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# Developing Evaluation Plans



# Major Stages in an Evaluation

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- Preliminary Research
- **Scoping and Planning**
- Fieldwork
- Writing, Quality Assurance, and Publication



# Scoping and Planning

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- Identify the specific questions or issues you will address
- Develop your evaluation plan and timelines
- Plan for internal and external communication throughout the evaluation



# Finding the Practical Balance

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- How can we provide the **most** value in the time and with the resources we have available?
- How much do we **need** to do to be able to answer the questions?
- What will we be able to say with this information?
- What risks do we face by doing or not doing additional fieldwork?



# Evaluation Questions

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## Evaluation questions might address:

- Program compliance (procedures, policy adherence)
- Program efficiency (service provided, clients served)
- Program effectiveness (results)
- Program economy (cost)
- Options for implementing or revising the program

Process evaluation

Outcome evaluation

Policy analysis

# Sample

## Process Evaluation Questions

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- How much of the target population is being served?
- What services are they receiving?
- Are required background checks performed?
- Is the program hiring and retaining qualified staff?

# Sample

## Outcome Evaluation Questions

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- Do participants of the job-training program obtain and remain in targeted jobs for a specified period of time?
- Do drug court graduates have lower recidivism rates than similar offenders who were sentenced to prison?

# Sample

## Policy Analysis Questions

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- How could the groundwater protection program be restructured to better achieve its legislative intent?
- What resources would be required for each option?
- What are the advantages and disadvantages of each option?



# Scoping



# Work plan

## Details!!!

Big picture roadmap  
of which questions  
the project will  
answer

[What is included?  
What is excluded?]

- What information will the team collect?
- Which methods will it use?
- Who will do what when?

# Elements of a Finding (5 C's)



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- **Criteria** (what should be)
- **Condition** (what is)
- **Cause** (what happened)
- **Consequence** (significance)
- **Corrective Action** (recommendation)



# Identify Criteria

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Many possible sources to define the desired condition

- **Identify standards** (review law and rules, program authorization, contracts; literature for benchmarks for similar programs that are published through federal, state, local, or professional association sources)
- **Consult experts** (program and research) in the relevant substantive area



# Develop Operational Definitions for Criteria

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- For example, a unit of treatment will be one hour of multi-systemic therapy
- Will recidivism be measured by arrests or convictions and for how long after drug court completion?
- Will reading success be making specified gains or reading at a specific grade level?



# Identify Condition

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- Is the program providing the contracted amount of multi-systemic therapy to clients?
- What is the recidivism rate for drug court graduates?
- Are participants making reading gains?



# Identify Cause

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- Are salary, conditions, or availability making it difficult to hire MST therapists?
- Is a residential treatment option available for drug court participants?
- Are students regularly attending the reading program?

# Identify

## Consequence/Significance

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- Are treatment fidelity and results low due to use of non-licensed counselors?
- Can drug courts reduce state costs by diverting participants from future prison sentences?
- Do reading gains justify continued funding of the program?

# Data Collection



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- Identify what you will measure, when, with what data, and how you will record results
- If an outcome evaluation will be done, ensure that required data exists (or will be collected routinely through time)



# How Many Sites?



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- If program has multiple sites/providers, will you examine multiple sites or just one?
- Collecting data from a single site is cheaper, but limits extent to which findings can be generalized
- Collecting data from multiple sites is more expensive, but provides more ability to generalize and reduces risk of wrong conclusions
- Budget, time, staff resources, and deadlines drive these decisions!

# Which Data?



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Data collection can include multiple methods and information sources

- Client case files
- Electronic data files
- Interviews
- Surveys (mail, telephone, web-based)
- Focus groups (participants and/or staff)

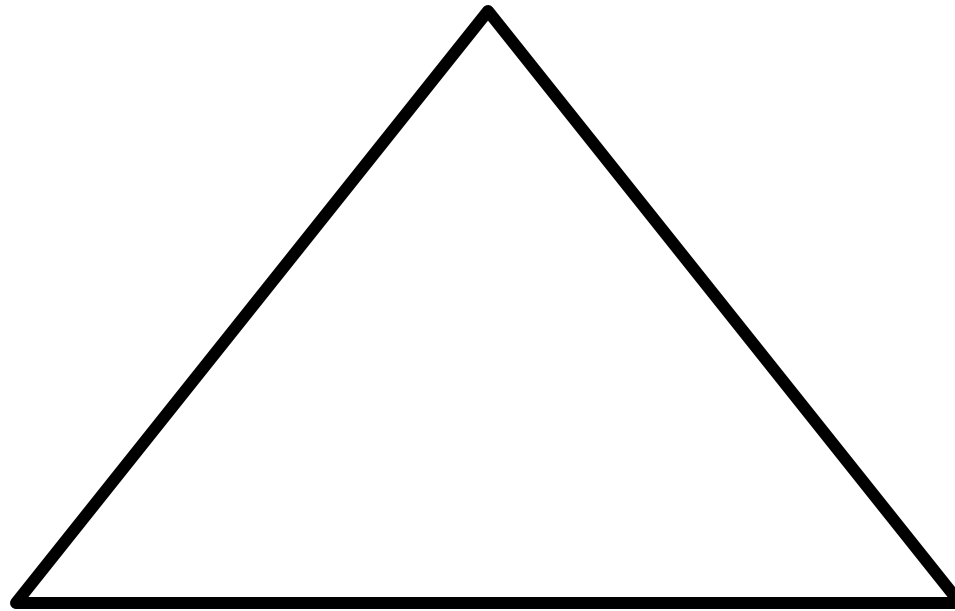
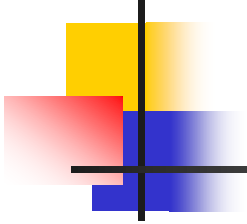
# Quantitative and Qualitative Data



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- To the extent possible, it is better to use multiple data collection methods to 'triangulate' your major conclusions
- Example – Review case files, survey a sample of clients, observe field activities, review trend data
- Triangulation helps you pin down condition, cause, and consequence/significance

# The Hierarchy of Evidence



# Data Source Quality



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Assess the credibility of secondary data

- Who collected the data?
- How were the data collected?
- When were the data collected?
- Why were the data collected?

# Data Source Timing



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- Snapshot
- One group pretest-posttest
- Time series (prior, during, after)
- With control group
- Case study



# Staff and Resources

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- Generally a team should have the collective competence (knowledge and skills) to conduct the work
- The number of persons needed to get the necessary work done in the allocated amount of time



# The Evaluation Plan

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An evaluation plan should describe

- What information you need
- How you will collect the information
- How you will analyze the information, and
- How you will administer the evaluation





# Elements of Evaluation Plans

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Evaluation Questions/ Objectives	Information Required	Source of Information	Method for Collecting Information	Who Will Collect Information and When	Method for Analyzing Information	Who Will Analyze Information and When	Communicate Results- When and to Whom

## Design Matrix for LR OPS employees

Researchable Question(s)	Information Required and (Source)	Scope and Methodology	Limitations	What This Analysis Will Likely Allow us to Say
1. What are OPS employees?	a. Identify statutes and rules defining the role of OPS employees (F.S., DMS rules), and determine appropriations	review relevant statutes and rules regarding OPS employment  FLAIR object codes run by agencies on salary and fringe for OPS		State agencies hire OPS employees to accomplish a range of agency goals
2. Why do state agencies hire them?	Agency-specific reasons that OPS employees are hired or retained, as opposed to hiring FTEs	Survey Human Capital Officers about why they hire OPS	Would have to make the reasons pretty generic, and would they be substantively different than retention reasons?	Most agencies reported that primary reason they hire OPS (e.g.) for seasonal or peak workloads, such as X.
3. How many OPS employees have state agencies used over the past few years?	total number of OPS per year for several years by agency  ratio of FTE to OPS for several years by agency	SSN count from FLAIR data: payroll or Workforce report averages		OPS employment is not a growing segment of the state government workforce (has not increased over time)  X agencies hire the highest proportion/number of OPS employees.
4. What types of positions do OPS employees occupy?	data on occupations of OPS  data on supervisory status of OPS	Analysis of DMS data, identifying clusters of occupations via the class codes.  HCOs will provide a few examples of occupations in the survey.	DMS data warehouse has documented limitations with PAR-based queries; we have no information that suggests we're in trouble, though.	OPS employees occupy a range of short term positions.  Most OPS occupy (e.g.) clerical positions.  Few OPS employees are managers or supervise state employees.
5. Why do agencies retain OPS?	Qualitative and quantitative data on reasons for retention; source = agency HCO	Analysis of OPB qualitative data, for in-depth examples of the work OPS accomplish.  Review OPB codes for retaining OPS: A,B, C, D.	OPB does a blanket approval	Agencies report OPS that are not exempt from the time limits are retained because they do mission-critical work.  Often agencies report that they would like to retain their OPS because of their experience; agencies say it's more inefficient to hire and train a new employee.

## WORK PLAN AND PROJECT SCHEDULE

Project:  
 Team members:  
 Publication date:

Project Administration			
Tasks and Methodology	Timeframe	Analyst	Status
<b>Set up administrative volume</b> with document authorizing the project, statement of independence, engagement letter, contact with AG and agency IG, work plan, requests for confidential information, project decision log, scoping and message documents, and copy of P&T			
<b>Develop schedule of project milestones</b> , including any critical path. Milestones include scoping meeting; planned updates with requestor and legislative staff; message meeting; complete background; draft to staff director, editor/coordinator, and QA; delivery of P&T, publication date			

Background (Descriptive information on the community-based substance abuse treatment)			
Tasks and Methodology	Timeframe	Analyst	Status
Review authorizing directive for the program			
Draft background section of report			

Q 1:			
Tasks and Methodology	Timeframe	Analyst	Status

Q 2:			
Tasks and Methodology	Timeframe	Analyst	Status

Q1. To what extent have the new Civil Citation programs required by s. 985.12, <i>Florida Statutes</i> , increased the number of youth diverted from the juvenile justice system? [Question]			
Criteria [Information required, source, method for collecting]	Who	When	Share
1. Review Florida Statutes to document legislative intent of Civil Citation to divert youth from the juvenile justice system	LW	11-1-13	
2. Review Florida Statutes and DJJ policies to identify who is eligible to be diverted by Civil Citation	LW	11-5-13	
<b>Condition</b>			
3. Using JIS data set (obtained from Emma in DJJ data shop), identify the youth who meet current Civil Citation eligibility requirements who entered the juvenile justice system in FY 2010-11, 2011-2012, and 2012-13			
4. Using the same data set, identify which county the eligible youth were adjudicated in, and whether the number of youth entering the juvenile justice system in each county changed from 2010-11, 11-12 to 2012-13 when the change occurred			
5. Interview DJJ managers and program descriptions to identify which counties operated Civil Citation Programs in 2012-13			
6. Using the data set, identify how many youth in each of these counties participated in the Civil Citation Program			
<b>Cause</b>			
7. Interview DJJ managers, sheriffs, and judges in the counties that did not participate to determine why			
8. If significant numbers of eligible youth in each participating county still entered the juvenile justice system (see #3), follow up with case managers, and judges if warranted, to determine why the youth were not diverted			
9. Analyze youth data to see if there are common characteristics of those not diverted, by county			
<b>Consequence</b>			
10. Determine the average cost per youth of participating in Civil Citation vs. entering the juvenile justice system. (Information from DJJ managers and program cost data from the department)			
11. Using information from #10, calculate the additional cost of eligible youth not diverted, in aggregate.			
12. Document by reviewing the Florida Statutes and interviewing DJJ managers that diverted youth do not incur a criminal record, whereas those who enter the juvenile justice system do, and the educational and employment ramifications of a record.			
<b>Conclusions (and Recommendations, if applicable)</b>			
13. <b>Summarize</b> the extent to which youth are being diverted from the juvenile justice system to Civil Citations.			Discuss with Phil and project requestor
14. In counties where a significant number of youth are still entering the juvenile justices system, summarize why they are not being diverted to the Civil Citation Program. Ask stakeholders how this condition could be changed.			
15. Summarize the extent to which the Civil Citation Program is reducing juvenile justice system costs.			
Q2. Determine the charged crimes and criminal histories of youth committed to residential treatment.			
Criteria	Who	When	Share
1.			

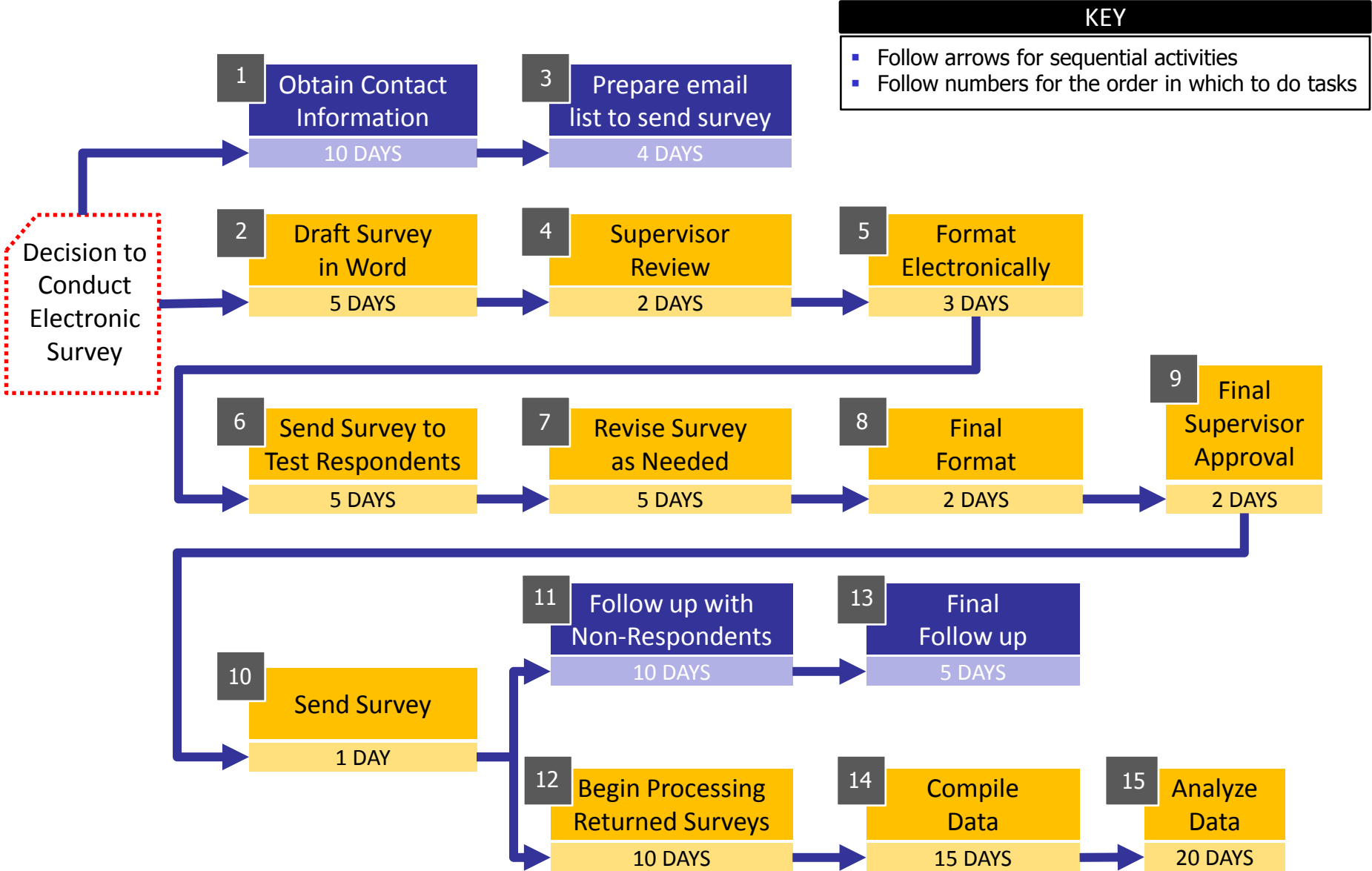
# Scheduling Evaluation Work



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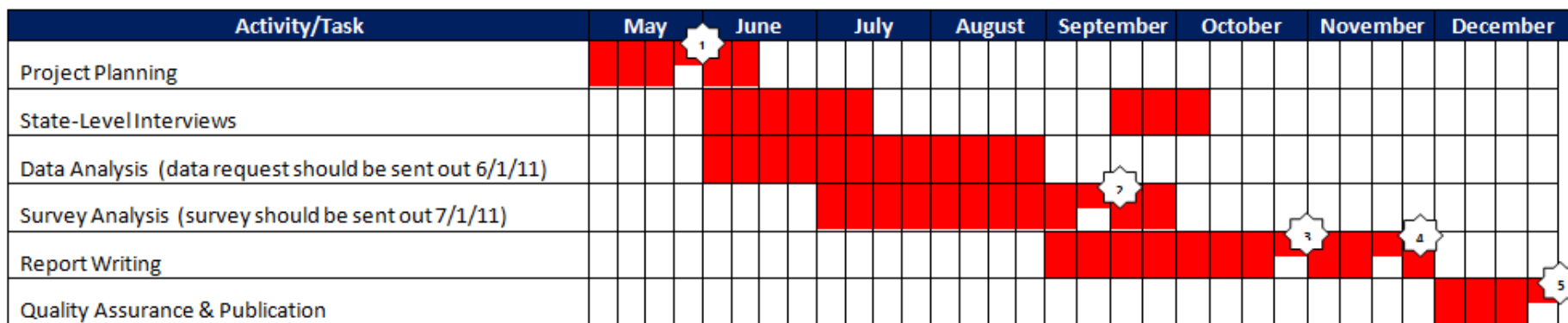
- Realistic time frames
- Plan backwards from completion date
- Designate progress points (milestones) and communication points
- Allocate adequate analysis time
- Take into account other events
- Revise and communicate as necessary

# PERT Charts



Milestone	Target Date	Completion Date	Comment
Preliminary Scoping	5/12/11	5/19/11	
Scoping meeting with legislative stakeholders	5/23/11		
<b>Scoping meeting with management (1)</b>	<b>6/1/11</b>		
Work plan completion	6/19/11		
Submit data request to DOC	6/1/11		Request going out this week, will revise timeline
Finalize data analysis	8/31/11		
Send survey to providers	7/1/11		
Summarize survey results	9/1/11		
Fieldwork meeting with management (if necessary)	7/15/11		
Fieldwork meeting with legislative stakeholders (if necessary)	7/18/11		
<b>Message meeting with management (2)</b>	<b>9/16/11</b>		
Message meeting with legislative staff	9/19/11		
<b>Draft to staff director (3)</b>	<b>10/30/11</b>		
<b>Draft to management (4)</b>	<b>11/21/11</b>		
Draft to QA	12/5/11		
Draft P&T	12/14/11		
<b>Report publication (statutory deadline 1/1/12) (5)</b>	<b>12/30/11</b>		

### Project Timeline



# Communication



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What to report when and to whom

- Identify key findings
- Interpret with stakeholders
- Communicate clearly and concisely
- Agree on timing of public info sharing



# Your Turn! Scenario 1



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The Department of Education is considering no longer offering summer school because many administrators think that online classes could meet the needs of students that traditionally take summer school classes. Moving from a summer school model to an online model may provide significant savings to the school system. However, there are several concerns, including the effect on high school graduation rates and the retention of many high quality teachers that count on their summer school salary as part of their annual income. In addition, many parents depend on summer school as a safe place for youth to spend time in the summer.

The Legislature has asked you to evaluate the summer school program and provide recommendations related to having some or all of the summer classes taught online. You have been given four months and a three-person team to conduct the review and prepare a written report.

Please describe how you would design and implement this evaluation. What key data sources would you use? What methods would you use to analyze them? Why? What are some of the challenges you would foresee, and how might you address them? Who are the key stakeholders and how will you communicate with them?

# Your Turn! Scenario 2



The Legislature has directed your office to evaluate issues at the agency that provides community-based residential services to the developmentally disabled. The agency has 12 residential sites in five counties and serves over 900 clients. There has been a high rate of turnover among counselors in the program; the average counselor is employed with the agency for 2.5 years. Counselors assist clients with life skills, such as employment and money management. In addition, there have been several stories in local papers of residents going missing for days at a time without the program contacting family members or law enforcement.

The Legislature is also thinking about reducing the number of sites and is interested in the results of your review before making this decision. Thus, you have been told to present your findings in 90 days. Your team of four has been asked to answer the following questions.

- 1) Why is there a high rate of turnover among counselors?
- 2) Are any sites following "best practices" for community-based residential services for the developmentally disabled?
- 3) Which sites are performing the best and which are performing the worst?
- 4) Are there problems with the management or leadership at any of the sites?

Describe how you would design and implement this evaluation. What data sources would you use? Why? What methods would you use to analyze the data? What are some of the challenges you foresee and how would you address them? Who are the key stakeholders and how will you communicate with them?

# Pitfalls to Avoid



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- Spending too much time perfecting the plan
- Over-documenting the situation
- Letting your schedule slip
- Losing the big picture while in the details
- Insufficient communication, inside and outside of your team!!!

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**Questions or Comments?**

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