sources, legislative committees and bodies, etc.?

   Other CAAs?

   CSA or SEOO?

USE OF RESULTS

--Expand effective projects

--Rethink project - change or drop; or use different strategy

- focus on didferent cause

--Adress a different problem, one which can be better impacted

--For effective projects, appeal for support to external audience of the evaluation.

--Evaluate only important projects which merit your energy and which could attract funds.

--Keep good cost/cost effectiveness data because most funding agencies will want to know this information; e.g., unit cost information on weatherization, per trainee, etc.

--Present two evaluation reports

1) One for Board and technical persons

2) Another for presentations in newspaper reports and newsletters.

CONTRAST WITH PERFORMANCE ASSESSMENT

--Performance Assessment: whether project activities are being implemented as planned, and

whether project objectives (outputs) are being accomplished

Performance measures used.

--Impact Evaluation: whether project goals have been achieved.

If so, there should be changes in the conditions of poverty within the community in the problem area defined.

Changes in the conditions of poverty in the community are measured with impact measures

--The example on the following page illustrates the difference in foci between assessment and impact evaluation:

- Questions for Assessment:

  1. Did the CAA weatherize 2,000 homes up to standard?

  2. Did they persuade the state public service commission to reduce rates for low income families?

  3. Was the cooperative created?

- Questions for Evaluation

  1. Was the condition of high fuel bills for the low income changed due to the achievement of the objectives by the CAA?

  2. Was the goal of reducing the percentage of income spent of fuel, during the winter months, from 30% to 15% for 4000 achieved?

Example A: High Fuel Costs for the Low Income

PROBLEM HAS:

1. Baseline Condition
   a. People pay 30% or income for fuel during winter months.
   b. 20% of population or 8000 are affected.
2. Causes
   a. Fuel wasted.
   b. Fuel cost too high.
   c. Delivery costs too high.

GOAL:

1. Change Condition
   a. Reduce fuel cost from 30% to 15% for 50% of affected population or 4000 people.

STRATEGY:

1. Change Cause
   a. Weatherize to conserve fuel.
   b. Reduce cost through rate change.
   c. Alternating delivery system.

OBJECTIVE:

1. Operationalize Strategy
   a. Weatherize 2000 homes to state standards within 24 months.
   b. Persuade state public service commission to reduce rates for low income families.
   c. Create delivery co-op--purchase won delivery truck and reduce delivery cost from $30 per month to $10 per month per family.

CONTRAST WITH PERFORMANCE ASSESSMENT (Continued)

--Types of Proof

-Assessment: demonstrates that certain activities of the work program have been performed and certain outcomes achieved.

-Impact Evaluation: Seeks to demonstrate that it was the activities of the CAA that were primarily responsible for changes in the conditions of poverty.

E.g., In the energy example, rule out that other forces caused the decrease in percentage of income devoted to fuel bills by low income persons.

Other forces could be:

. Shutting off the heat (unacceptable)
. Increasing the income of affected individuals (no decrease in consumption)
. _____

Demonstrate that these other forces were not operating.

--Performance Assessment is a necessary precondition of impact evaluation because:

. it demonstrates that the CAA conducted certain activities and achieved certain objectives which could plausible be expected to produce certain results.

SELECTING THE PROJECT TO BE EVALUATED

--When you select a project, you are also selecting a problem area, poverty condition, goal and strategy

--Selection criteria

1. Rank of the poverty problem

2. Priority of the project

3. Size of the impact expected (size of change)

4. Need to prove to public or potential funding sources that this type of porject is effective

5. Likelihood that favorable evaluation findings would attract funding or continue funding.

TIMING OF GOAL ACHIEVEMENT/IMPACT

--In first planning cycle, chose a project which will achieve some of the goal by the 2nd and 3rd years so it can be fed into the next planning cycle (about the 30th month).

CHARACTERISTICS OF PROBLEM

--Centrality

--Age of strategy

--Evaluability

- Are comparisons available/controls available?

- Are the needed data available

--Resources of the agency

CONDUCTING AN IMPACT EVALUATION

--IMPACT MEASURE

An indicator whose change represents a corresponding change (or at least some change in the same direction) in a condition of poverty, e.g., the unemployment rate reported by state agencies.

Or a cluster of indicators representing an improvement in a poverty condition,

E.g., in the health of the poor:

- reduction in infantant mortality rate

- reduction in the maternal mortality rate

- increase in the percentage of school age children innoculated.

Try to specify when (in what months or how long after the start-up of a project) the desired changes should begin occuring.

Documents the trends associated with the impact measure(s) selected:

-sometimes the change in the impact measure can be one of direction: instead of increasing from year-to-year, the infant fortality rate could start to decrease.

-sometimes, the change could be a reduction in the rate of change even though the change is an undesirable increase each year, i.e., reducing increases in energy rates from 10% a year to only 05% a year.

--THE FOUR DIMENSIONS OF IMPACT

--Form of impact

--Intensity of change

--Magnitude of change

--Focus of change:

- Individual
- Institution
- Community

E.g., will you measure the infant mortality rate for the community or the difference between the infant mortality rate of the low-income community and the ramainder of the community?

Infant mortality rate for community is 9/1,000, and--if the project is successful--it should be reduced to 6/1,000 in four years.

or

Current Mortality Rate		Planned Mortality Rate	
NonPoor	Poor	NonPoor	Poor
4/1,000	12/1,000	4/1,000	8/1,000

or

Poor Mortality Rate is three times that of the Non-Poor	Poor Mortality Rate will be two times that of the Non-Poor.

--VALIDITY OF IMPACT MEASURE

- It measures what it is support to measure

(See illustration on following page)

Problem: Substandard Housing

Impact Measures: Changes in rental prices (not relevant)

: Percentage of housing units rated as substandard (valid)

(But may not be if the reduction results from demolition without creation of any new units.

This is why "clusters" of measures are often useful: they look at several dimensions of the change at once.

WHAT IS AN IMPACT MEASURE?

Problem Area	Performance Measure: Individual	Impact Measure: Community
Substandard Housing	Number of individuals previously living in substandard housing rated up to city code, within the time frame of the Program.	Percentage reduction in substandard housing in the target area from before to after implementation of the Program.

Form: Quality of Housing

Intensity: Bringing houses up to local code. Alternative definitions of intensity of needed change standards defined by HUD, Bureau of the Census.

Magnitude: Number of houses to be affected within the target area. Alternative definitions: Neighborhood; Census tract; all affected individuals.

Possible problems with measure: Community definition: City could tear down all substandard houses and not provide replacements. That would lower the % of substandard housing in the community but would not be an accurate resolution of the problem of quality housing in the community since it would raise a new problem in the quantity of the housing available to low-income.

RESEARCH DESIGN

--IMPACT EVALUATION DEMONSTRATES:

1. That expected changes have occurred

2. That changes were due primarily to the strategies pursued (projects operated) by the CAA.

3. That changes were NOT due primarily to factors operating independently of the CAA.

--RESEARCH DESIGN:

1. Approach CAA uses to conduct its impact evaluation

2. Sets out:

   --What questions are to be answered

   --What data need to be collected

   --When the data are to be collected

   --How the data will be analyzed

3. Three major types of research design

   --Non-Experimental

   Has project achieved its goal?

   Have targeted poverty conditions changed?

   --Quasi-Experimental

   Some comparison is made to determine to see if the same goal or condition change was achieved among comparison group.

   E.g., in a target area or county in which a CAAs project did not operate.

In Quasi-Experimental designs, however, there are variables which are not controlled for.

E.g., did residents fron the non-target neighborhood come to the target neighborhood for services.

Maybe a similar program, unknown to the CAA, operated in the non-target neighborhoods.

Maybe the people were different ...

--Experimental

Randomly selected participants to control for all variables.

Difficult to accomplish in communitu-wide projects.

Difficult to sustain over an extended period of time, certainly past one year.

4. The differences in the three general types of design relate to:

--the energy required to maintain the comparison groups, e.g., making sure they are continually random, countering pressures to serve the "controls", etc.

--the cost required to maintain the comparison groups, e.g., collecting fol-ow-up infomration on persons not clients, etc.

--the degrees of certainty needed about the outcomes and consequences.

WHY ARE THERE THREE TYPES OF DESIGNS
FOR CONDUCTING AN IMPACT EVALUATION?

--If each of the three types of designs are adequate, why are there three types of designs needed?

- Each type of design will vary in the level of effort that the CAA must expend to conduct the analysis; and

- In the degree of certainty that the CAA has about the conclusions which it can draw from the results of its analysis.

--Why then ever to an experiment?

- To increase your degree of certainty that the CAA can have about the conclusions that it draws from the results.

  This is important if the CAA finds itself in a highly "skeptical" community

NON-EXPERIMENTAL DESIGNS

--Data collected on the performance and impact measures which are indicators of the degree to which changes have been made in the conditions of poverty or the project's goals have been reached.

--Data collected on performance and impact measures are collected from participants (whether project participants are individuals or an entire community which is to benefit from the CAA's project.

- "Community level" data are appropriate when the impact measure is a social indicator, e.g., percent reduction in unemployment.

--Data collection paoints vary according to design:

- In the pre-test/post-test design data on the condition of poverty which the CAA intends to change are collected from project participants prior to the start of the project (using the selected measures).

  . A second round of data on the measures are collected from participants after the results of the project are expected.

  . The intial data (pre-test) for a "BASELINE" against which the degree of change in the condition of poverty can be measured for project participants.

- In the post-test design, data are collected on impact measures only at the point (or points) at which change would be expected or the project goal has been achieved.

--These two variations on non-experimental designs serve differend types of evaluation needs.

- Use pre/post if CAA wants to demonstrate a specific level of change in the condition of poverty.

  The difference in the impact measure between the pre-test and the post-test can be used to calculate the specific levels of change in the conditions of poverty.

- Use post only is CAA wants to demonstrate that a goal has been achieved but the exact degree of change is less important to demonstrate.

--Analysis of the data collected varies

- Pre/Post: the degree of change in the condition of poverty is calculated.

  . When the change is expected in the conditions of individuals, the data on the impact measure for each project participant, collected before the project begins, is subtracted from the final dtaa on the impact measure for each project participant.

  . An average of the "change" score for each participant equals the project's overall degree of success.

  . With a community-level measure, the degree of change for the community as a whole is calculated, i.e., unemployment was at 5% before the project; it was at 3% after the project.

  . The project's degree of success was the reduction of unemployment by 2%.

  . The average of the project participants' final scores on the impace measure (or the community's score on the impact measure) is compared with the final score anticipated by the CAA in its Goal Statement, i.e., REDUCE UNEMPLOYMENT TO 3% BY THE END OF THE PROJECT.

  . BY THE END OF THE PROJECT UNEMPLOYMENT RATE WAS 3%. THEREFORE, THE CAA HAD MET ITS GOAL.

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--When should data be collected?

- AFTER change in the condition of poverty is expected.

--How much of a change in the condition of poverty is acceptable?

- Is the change "statistically significant", is it due to more than simple chance?

- Is the change socially significant?

--The final choice:

- If CAA whants to demonstrate a DEGREE of change in the impact measure for project participants, then it should employ pre-test/post-test design.

  . To use that design it must have BASELINE data on the impact measure before the project begins.

  . Baseline may be relatively easy to acquire because it was collected as part of needs assessment BUT HOW WILL POST data be collected?

- If a CAA wants to demonstrate primarily that a goal has been achieved, then the post-test design is both adequate and efficient:

  . It simply compares an average of the project participants' final scores on the impact measures (or the community's scores) with the FINAL SOCRE ANTICIPATED BY THE CAA IN ITS GOAL STATEMENT.

--Two major strengths of non-experimental designs.

- Easy to administer

- Use relatively few of the resources of the CAA

--Critical Drawback:

- It is impossible to prove CONCLUSIVELY that the change in the conditions of poverty were caused by the activities of the CAA and not by other factors.
- Three examples illustrate the importance of this point. Let's cover them in a desk exercise.

Desk Exercise

NON-EXPERIMENTAL MODELS

Objective

To understand the weaknesses of the non-experimental reseaech designs.

Activities

1. Read each of the three examples which follow. Answer the questions asked at the end of each example and develop a rationale for your answer. Be prepares to share your answers and rationales with the group.

Example A: The goal of a CAA is to reduce the percentage of income spent on fuel lil by the low-income persons in a community from 30% to 15%. Its strategy is to weatherize homes. It institutes its project in November and finishes it in April. It decides to do an impact evaluation of the effect of its strategy of weatherization on reducing the fuel oil bills of project participants using a pre-test/post-test design. It collects information on fuel oil bills (the impact measure) before the project's inception (in October) and after the project's completion (in May). If finds that the percentage of income that has been spent on fuel has been reduced from 30% to 15%. BUT IS THAT BECAUSE OF THE ACTIVITIES OF THE CAA?

Example B. The CAA realizes that the appropriate points at which to collect data on the percentage of income spent on fuel oil (the impact measure) are from the October before the project's inception to the October after the project's completion. In this way, the effects of weather are neutralized (provided that one October is not unusually warmer than the other). It collects the data and finds that the percentage of income spent on fuel is unchanged from before to after the project. It is still 30% of the income of the project participants. FROM THIS INFORMATION ALONE SHOULD THE CAA CONCLUDE THAT ITS PROJECT HAS HAD NO EFFECT ON THE FUEL BILLS OF THE LOW-INCOME?

Example C. In an employment project, the CAA seeks to train and place 100 "unemployable" individuals. The project is to run for one year. At the end of one year, 40 of the original participants remain in the project. The CAA is able to place all 40 in full-time jobs. IS ITS PROJECT A SUCCESS?

* *

NOTE TO THE INSTRUCTOR:

The following is text to guide you in the discussion of the desk exercise on "Non-Experimental Designs". The trainees have only the information on Examples A, B, and C which is enclosed in the boxes below.

* *

There is, however, a critical drawback to non-experimental designs. With non-experimental designs, it is impossible to prove conclusively that the change in the conditions of poverty were caused by the activities of the CAA and not by other factors.

Three examples illustrate the importance of this point.

Example A. The goal of a CAA is to reduce the percentage of income spent on fuel oil by the low-income from 30% to 15%. Its strategy is to weatherize homes. It institutes its project in November and finishes it in April. It decides to do an impact evaluation of the effect of its strategy of weatherization on reducing the fuel oil bills of project participants using a pre-test/post-test design. It collects information on fuel oil bills (the impact measure) before the project's inception (in October) and after the project's completion (in May). It finds that the percentage of income that has been spent on fuel has been reduced from 30% to 15%. But is that because of the acitivities of the CAA? Not necessarily. An alternative explanation exists. Fuel oil bills would go down from October to May because of the weather. Thus. using a pre-test/post-test design only, the CAA cannot draw any conclusion about the success of its project in reducing the fuel bills of low-income project participants. In books on research design, this problem is called the effect of maturation.

Example B: The CAA realizes that the appropriate points at which to collect data on the percentage of income spent on fuel oil (the impact measure) are from the October before the project's inception to the October after the project's completion. In this way, the effects of weather are neutralized (provided that one October is not unusually warmer than the other). It collects the data and finds that the percentage of income spent on fuel is unchanged from before to after the project. It is still 30% of the income of the project participants. From this information alone, should the CAA conclude that its project has had no effect of the fuel bills of the low-income? Not necessarily. Fuel oil costs may have risen so dramatically over the course of the project year that even with weatherization activities, bills were at 30% of income. Without the project, the bills might have been at 60% of income. However, without additional information (i.e. on increases in the price of fuel), the CAA could not judge whether its project had been a failure. In books on research design, this problem is called the effect of history.

Example C: In an employment project, the CAA seeks to train and place 100 "unemployable" individuals. The project is to run for one year. At the end of one year, 40 of the original participants remain in the project. The CAA is able to place all 40 in full-time jobs. Is its project a success? Possibly not. It is possible that the 40 participants who stayed with the project and who were placed, were placed because they were highly motivated. Their high motivation caused them to both stay with the project and to be hired. That motivation would have gotten them jobs -- even without the efforts of the CAA. The 60 individuals who dropped out of the project might be the true "unemployables" -- and the type of individuals for whom the project was intended and on whom the results of the project should be measured. Yet those 60 individuals were not available for measurement because they had dropped out of the project. Thus, the CAA is unable to measure the true effect of its project activities. In books on research design, this problem is called the effect of mortality.

There are two methods by which the CAA can rule out or judge the effects of other factors in changing the conditions of poverty in the impacted community. The first method is to consider which other factors could plausibly be having an effect on the goal of the CAA, to measure the potential effects of those other factors explicitly, and to judge their potential effects on the condition that the CAA wished to effect. In Example A, the CAA would explicitly consider that the weather would naturally be warmer in May than in October and so not conduct the post-test measure of fuel oil bills until the October after completion of the project (and then not draw any conclusions until after checking whether the October weather was in any way unusual). In Example B, it would keep records of the price of fuel oil and calculate the percentage of income that would have gone to fuel oil if the CAA's project had not been in existence. In Example C, the CAA could administer a test in motivation (or test for any other factors that would cause individuals to both drop out of their project and prevent their employment) to all 100 original project participants. If the participants and the drop-outs did not differ significantly on motivation (or any major factor), then the CAA could conclude, with a degree of certainty, that its project was responsible for ultimate job placement.

The success of this approach to ruling out the potential effects of other factors on the change in the impact measure, is dependent upon the CAA being able to recognize, to measure, and to rule out all potential factors that might have an effect on the condition which the CAA's project is to effect. These factors might also include external agencies which have launched projects in the CAA's impacted communtiy. The CAA might be able to identify the efforts of these external agencies during the course of the Resource Analysis which is part of the planning phase of GPMS. The important point in ruling out the potential effects of external agency actions is to know what efforts were mounted and what changes

could be expected from those agency efforts. At the points at which those changes should be felt, the CAA could collect additional data to demonstrate whether changes had, in fact, come after the efforts of the external agency had been completed.

An alternative method to demonstrate that the activities of the CAA were responsible for changes in the condition of poverty (as manifested in the impact measure), is to employ a quasi-experimental design. In quasi-experimental designs, additional data are collected in order to rule out specifically the potential effects of other factors on the condition of poverty which the CAA wishes to change.

QUASI-EXPERIMENTAL DESIGNS

--In quasi-experimental designs, additional data are collected in order TO DEMONSTRATE that the project undertaken by the CAA is RESPONSIBLE FOR CHANGES FOUND IN THE IMPACT MEASURE AFTER project completion.

--The additionally needed data can take two forms:

1. Collected from additional individuals or groups.

2. Collected from additional time points.

--The choice of form depends on what the CAA judges to be the MAJOR THREAT TO THE CONCLUSIONS which it draws from its project results.

--CONTROL GROUPS

- Data collected from additional individuals or groups NOT PARTICIPATING in the CAA project.

- Can help to rule out the possibility that factors other than its project ARE CAUSING CHANGES IN THE CONDITIONS OF ITS PROJECT PARTICIPANTS.

- A group which resembles project participants (i.e., if the control group is composed of low-income rural families, then the control group is composed of low-income rural families).

- Similar in all respects but one: THEY DO NOT RECEIVE THE BENEFITS OF THE CAA PROJECT.

- The similarities between the project participants and the control group imply that all of the other factors which could be causing changes in the condition of the project participants (after project participation) would be present for the control group as well.

  . Only difference is project participation.

  - Thus, if differences appeared between project participants and the control group on the condition of poverty (as indicated by differences in the impact measure), then the only thing which could be causing those differences would be the participation of the CAA group in the CAA project.

  - The potential effects of all other factors would be controlled (hence the term CONTROL GROUP).

- Using the control group, the CAA could strengthen its conclusion that its project was responsible for changes in the conditions of poverty as demonstrated by changes in the impact measure over time.

--ILLUSTRATION OF A QUASI-EXPERIMENTAL DESIGN WITH CONTROL GROUPS

- CAA Weatherization Project with a goal of reducing fuel bills of project participants from 30% to 15% of income after completion of its weatherization project.

1. Prior to project start-up and any data collection, a control group would be located. Similar in all respects that might touch on their use of fuel oil:

   . Age

   . Region of the country

   . Similarity in type and condition of houses

2. Data on fuel bills (the impact measure) of the control group would be collected at the same time as for the project participants.

   . The pre-test or baseline information for both groups.

   . The percentage of income initially going to pay for fuel should be roughly equivalent for those two groups at that point (approximately 30% of income).

3. The houses of the participants would be weatherized. The houses of the controls WOULD NOT. The groups would DIFFER IN THAT RESPECT ALONE.

4. At a suitable point in the future (i.e., the same time, the next year after project results could be expected), the fuel bills of both project participants and the control group would be collected and compared.

   Expected result: the fuel bills of project participants would have been reduced to 15% of income (the CAA goal is met), while the fuel bills of the control group would have remained the same at 30% because nothing in their situation would have changed to alleviate that condition. THUS, THE CAA COULD CONCLUDE THAT ONLY ITS PROJECT COULD HAVE BEEN RESPONSIBLE FOR THE REDUCTION IN THE FUEL BILLS OF PROJECT PARTICIPANTS.

5. Discussion.

   What if the CAA found that the fuel bills of project participants remained at 30% of income? How could it use the control group to demonstrate that the project had an impact on the fuel bills of project participants even if the goal was not met?

6. The use of control groups implies that the CAA will have to take several additional steps over and above the steps needed to conduct a non-experimental design.

   It will have to:

   - Locate an appropriate control group

   - Collect data from the control group on the impact measure at the same time-points that it collects data on the impact measure from project participants

   - Analyze the data twice --first to affirm that the project participants have changed in the condition of poverty or have met the CAA's goal and --second to affirm that differences exist in the post-test impact measures between project participants and the control group.

* *

Note to the Trainer

The following gives you background information to lead the discussion suggested in item 5, on the preceeding page.

However, what if the CAA found that the fuel bills of project participants remained at 30% of income. How could it use the control group to demonstrate that the project had an impact on the fuel bills of project participants, even if the goal was not met? If the goal was not met because the price of fuel had increased so that it continued to take 30% of the income of project participants, then it should have increased to the point that it was consuming 60% of the income of the control group (effect of no weatherization + effect of higher fuel bills). Thus, the CAA can use the bills of the control group to prove that its weatherization project had an important effect on the fuel bills of low-income project participants.

In this case, the CAA may still view the need to reduce fuel bills to 15% of income as a critical goal to be achieved among the low-income. However, the results of the impact evaluation should demonstrate that the strategy of weatherization is, by itself, inadequate and must be supplemented.

* *

--LOCATING A CONTROL GROUP

- An appropriate comparison group may be defined by other individuals in the impacted community (or adjacent communities) who have not received project benefits (either directly or indirectly), or

- By comparable communities in which CAA (or other) projects are not operative, or by nationally defined standards (such as a national unemployment level).

- The important point about comparison (or control) groups is that they not be unusual in respects that may affect the impact measure.

  . They must not be beneficiaries of a "treatment" on the impact measure over which the CAA has no control

  . If they are, it will not be possible to compare the control group to project participants in order to measure the effect of CAA projects.

Desk Exercise

Locating a Control Group

Objective

To understand the practical value of control groups in the ability of a CAA to draw conclusions about the impact of its projects.

Activity

1. Read the two examples.

2. Answer the question(s) posed at the end of each example and provide your rationale.

Example A: A CAA sets up an employment project to reduce the area's unemployment rate by 2% -- from 10% to 8%.

It decides to use an adjoining county as the control group for its project. Economic conditions are the same in both the project and adjoining counties. The unemployment rate for both is 10%. The CAA operates its project and compares the unemployment rate in its area with the rate in the adjoining county. Both have been reduced by 2% -- from 10% to 8%. IS THE CAA's PROJECT A FAILURE?

WOULD THE UNEMPLOYMENT RATE HAVE BEEN REDUCED REGARDLESS OF THE CAA PROJECT, JUST AS THE RATE IN THE ADJOINING COUNTY WITH NO PROJECT WAS REDUCED?

Example B: A Headstart project is instituted in order to improve the reading socres of low-income children. A comparison group of middle-income children living in the same area was chosen. They do not receive the project bene-its. Using a post-test design, reading scores are compared for the two groups. No differences are found. WAS THE PROJECT A FAILURE BECAUSE THE HEADSTART CHILDREN DID NOT PERFORM BETTER THAN THE COMPARISON GROUP?

* *

NOTE TO INSTRUCTOR:

The following is text to guide you in the discussion of the desk exercise on "Locating a Control Group." The trainees have only the information on Examples A and B which is enclosed in the boxes below.

* *

Locating An Appropriate Control Group

Appropriate comparison groups can take many forms. As was discussed in the section on developing the standard for impact measures, an appropriate comparison group may be defined by other individuals in the impacted community (or adjacent communities) who have not received project benefits (either directly or indirectly), or by comparable communities in which CAA (or other) projects are not operative, or by nationally defined standards (such as a national unemployment level).

The important point about comparison (or control) groups is that they not be unusual in respects that may affect the impact measure. In other words, they must not be beneficiaries of a "treatment" on the impact measure over which the CAA has no control. If they are, then it will not be possible to compare the control group to project participants in order to measure the effect of CAA projects. Two examples will illustrate this point.

Example A: A CAA sets up an employment project to reduce the area's unemployment rate by 2% -- from 10% to 8%.

It decides to use an adjoining county as the control group for its project. Economic conditions are the same in both the project and adjoining counties. The unemployment rate for both is 10%. The CAA operates its project and compares the unemployment rate in its area with the rate in the adjoining county. Both have been reduced by 2% -- from 10% to 8%. Is the CAA's project a failure? Would the unemployment rate have been reduced regardless of the CAA project, just as the rate in the adjoining county, in which the CAA had no project, was reduced? Not necessarily. Another agency may have instituted an employment project (which did not touch the CAA's target area) in the adjoining county. A new industry may have opened. These other factors could be responsible for the reduction in the unemployment rate. No projects that would have an effect on the impact measure employed by the CAA should be operating in the control group. If the control group is to be employed to demonstrate what would have happened if the CAA had not instituted its project, then the control group should not be the recipient of either CAA or a comparable agency's benefits.

However, in the case in which a new employer opened and hired from both counties, then the county adjoining the CAA could still be used as a control group to measure the impact of the CAA's employment project on the impacted community. This would be the case because the community in which the CAA operated its project would receive the benefits of both the CAA project and the new employer, while the adjoining county would receive the benefit of the new employer alone. Thus, the distinction between the two communities would still be that the impacted community was receiving more benefits (via the CAA project) than was the control community. The effect of this additional benefit on the unemployment rate of the CAA community might be to decrease the unemployment rate from 10% to 6%, in the project community as compared with 10% to 8% in the control community.

Parenthetically, this example should also highlight the fact that knowledge of the CAA's area and the projects of relevant external agencies is critical to the successful conduct of an impact evaluation.

Example B: A Headstart project is instituted in order to improve the reading scores of low-income children. A comparison group of middle-income children living in the same area is chosen. They do not receive the project benefits. Using a post-test design, reading scores are compared for the two groups. No differences are found. Was the project a failure because the Headstsrt children did not perform better than the comparison group? Not necessarily! The control group had so many advantages that would affect reading scores over the Headstart children to begin with, that increases in reading ability over time and high reading scores would have been expected from the control group in any case. Thus, middle class children are not a good control group against which to demonstrate the impact of a Headstart reading project.

There are two ways that an appropriate control group for Headstart participants could be located. The first way would be to choose a control group which "matched" the Headstart children in every respect that could have an effect on reading scores. Since the two groups would be equivalent in reading and the circumstances which promote reading ability before the project began, any differences in reading scores which emerged after the project was completed could be attributable only to the Headstart project.

Middle class children could become an appropriate control group for Headstart participants under certain circumstances. If the Headstart project director wanted to demonstrate that her project enabled lower class children to "catch up" to the

reading scores of middle-class children, then middle-class children would become the control group using a pre-test/post-test design.

In the pre-test/post-test design, the reading scores of both groups of children would be measured prior to the start of the project. A clear difference in those scores should emerge, reflective of the advantages of the middle class children. At the end of the project, the reading scores of the two groups would again be collected and compared. If the CAA project was successful, the post-test scores of the two groups should be roughly equivalent. If they are, then the CAA could plausibly argue that its project had enabled lower-class children to catch-up (or, at least, reduce the gap in reading between the two groups). Under those circumstances, middle-class children are both a plausible and useful control group for participants in a Headstart project.

--DATA ANALYSIS FOR QUASI-EXPERIMENTAL DESIGNS USING CONTROL GROUPS

- Primary responsibility in an impact evaluation is to demonstrate that changes have occurred in the condition of poverty for project participants from BEFORE to AFTER completion of the project.

  . In a NON-EXPERIMENTAL design using pre/post format, that is done by calculating differences in the impact measures for project participants.

  In the post-test only format, a comparison of the results on the impact measure to the CAA's goal for the project is made.

  This component of the data analysis procedure for impact evaluation is UNCHANGED with quasi-experimental designs.

- Secondary responsibility in an impact evaluation is to demonstrate that the change that occurred WAS DUE TO THE CAA's project. A CONTROL GROUP is employed to do this.

  . The CAA compares differences on the impact measure for the TWO groups. There SHOULD BE A GREATER DEGREE OF CHANGE among project participants than among the control group is the CAA's project was successful.

- Data analysis in quasi-experimental designs has several stages:

  1. Socres must be compared on the impact measure for the project participants and the control group, before the project begins (on pre/post tests designs) in order to get a baseline difference in the two groups.

     E.g., an average of pre-test scores for project participants to an average of pre-test scores for the controls.

     E.g., the rates for two communities.

  2. Scores must be compared for project participants before and after completion of the project in order to demonstrate that change has occurred (pre/post format).

  3. Scores for project participants AFTER project completion must be COMPARED to CAA goals to establish whether goals have been reached (post-test only format).

4. Techniques used to demonstrate differences between project participants and the control group will be based on the criteria of statistical significance and social significance.

   E.g., the difference in the change between the project participants' scores and the controls' socres may be statistically significant--due to more than just chance.

   But the difference may be so small that the DIFFERENCE is not worth the cost and effort of the project.

- Time Series Data

1. Cases in which an appropriate comparison group cannot be located or would not be appropriate:

   . Project participants can form their own CONTROL group with the added DIMENSION OF TIME.

   . This second type of quasi-experimental design requires data from project participants be collected at several POINTS IN TIME.

   The additional data from OTHER TIME POINTS is used to establish a TREND IN THE BEHAVIOR OF PROJECT PARTICIPANTS.

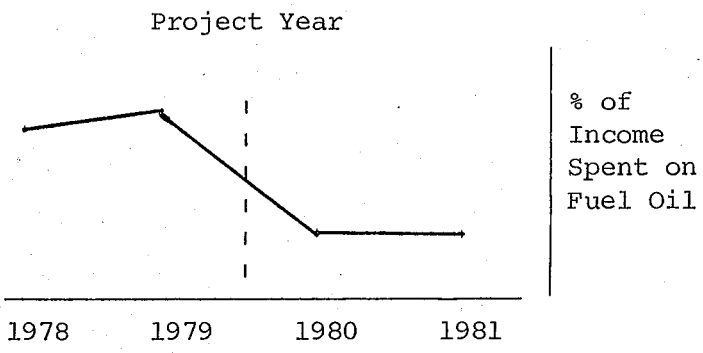
   IF THE PROJECT AFFECTS THE BEHAVIOR OF PROJECT PARTICIPANTS THEN THERE SHOULD BE A CHANGE IN THE TREND OF BEHAVIOR DEMONSTRATED BY PROJECT PARTICIPANTS FROM BEFORE TO AFTER COMPLETION OF THE PROJECT.

   THAT CHANGE IN THE TREND EXHIBITED BY PROJECT PARTICIPANTS COULD BE USED TO DEMONSTRATE THAT THE CAA's PROJECT HAD THE INTENDED IMPACT. Called "INTERRUPTED TIME SERIES."

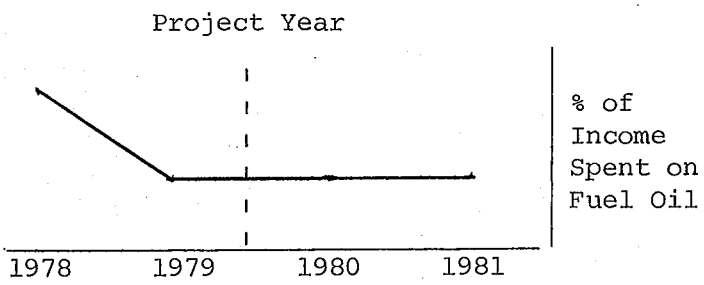
   E.g., weatherization projects. Collect data on percentages of income spent on fuel for a series of Octobers extending before and after project completion.

   Factor in the effects of inflation on fuel costs and plot (see illustration).

ILLUSTRATION OF WEATHERIZATION
PROJECT'S IMPACT



Difference due to the project



Weather was unusually mild in 79; after that the project had an effect

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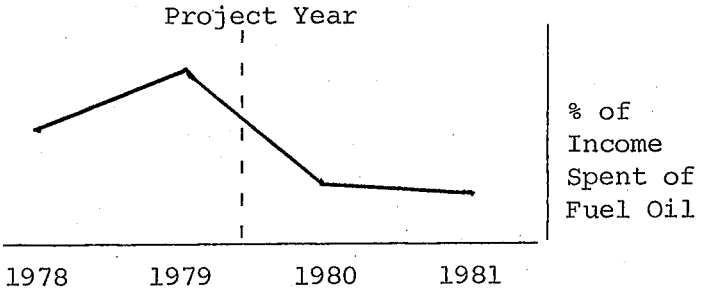

Weather unusually cold in 79; project did have an effect, although not as dramatic as if only the weather in 79 was examined.

- Major advantage of quasi-experimental designs is that they are relatively easy to administer and they do provide a far higher degred of CERTAINTY THAT THE PROJECTS OF THE CAA ARE RESPONSIBLE FOR (at least some) OF THE CHANGES IN THE IMPACT MEASURE FOR PROJECT PARTICIPANTS.

  . The do require that data be collected from appropriate comparison groups.

  . If they cannot be located, then from other POINTS IN TIME.

  . There are, however, several limitations in quasi-experimental models:

EXPERIMENTAL DESIGNS

--Same as quasi-experimental designs employing CONTROL GROUPS in all major respects but one:

INDIVIDUALS OR COMMUNITY WHICH RECEIVES THE BENEFIT OF THE CAA PROJECT IS SELECTED AT RANDOM.

RANDOM means that individuals are placed into the project group or the control group on the basis of chance.

The decision as to who is to receive the benefits of the CAA's project is made by the CAA but NOT BY THE POTENTIAL PROJECT PARTICIPANTS.

Thus the individuals who are highly motivated and who would have resolved the condition of poverty on their own without the assistance of the CAA (had such assistance not been forthcoming), are not clustered among project participants to an unusual extent.

Individuals with both low and high motivation are included among both project participants and controls. The factor of "self selection" is not a problem with experimental designs because no "self selection" takes place.

Do desk exercise which follows on next page.

--EXPERIMENTAL (or any) research design will not tell you WHY a project has NOT worked.

- It will tell you only that changes have either been made or have not been made and that if changes have been made, they are due to the project of the CAA.

- However, with the EXPERIMENTAL design, the CAA can be as sure as it is possible to be that its project is responsible for the changes found in the conditions of poverty for project members.

- In all other aspects--other than the random assignment of potential participants to project or control groups--EXPERIMENTAL designs are equivalent to quasi-experimental designs.

Desk Exercise

Experimental Design

Objective

To understand the many "alternative explanations" for a project's impact which are controlled for by the experimental design.

Activity

1. Read the example below.

2. Answer the questions posed at the end of the example and give your rationale.

Example

The CAA plans an employment project. Its goal is to reduce unemployment from 5% to 3% within 6 months. To reach that goal, 60 people must be placed in full-time jobs. One hundred individuals apply for the project. The CAA has resources to handle only 60 in the project. It decided to do an experiment to test the effectiveness of its project in employing individuals.

It takes 100 applicants and chooses 60 of them at random for inclusion in the project (The selection of one individual has no bearing on the selection of others. The specific method used for random selection was included in a standard text on statistical inference.). The other 40 individuals become the CONTROL GROUP.

Baseline data on employment status is collected from both project participants and the congrol group (pre-test). All 100 individuals are unemployed.

The sixty project participants enter the project. At the end of six months, the employment status of both project participants and the control group is noted and compared.

Thirty project participants are employed. Ten control group members are employed.

HAS THE GOAL BEEN REACHED?

HAS THE PROJECT HAD AN IMPACT ON THE EMPLOYMENT OF THE PREVIOUSLY UNEMPLOYED?

* *

NOTE TO INSTRUCTOR

The following text is to guide you in the discussion of the desk exercise on "Experimental Deisgns". The trainees have only the information enclosed in boxes below.

* *

For example, a CAA plans an employment project. Its goal is to reduce unemployment from 5% to 3% within 6 months. To reach that goal, 60 people must be placed in full-time jobs. One hundred individuals apply for the project. The CAA has resources to handle only 60 in the project. It decides to do an experiment to test the effectiveness of its project in employing individuals. It takes the 100 applicants and chooses 60 of them at random for inclusion in the project (The selection of one individuals had no bearing on the selection of others. The specific method used for random selection was included in a standard book on statistical inference.) The other 40 individuals become the control group.

Baseline data on employment status is collected from both project participants and the control group (pre-test). All 100 individuals are unemployed.

The sixty project participants enter the project.

At the end of six months, the employment status of both project participants and the control group is noted and comapred.

Thirty project participants are employed. Ten control group members are employed.

Two aspects of the data are analyzed. First, has the goal been reached? Not completely. Since only thirty of the project participants have found employment instead of sixty, unemployment has been reduced to only 4% instead of 3%. Second, has the project had an impact on the employment of the previously unemployed? Yes. Since 30 of the 60 participants were placed (50%) as compared with 10 of 40 control group members (25%), participation in the CAA's project is apparently better than finding a job without CAA assistance.

Two points should be noted. First, some of the control group members did find employment. That is to be expected since some highly motivated individuals would have been placed in the control

group because of the random selection process, even if they had wanted to be included in the CAA project. Second, if the CAA wants to find out why only 50% of its goal had been reached, it would have to research both project implementation and community conditions. That information would not be provided by the experimental design in the impact evaluation.

--IN SUMMARY, EXPERIMENTAL DESIGNS DEMONSTRATE THAT:

1. Changes have occurred in the conditions of poverty (as to non-experimental and quasi-experimental designs).

2. Changes were due primarily to the efforts of the CAA (as do quasi-experimental designs).

3. Change was NOT due to the participation in the CAA project of individuals who would have resolved their condition of poverty irrespective of the efforts of the CAA.

   . The problem of self-selection is resolved (experiments only).

RESEARCH TECHNIQUES

1. Excessive Data Collection

--A tendency to collect more data than can be used in the evaluation.

--To prevent his each type of data collected should be associated with a PARTICULAR evaluation question, proposition or hypothesis.

--To some extent this is assured by the specification of impact measures.

2. Sample Design and Size

--Requires the application of expert knowledge and experience.

- Make certain that you will sample the right people or units. For example, a survey during the day, mainly will include persons not working. They may be younger and/or older than the target population or more one sex or race than another.

- Sizes of samples are related to certain levels of accuracy in the findings of the evaluation.

- There are many other difficulties related to sampling (e.g., respone error, missing data, etc.). All of these must be treated by competent statistical specialists in order to provide assurance of valid data from the project.

3. Data processing needs

--How will data be coded and processed?

--What analytical treatments of the data will be performed?

4. Availability of information

--Who has it; can you get it?

--Remember, that while "baseline" data may be available from census data (especially for projects beginning in 1981), how will it be updated for 1985?

--If you are using official agency reports (e.g., police, employment service, stage school agencies, etc.) will they have updates in 1985?

--Are their interim updates for 1982, 1983, 1984?

--What if you need to go back in time for a time-series analysis, are data available for 1979, 1978, etc.?

--Sources

- Surveys

- Official records

- Library and document research

- Questionnaire Design

  . One of the most common data gathering tools.

  . Also a source of error: reliability and validity of instrument.

  . Use a standardized instrument

  . Check alternative sources to corroborate responses.

  . Who is best type of person to administer the questionnaire.

  . Trial use.

SMALL GROUP CASESTUDY EXERCISE

Developing an Impact Evaluation Research Design

OBJECTIVE

To provide practical understanding of how to develop an evaluation design for a CAA project.

To make the trainee aware of the problems and "trade-offs" which have to be made in selecting an evaluation design.

ACTIVITIES

1. Review the 512A assigned to your group. You will note that it has "impact measures" associated with it which appear on its companion Form 510 (Goal Statement).

2. Assess the impact measures. Change them or develop some of your own.

3. Assume that you will conduct the evaluation using a QUASI-EXPERIMENTAL design.

4. Develop the design in detail, including data collection methods, instruments needed, sources of the data, timing of the collection, etc. For the comparison group, explain its composition and how it will be convinced to cooperate (if it involved agencies or individuals).

5. As a group, summarize your design on NEWSPRINT for presentation to the general group.

6. As your group reports back, other groups can critique your design.

MODULE I -- RESOLUTION OF ISSUES AND WRAPUP

A. PURPOSE

To answer any unresolved questions posted to NEWSPRINT during the workshop and not answered to this point.

To resolve any final questions or issues.

To correct any misconceptions aroub the content presented.

B. CONTENT OUTLINE

Each trainer will have his or her own manner of conducting this final session.

C. TIME

1 Hour

D. OBJECTIVES

Trainees who are confident about their abilities to return to their CAAs and direct the evaluation and assessment efforts.

E. PREPARATION

Question trainees at breaks and other informal times to determine common misconceptions, etc.

F. PROCEDURE

Question and answer session.

G. MATERIALS

NA