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ABSTRACT
        This booklet identifies basic techniques and
methodologies for evaluating training and development programs. It
also examines a selected number of methodologies that appear to be
applicable to evaluating the results of program performance and
achievement in many social and economic programs. Section 1 provides
general information on evaluation and reviews some basic assumptions
about evaluative research. Section 2 gives a brief explanation of the
process of evaluation. Section 3 summarizes several selected program
evaluation models, with emphasis on comparing the models and
simplifying evaluation designs. Section 4 reviews other approaches to
evaluation, and the appendix contains an extensive bibliography, as
well as a sample evaluation form. (Author/JG)

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A Guide To Program

Evaluation

Vol. I

2

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1.0 INTRODUCTION

During the last two decades there has been increasing skepticism regarding the effectiveness of many federally-funded social and economic programs. Mixed feelings concerning both conventional and the more innovative techniques and approaches have introduced the need for means through which the success or failure of programs can be appropriately assessed. Questions have been raised about the techniques for determining program performance and achievement and the relevancy of organized programs in many areas, including community action, urban renewal, health, education, criminal justice, employment, transportation, and social welfare.

This volume seeks to identify the more basic techniques and methodologies for evaluating training and development programs. It is anticipated that such an identification will assist program administrators, evaluators, policy-makers, program staff persons, and citizens in understanding more fully existing program evaluation techniques.

"Interest in evaluation research," says Caro, "has been greatly stimulated in the past decade by widespread concern for domestic social reform. In an atmosphere charged with demands for rapid and significant change, a great many innovative action programs have been introduced."[1] The emergence of programs designed to bring about social reform has been accompanied by demands for strategic kinds of changes in our institutional service delivery systems. Various strategies have been utilized in planning the more innovative and experimental program designs. This handbook examines a selected number of methodologies which appear to be applicable -- with some modifications, perhaps -- to evaluating the results of program performance and achievement in many social and economic programs.

Related materials about evaluation research designs have been summarized into several models for measuring program results. While the information given is not comprehensive in scope, it does offer some guidance and direction to those concerned with developing evaluation designs. Applicable concepts and methods for measurement are also presented. Finally, the more basic intent of this volume is to document what is perceived to be relevant ideas and findings on social measurement techniques, and bibliographic sources.

This guide for evaluation includes five sections. Section I provides general information on evaluation and reviews some basic assumptions about evaluative research.

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Section II gives a brief explanation of the process of evaluation. Selected program evaluation models have been included in Section III, with emphasis on a comparison of model and the simplification of evaluation designs. The final two sections -- IV and V -- reviews other approaches to evaluation and contain bibliographic references and related materials, respectively.

Section One

General Information

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2.0 GENERAL INFORMATION

The need for objectively evaluating programs extends beyond the simple demand for systematic appraisal. One of the major contributions of evaluating and assessing the effectiveness of programs lies in an analysis of the program's worth and its objectives, the assumptions underlying these objectives, the rationale for believing that these activities are capable of attaining the objectives.

Several fundamental assumptions underlie the need for evaluating programs and activities:[2]

1) Any training or development program must be validated; that is, the efficiency and effectiveness of programs must be objectively determined. Programs must be subjected to critical evaluation and must demonstrate their worth if they are to be continued.

2) Any training or development program can be improved. This is necessary even if the effectiveness of the program has been established. Innovative approaches may be developed, alternative courses of action may be delineated -- providing further refinements to the program's effectiveness.

3) Program improvements can be effectuated in the following manner:

    a) Objective and coordinated evaluation of every aspect of the operation.
    b) The application of imagination and creative thinking by program personnel.
    c) Deliberate collection of the observation, ideas, and thinking of all program personnel.
    d) Critical analysis and synthesis of findings, alternatives, and ideas.
    e) Systematic, time-phased development and tryout of policies and procedures as well as identification of resources (people, equipment, materials, time, space, and money) needed to carry out plans.

It follows from the above assumptions that certain principles must guide the evaluation effort. "To be effective, evaluation of training and development programs must be conducted in such a way that they are consistent with the purposes, objectives and goals and are in accordance with proven principles of evaluation. These are the principles which should guide all evaluation efforts:

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1) <u>Evaluation must b_ conducted in terms of purposes.</u> A critically important aspect of this principle is that the purposes of the evaluation must be clearly understood by all concerned.

2) <u>Evaluation must be cooperative.</u> All who are a part of the process of appraisal or who will be affected by it should participate in the process. In brief, total involvement is essential to the success of the project.

3) <u>Evaluation must be continuous.</u> On-going appraisals should be conducted with appropriate analysis, follow-up, and re-appraisal. The form, emphasis, and focus may shift, but the evaluation process must be one that never stops -- a continuous process.

4) <u>Evaluation must be specific.</u> Specificity is the key to successful evaluation. To the extent that evaluation pinpoints strengths and weaknesses, it can serve the purpose for which it was intended. Generalizations contribute nothing to an improvement or demonstration program.

5) <u>Evaluation must provide a means for appraisal.</u> Inherent in any form of evaluation must be the means and focus for personnel to be able to appraise themselves, their practices, and their products. This holds true for social agencies, government, business and industry, educational institutions, and other institutions.

6) <u>Evaluation must be based on a uniform and objective methodology.</u> Prior to an attempt at evaluation should be the establishment of standards and basic criteria. These standards and criteria must be acceptable, readily applicable and observable in product and process. Uniformity in procedure and in standards for measurement insures comparable findings and conclusions.

2.1   The Evaluation Process

The purpose of evaluation research is to provide information for decision-makers about programs. It is not a single-step process. Instead, it embodies a body of concepts which are applied in such a way that they can contribute to the improvement of programs and practical activities.

Suchman, in defining evaluation, provides key conceptual elements in a definition of evaluation from a methodological point of view. These include the following:

1) a planned program of deliberate intervention, not just any natural or 'accidental' event; 2) an objective or goal which is considered desirable or has some positive value, not simply whatever change occurs; and 3) a method for determining the degree to which the planned program achieves the desired objectives. Evaluative research asks about the kind of change desired, the means by which this change is to be brought about, and the signs according to which such change can be recognized.[3] He further advises that an evaluation study should extend beyond the administrative goal of assigning a passing or failing grade to the program. It is believed that it should attempt to find out why a program was or was not effective (a research goal). To provide such answers requires an analysis of such factors as 1) the attributes of the program itself that make it more or less successful; 2) the population exposed to the program in terms of which subgroupd are reached and which affected; 3) the situational context within which the program takes place, such as auspices, locale, competing programs, and public opinion; and 4) the different kinds of effects produced by the program, such as cognitive, attitudinal or behavioral, long or short term, unitary or multiple. Special attention should be given to negative side-effects. In this instance evaluation would entail more judging and in-depth research on conditions affecting success or failure.

The different viewpoints of authorities in the field reflect concern for information relative to program outcome and the value of the programs. Caro reviews rather thoroughly literature on evaluation and how the concept is defined by many authors. Summarizing what is contained in the overview of evaluation research, the viewpoints may be d ~ tized along several lines of inquiry. Some authors emphasize the data collection ct of evaluation; others, identify categories for evaluation; and still others dw on the judgmental dimensions of the evaluation process. Greenberg, Brooks, and Suchman, for instance, refer to evaluation as the "procedure by which programs are studied to ascertain their effectiveness in the fulfillment of goals."[4] They also emphasize the need to measure the relative impact of key program variables, and an attempt is made to identify essential categories for evaluation. Methodological considerations are also noted in a discussion of the judgmental dimension of evaluation. This dimension is viewed as one which combines performance data with a goal scale. Attempts are also made to assess worth or social utility. In the latter instance, the reader may find that evaluation is a process of making judgements relative to a program's worth, with emphasis on both input and output variables so that the achievement of program goals can be properly determined.

The next several pages will be devoted to a review of the process of evaluation, program evaluation models, other approaches to evaluation, the measurement and processing of data used, and an overview of major steps in setting up a general evaluation of programs.

Section Two

The Evaluation Process

3.0 THE PROCESS OF EVALUATION

Evaluation research is designed to provide answers to policymakers concerning decisions relative to the continuation of a program, extensions of activities and locations, modification of projects, or termination of programs, if it is found that they are ineffective.

Traditionally, evaluation research has consisted of five basic stages:

Stage 1. Goal assessment -- Finding out the goals of the program.
Stage 2. Goal achievement -- Translating the goals into measurable indicators of goal achievement.
Stage 3. External measurement -- Collecting data on the indicators for those who have not been exposed to the programs.
Stage 4. Internal measurement -- Collecting similar data on an equivalent group that has been exposed to the program.
Stage 5. Comparing the data on program participants and controls in terms of goal criteria.

In most evaluations, similar problem-solving procedures are used. Tracey lists several steps in problem-solving in his discussion on evaluating training and development systems:[5]

> First, the need for evaluation is recognized, the areas to be evaluated or measured are identified, and the procedures and instruments to be used in the evaluation are selected or developed. Then evaluators are chosen and trained in the procedures and in the use of the instruments. Once the data are collected and analyzed, conclusions are drawn and alternative courses of action are identified. Finally, the decision or course of action is subjected to trial, and the results are checked.

In general, these stages in the evaluative process will suffice in determining program successes and failures. It should be understood, however, that these are some pervasive problems associated with evaluation designs.

3.1 Evaluation Problems

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Using an educational program as an example, the audit may involve all training and development subsystems. Basically, the subsystems for educational program would likely include the following:

3.2.1. Philosophy and Goals. The object of scrutiny in this regard would be an exploration of basic beliefs about training and development that guide the plans and operations of activity, and how these beliefs relate to the stated goals of the organization.

3.2.2. Buildings and Facilities. An examination of buildings, space, equipment, and facilities are made for determining the adequacy and appropriateness of these facilities.

3.2.3. Management. The quality of the planning, organizing, direction, and control of the activity is evaluated.

3.2.4. Staff and Faculty. An audit is made of the qualification and performance of the implementers of educational training and policies.

3.2.5. Curriculum. The substance of the training program (the subject matter to be taught and learned) is analyzed for effectiveness. Basic instructional strategies are also assessed, including training methodology, media, and systems of trainee-instructor organization needed to conduct training.

3.2.6. Instructional Support. An analysis is made of instructional support activities such as instructor, training programs, training literature and publications, guidance and counseling services -- the adequacy of each type of support.

Evaluation designs for each of the training and development subsystems have been illustrated by Tracey. Some of the examples are shown in Figure 1.

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Figure 1

ILLUSTRATION OF AN EVALUATION DESIGN FOR TRAINING AND DEVELOPMENT
PROGRAMS (Principles and Criteria)*

BASIC COMPONENT	CRITERIA FOR MEASUREMENT	RATING STANDARDS	EVALUATION COMMENTS
I. Purpose and Philosophy -purpose -philosophy -objectives	A clear statement of purpose and role in the educational and business world. An institution's integrity is measured not only in terms of its stated purpose but also in terms of its genuine efforts to fulfill that purpose. A well-developed and appropriate statement for its specific role.	1. Satisfactory 2. Needs Improvement 3. Unsatisfactory	
II. Organization and Administration -Organizational chart -By-laws and personnel manuals	Coordinating various resources to accomplish the objectives of the agency and institution. There should be a clear differentiation between the policy-making functions of governing boards or committees and those in charge of administering policies.	1. Satisfactory 2. Needs Improvement 3. Unsatisfactory	

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ILLUSTRATION OF AN EVALUATION DESIGN FOR TRAINING AND DEVELOPMENT
PROGRAMS (Principles and Criteria)*

BASIC COMPONENT	CRITERIA FOR MEASUREMENT	RATING STANDARDS	EVALUATION COMMENTS
-Expressed evidence of independence			
III. Educational Program -Admission -Curriculum -Instruction	The program must be clearly related to the purposes of the institution. This must be demonstrated in policies on admission, content of curricula, graduation requirements, instructional methods and procedures, and quality of work required.	1. Satisfactory 2. Needs Improvement 3. Unsatisfactory	
IV. Financial Resources -Sources of Income -Stability of Income -Organization for proper administration -Educational Expenditures -Budget preparation -Budget control -Relationship to External Budget control	Financial resources of an institution is to be judged in relation to the basic purposes of the the institution. The organization of the business structure and the financial control of financial resources should reflect the fact that financial resources are tools of the enterprise. The institution should have sound budgeting and control, proper records, reporting,	1. Satisfactory 2. Needs Improvements 3. Unsatisfactory	

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ILLUSTRATION OF AN EVALUATION DESIGN FOR TRAINING AND DEVELOPMENT
PROGRAMS (Principles and Criteria)

BASIC COMPONENT	CRITERIA FOR MEASUREMENT	RATING STANDARDS	EVALUATION COMMENTS
-Accounting, Reporting, and auditing -Management of Income -Purchasing & Control	and auditing.		
V. Personnel -Recruitment and selection -Personnel organization -Training and preparation -Professional growth -Financial security -Tenure and academic f freedom -Criteria and procedure for evaluation -Promotions & salaries	The selection, development, and retention of competent personnel at all levels is of major importance. The relationship between personnel objectives and institutional purposes determines in large measure the effectiveness of programming. There should be personnel participation in the development of institutional policies. The performance of personnel determines the quality of the institution.	1. Satisfactory 2. Needs Improvement 3. Unsatisfactory	

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ILLUSTRATION OF AN EVALUATION DESIGN FOR TRAINING AND DEVELOPMENT
PROGRAMS (Principles and Criteria)

BASIC COMPONENTS	CRITERIA FOR MEASUREMENT	RATING STANDARDS	EVALUATION COMMENTS
VI. Management -Objectives -Long-range and short-range plans -Policy manual -Written policies -Procedure manual -Schedules -Special Programs -Organizing, staffing, and controlling -Training/Development Audit	There is an available statement of the objectives of training and development activity. This statement should be carefully written. Planning, programming, buggeting Policies should reflect and promote both enterprise and training and development activities. The policy manual should contain information relating to the following: screening, selection, assignment, training, evaluation, and follow-up of all personnel. A procedures manual should contain detailed directions pertaining to the following: the selection, procurement, storage, and use of training equipment and materials; orientation and upgrading of personnel, testing, and the identification of training techniques. The manual should be reviewed periodically and outmoded procedures should be eliminated.	1. Satisfactory 2. Needs Improvement 3. Unsatisfactory	

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ILLUSTRATION OF AN EVALUATION DESIGN FOR TRAINING AND DEVELOPMENT
PROGRAMS (Principles and Criteria)

BASIC COMPONENTS	CRITERIA FOR MEASUREMENT	RATING STANDARDS	EVALUATION COMMENTS
VII. Plant and Facilities -Existing plant facilities -Expansion of plant facilities -Maintenance	Determine basic planning requirements. Projections of training and plant facilities requirements should be based on an assessment of the condition and adequacy of existing buildings and other facilities. Plant and facilities planning is coordinated with curriculum planning and development; other types of services and operations. Plant and facilities requirements and plans are coordinated with the over-all institutional or business enterprise requirements and plans in all areas. Each institution should establish with the assistance of competent consultants a master plan for the existing facility. Expansion should be considered as long-range programming so that plant development can proceed in an	1. Satisfactory 2. Needs Improvement 3. In need of immediate attention 4. Unsatisfactory	21

ILLUSTRATION OF AN EVALUATION DESIGN FOR TRAINING AND DEVELOPMENT
PROGRAMS (Principles and Criteria)

BASIC COMPONENTS	CRITERIA FOR MEASUREMENT	RATING STANDARDS	EVALUATION COMMENTS
	orderly fashion, thus eliminating many problems before they occur. The development program should indicate space and function of all activities in terms of long-range planning. The duties and responsibilities for plant maintenance should be clearly defined and specifically assigned. In the interest of efficiency and economy the cost of maintenance and housekeeping should be constantly evaluated.		

The preceding materials outlined some of the problems encountered in conducting effective evaluations. The exhibits included are designed to illustrate some criteria necessary in evaluating educational programs.

The criteria used in making judgements about educational programs and social agencies are representative of standard-oriented evaluations. Stake provides two bases for judging the characteristics of an educational program. The first standard concerns relative standards as reflected by characteristics of alternative programs; the second is with respect to standards as reflected by personal judgements. The evaluator's comparisons and judgements reflect relative comparisons and absolute

judgements, as illustrated in Figure 2. Rational judgement in educational evaluation is a decision as to how much to pay attention to the standards of each reference group in deciding on a course of administrative action. This decision is more absolute in its comparison. Relative comparisons is accomplished in a similar manner but the standards are not taken from reference groups. They are taken from descriptions of other programs.

Figure 2

A REPRESENTATION OF THE PROCESS OF JUDGING THE MERIT
OF AN EDUCATIONAL PROGRAM
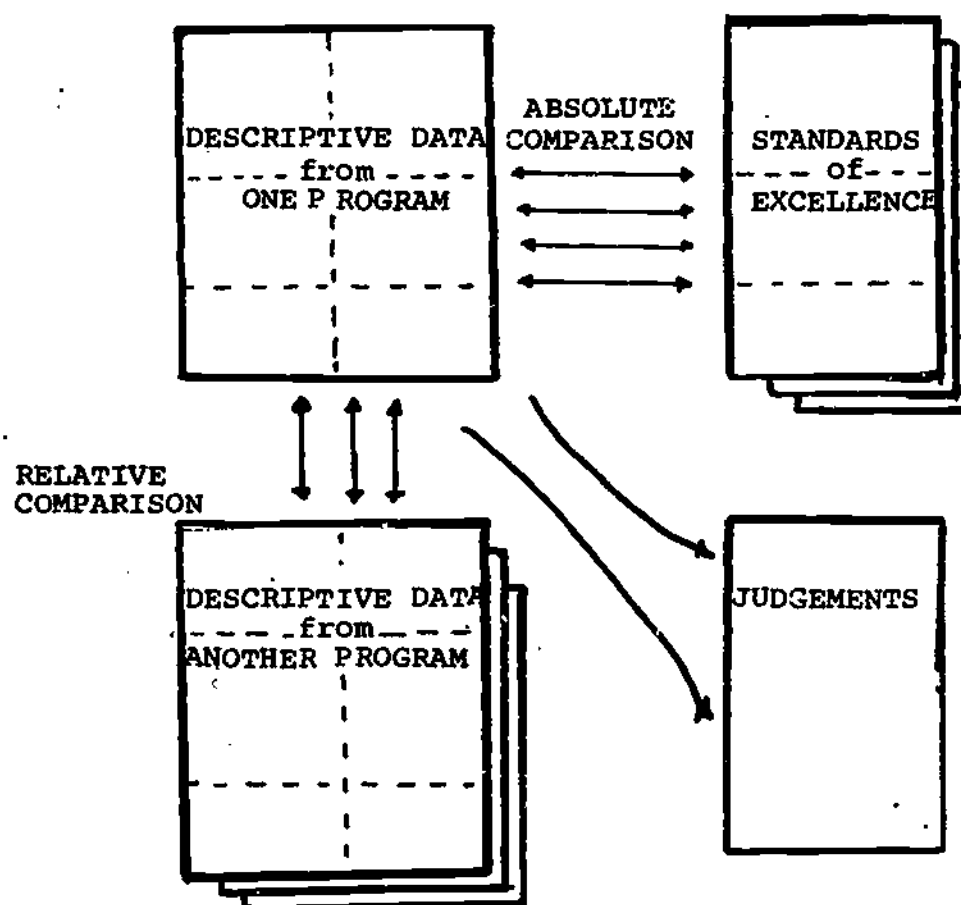
*Source: Robert E. Stake, "The Countenance of Educational Evaluation," Teachers College Record, Vol. 68, No. 7 (April, 1967), pp. 523-540.

The approach which we have briefly described illustrates one means of over-
coming evaluation problems in educational systems. The success of the approach is
dependent upon evaluators recruited from outside the system rather than administrators
of workers in the educational programs. In the next several pages, we will review and
describe some approaches and models for evaluating varied types of training and de-
velopment programs. We will review those showing greatest promise for reform in the
traditional methods for assessing program effectiveness.

Section Three

Program Evaluation Models

4.0   PROGRAM EVALUATION MODELS

A number of approaches and models for evaluation have been developed.   In seeking to conceptualize the various approaches to evaluation, two research models were described in a study by Schulberg and Baker.[6]   Characteristics and limitations of the goal-attainment model and the system model are described below.

MODEL	CHARACTERISTICS	LIMITATIONS
Goal-Attainment	Integral components of this initial goal-setting, defining specific program objectives and goals in the evaluation process; selecting the appropriate methodology and criteria for determining the degree of success achieved in attaining the goal. The goal-attainment evaluation process not only proceeds to determine measures of the goal, but collects data and appraises the effect of the goal. The initial goal is then modified on the basis of the collected data. The researcher attempts to avoid bias of imposing his own objectives as criteria of the organization's effectiveness by turning to the administrator of the program for a statement of the goals to be used as criteria.	The assumption that specific goals can be evaluated and modified in isolation from other goals constitute an artificial, if not fallacious, approach. Much of the significance of the work is sacrificed in cases where program administrators do not intend to achieve the goals studied by the researcher.
System Model	The system model of evaluation is concerned with establishing a working model of a social unit which is capable of achieving a goal. This model is a multi-functional unit.	Not readily adaptable to non-bureaucratic organizations or relatively loose organizational structures.

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MODEL	CHARACTERISTICS	LIMITATIONS
	There is also recognition that an organization must fulfill at least four functions: (1) the achievement of goals and subgoals; (2) the effective coordination of organizational subuhits; (3) the acquisition and maintenance of necessary resources; and (4) the adaptation of the organization to the environment and to its internal demands.	Time discrepancy often occurs between administrators and evaluators.
	The system model establishes the degree to which an organization realizes its goals under a given set of conditions. Instead of simply identifying the goals of the organization and proceeding to study whether they are attained, the system model requires a determination by the analyst of what is considered to be a highly effective allocation of means.	Problems of blocked feedback to the organization.
	Consideration is given to feedback mechanisms, i.e., the processes through which the effects of organizational actions are reported back to the organization and compared with desired performance.	
	The system model also suggests a variety of linkages and feedback mechanisms which can be used to bridge the gap between research findings and program modification. The model also has utility for determining the factors associated with effective integration of findings.	

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The preceding narrative portrayal of the goal-attainment model and system model brings into focus particular characteristics of the models and describes some of the limitations inherent in the requirements for evaluation.

Evaluation is most effective when it is a continuous process of program assessment and improvement. It should be the kind of on-going process which focuses on the "why" of a program, and supplies answers concerning why a program is succeeding or failing. A thorough appraisal of program activities requires an analysis of the attributes which contribute to success; the population exposed to the program, including target subgroups affected; the environmental or situational context within which the program takes place, locale, etc.; and the kinds of effects produced by the program -- cognitive, attitudinal, behavioral, long or short-term, unitary or multiple, including any negative side effects.

Evaluative research is at the core of good management, and constitutes an indispensable element in the administrative process. In this vein, the administrative process is viewed as "cycle" which includes such activities as,

> decision-making
> programming
> communicating
> controlling
> re-appraising

Accepting this cyclical concept of administrative activity, then, evaluation research becomes programmatic research whose major function is to aid administrators or program operators to plan and adjust activities. Suchman identifies a sequence of development which relates to major aspects of programmatic activity.[7] He also states that there is constant interaction among them "with success at one stage, and failure at any process forward to the next stage, and failure at any stage leading to a recycling to some earlier stage." The sequence, in logical progression, follows:

RESEARCH⟶PLANNING⟶DEMONSTRATION⟶OPERATION

According to Suchman, this Process Model has been applied by Guba and Clark to educational programs. Research leads to two stages of development (invention and design) which is followed by two stages of diffusion (dissemination and demonstration) which, in turn, leads to three stages of adoption (trial, installation, and institutionalization). He further advises that each step has its own objectives and appropriate criteria of success or failure.

There are also other approaches to evaluation and specialized models for par-
ticular programs. Aronson and Sherwood discusses an evaluation model adopted by an
organization called Opportunities for Youth (OFY). The model adopted by this organi-
zation was that of an "action-research demonstration, the purpose of which was to
discover effective and efficient ways of allocating resources in attacking social
problems."[8] The action-research demonstration contained the following features:

AGENCY MODEL

General Features of the Model

a) An objective or set of objectives -- the criteria by which the suc-
cess or failure of the demonstration will ultimately be judged;

b) A rationale -- the line of reasoning by which it hopes to achieve
its objectives (building upon selected variables believed to be cru-
cial in dealing with the particular social problem, the rationale
explains why changes in these variables will alleviate the problem;

c) Strategies of avenues for intervention -- programs suggested by the
rationale and the impact model that connects the program procedures
and the kinds of changes the program is designed to produce;

d) Evaluation -- the procedures to determine whether the program achieves
its objectives.

The last features in the list above (Item d) calls for an evaluation of the
effectiveness of the approach used to study behavior-change components. The research
model for evaluation of action demonstrations with the above features has an experi-
mental format. The chief characteristics of the experimental format relates to the
control the experimenter has over salient variables. The experimental format permits
designs such that, ideally, a researcher can limit the number of variables, and con-
trol or manipulate them as well. An evaluator seeking to determine the cause and ef-
fect relationships may design an experiment such that the variation in the independent
or casual variable might, through experimental manipulation, be maximized so as to
render its impact upon the dependent variable or effect more visible.

One objective of experimental research is to secure two groups virtually
identical in all things conceivably related to the dependent variable. In conducting

an experiment, groups are exposed to programs, situations, and special procedures, and note the effects. A test of knowledge is rendered at Time 1 (the first exposure to treatment or program activities). After a given length of time, a second test of knowledge is administered (Time 2). The control group undergoes exactly the same kind of exposure as the experimental group except it is exposed to conventional activities rather than the resource type. A diagram illustrating the comparison of the After versus the Before differences in an experimental format follows:

Resources

	Before	After	COMPARE:
Experimental Group	Knowledge Time 1	Knowledge Time 2	Experimental $(KT_2 - KT_1)$[9]
			vs.
Control Group	Knowledge Time 1	Knowledge Time 2	Control $(KT_2 - KT_1)$

Conventional
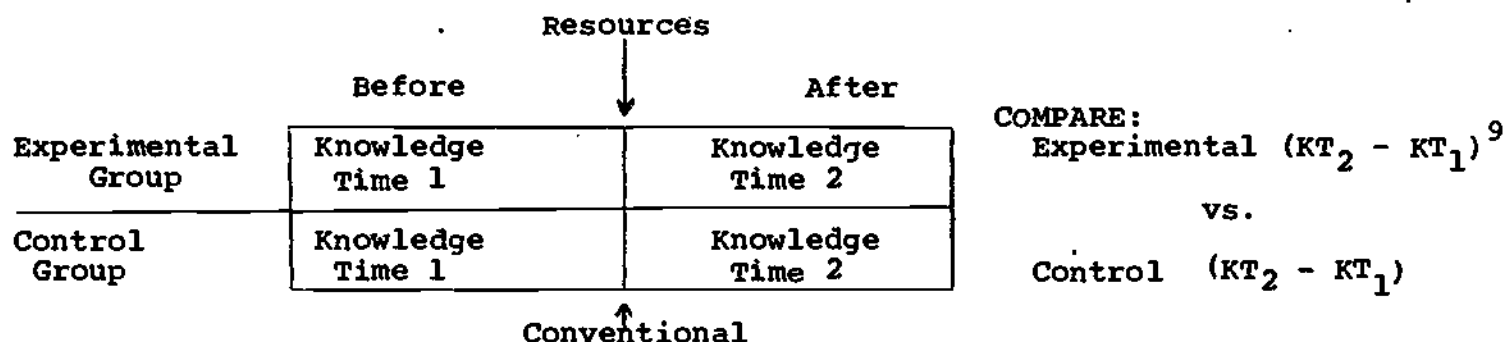
4.1 Basic Questions Regarding the Experimental Approach

There are at least three questions raised regarding the experimental procedure:

Why do the groups have to be identical?
How are they made so?
Why the control group?

In reference to the first question, it is asserted that if the groups are not identical in characteristics related to performance one does not know whether it was the treatment that caused the effect or whether the effect is attributable to the dissimiliarity of the two groups.

The second questionof how to make the two groups identical is somewhat more difficult to answer. A common strategy must be used to assign participants to the two groups. If the group has identical characteristics, they can simply be assigned randomly to each of the two groups. The assumption is that the two groups will be the same on all variables. Confidence is placed in the technique of random allocation rather than pure similiarity alone. Pair matching is another means of equating groups, in which a replica for each person in the experimental group is found and placed in the control group. There is a limitation to this technique, however. It is very difficult to find

a limited population who can be paired up in this way. The compromise strategy of fre-
quency matching is often used as a substitute to pair matching.

The third question,"Why the control group?" can be answered by simply saying
that the control group serves as a standard by which the resources or program activities --
acting as stimuli -- can be gauged. The standard activities or resources used in pro-
grams are conventional situations or methods. Exposure to experimental activities by
one group enables the program to be evaluated on its merits and potential for effective-
ness.

4.1.1. An Alternative Methodology

Weiss and Rein discuss at length a role for experimental design in the evaluation
of broad-aim programs and sketch an outline of an approach considered to be generally
superior to experimental design as a methodology for evaluating programs.[10] The recom-
mended approach is characterized by the following:

a) Process-oriented qualitative research
b) Historical research
c) Case study or comparative research

The research approach is the same, but the first characterization (Item a) emphasizes
the type of data which are collected; the second (Item b) emphasizes the method's con-
cern with the development of events through time; while the third emphasizes the utili-
zation of a single case or small set of cases as a basis for generalization to a larger
class.

Several frameworks might prove useful for historical description, including
those of system theory, of unfolding drama-like events on which a plot structure can be
imposed, and of an interaction of political forces. For program evaluation, the ideas
of system change or what is now being referred to institutional change appear to be
central, according to the authors, are designed to guide attention to the sort of events
or happenings which should be observed and recorded in data-gathering, to the kind of in-
quiries which must be answered in an analysis and interpretation of the data, and the
kind of interfaces and/or connections which should be demonstrated in an evaluation
report.

A brief description of the systems approach and the dramaturgic approach follows:

The Systems Approach - This approach has been discussed earlier in this report
when a comparison was made between the Systems Model for evaluation and the Goal-Attain-
ment Model. However, only characteristics and limitations of the models were compared,

with little detail of the basic elements or components utilized in an evaluation. The systems framework is generally useful in the conceptualization of events and other phenomena considered pertinent to an inquiry, in determining the scope of an investigation, in suggesting the roles to be played by various actors, and in providing general ideas relative to interaction between the actors.

The systems approach involves: 1) delimiting the scope of the inquiry in terms of time and energy; 2) identifying systems in relation to issues, and different issues might well require different system definitions. For example, the system which must be studied in attempts to evaluate a Model Cities planning program would be different from the system which would be studied in connection with a police department Community Relations program.[11]

The Dematurgic Approach - is most useful in describing small-scale events, and for relating individual actions to situational outcomes. Politically, the approach is used to describe a series of events which occur over time, involving a substantial number of persons. The dramaturgic framework involves a framework similar to what has been referred to as "methodological individualism" which seeks to explain events by reference to the action of individuals within situations. It begins with the construction of a story line involving actors within setting, often engaging in coalitions and conflicts, and then proceeds to recording interactions which form plots and subplots which move to some resolution. Historians have used this type of evaluative technique in reference to social events, ideological conflicts, economic and political movements.

4.1.2. The Political Process

The political process involves a framework which takes into account a connected series of events as well as observations of single events. It is considered to be more complex than the dramaturgic approach. Actors in this perspective are perceived to be interest groups who express or subscribe to some kind of strategy. An issue in evaluation of such programs is to determine how groups mobilize resources in response to gram intervention, what ways they commit themselves to affecting events, and the extent of success of commitments made.

In analyzing data for each approach, three levels of generalization may be used. The first level of generalization is one involving the organization of materials to provide for the description of what happened in concrete cases. The second level of abstraction would describe the types of systems, structures, or processes involved. The third level is one which would require the presentation of a general model for understanding of the findings and what consequences are involved in introducing a program for change.

4.2   Evaluating Social Programs

According to Greenberg, "governmental programs which provide social and educational services to the public are generally costly in terms of money and manpower."[12] The concept of accountability as revealed through accomplishments versus funds spent looms large in the whole arena f·· social programming. An evaluation of social programs is defined as measurement of acc· .lishment with·respect to a program's particular target, meaningful study of goals, ovjectives, program activities, and overall program operations as they attempt to satisfy the program goals and objectives.

One model for social programming which has been utilized in evaluating action or community action programs can be labeled "a Social Action Program Management Information System (SAP-MIS)." Fundamentally, the SAP management information system is a method of providing meaningful information to managers at all levels in carrying out an integrated program operation. Thi: Model is more applicable to such programs as the Community Action Programs, Model Cities Programs, and more individualized program components such as Manpower Training, Economic Development, and Health Care. Procedural aspects of the model may be briefly illustrated by the following checklist:

✓Defining the needs of poor people

✓Setting objectives for meeting these needs

✓Analyzing and selecting alternative courses of action for achieving the objectives

✓Allocating resources among alternatives

✓Assigning individual responsibilities for carrying out the approved courses of action.

✓Monitoring progress against plans, both to improve individual performance and to strengthen plans in each recycling of the planning process

These are actual steps in the overall process of the SAP Management Information System. Progress reports are prepared during the monitoring of programs and, as such, provide feedback on progress in carrying out approved plans and in achieving approved objectives. The monitoring of program performance and the reporting of what progress is made may involve five major features: 1) Incorporation of other related programs; 2) standardized information categories: 3) consistency at all organizational levels; 4) permanent structure within which refinements and improvements can be made; and 5) an empirical approach

to measuring results. The latter feature represents the evaluation phase of the Model.

The empirical approach to measuring program results should initially incorporate basic information categories. Data to be collected would satisfy requirements for the following questions:

Questions to Measure Program Results[13]

1) What services are you offering, and what other Federal, state, and local programs are you coordinating in meeting the needs of poor people?

2) How many poor people participated in each program and what are their basic characteristics?

3) What happened to the participants when they completed the programs?

4) What did it cost to provide the services?

5) Were the goals of the program achieved?

Where possible the progress reports should include measures of program results. These measures are "empirical" in the sense that the SAP-MIS is based on an empirical approach in that it attempts to monitor the progress of programs through a series of specific steps designed (in the overall planning mechanism) to alleviate conditions of deprivation. Indicators of program impact have to be developed and built into the Social Action Program management information systems as they are proven to be reliable measurements of progress in meeting the needs of people. As an illustration, a high school dropout who is contacted through a neighborhood center outreach function may be interviewed by an intake counselor, placed in a prevocational training program, and then placed in a job by a social agency or the state employment service. The MIS is designed to monitor each step taken as the individual escalates toward economic security and individual improvement. In social action programs, this kind of monitoring is one way of demonstrating tangible results of an experimental training and development program.

Several exhibits (I,II,III) have been included as examples of forms used for program monitoring. These forms are used to demonstrate procedures that a Community Action Agency might use in collecting key items of information on participants, recording services provided each participant, and preparing progress reports on Social Action Program (SAP) management use. Figure 3 illustrates steps involved in a typical Community or Social Action Agency Participation Information System.

Exhibit I   26

2.2

CAA: MANPOWER PROGRAM PROGRESS REPORT   Quarter Ending:

Grantee No.   PREVOCATIONAL TRAINING PROGRAMS   Date:

Code (1)	Program/Category of Service (As Applicable) (2)	No. NC's In (3)	Expenditures In Quarter (000) (4)	Enrolled End of Quarter (5)	Completing During Quarter (6)	Dropouts During Quarter (7)	Total Participants In Quarter — Plan (8)	Total Participants In Quarter — Actual (9)	Obtaining Jobs Directly From Program — Plan (10)	Obtaining Jobs Directly From Program — Actual (11)	Obtaining Jobs Through Other Place. Sources — Plan (12)	Obtaining Jobs Through Other Place. Sources — Actual (13)	To Vocational Training Programs — Plan (14)	To Vocational Training Programs — Actual (15)	Avg. Inc. gain (in cols. 11 & 13) (16)	Placement Pending (17)	Not Placed (18)
	CAP CATEGORIES OF SERVICE																
2201	- Prevocational Training																
2202	- Nelson-Scheuer Amendment																
2249	Subtotal																
	NON-CAP PROGRAMS																
2250	- Work Experience (HEW)																
2251	- Neighborhood Youth Corps . In-School																
2252	. Out-of-School																
2253	. Summer																
2254	- Other Federal																
2269	Subtotal																
2270	- State, Local, and Private																
2299	Total																

	For NYC Programs Only	In-School (19)	Out-of-School (20)	Summer (21)
2203	Avg. Weekly Wages per Enrollee: Avg. No. Hours per Week per Enrollee On:			
2204	. Basic Education			
2205	. Counseling			
2206	. Work Experience			

Exhibit II   27

2.3

| CAA: | MANPOWER PROGRAM PROGRESS REPORTS | Quarter Ending: |
| Grantee No. | VOCATIONAL TRAINING PROGRAMS | Date: |

				PARTICIPANTS					RESULTS FOR PARTICIPANTS COMPLETING IN QUARTER							
Code (1)	Program/Category of Service (As Applicable) (2)	No. NC's In (3)	Expendi-tures In Quarter (000) (4)	Enrolled End of Quarter (5)	Com-pleted During Quarter (6)	Dropouts During Quarter (7)	Total Participants In Quarter — Plan (8)	Actual (9)	Obtaining Jobs Directly From Program — Plan (10)	Actual (11)	Obtaining Jobs Through Other Place. Sources — Plan (12)	Actual (13)	Avg. Inc. Gain (In Col. 11 & 13) (14)	Other Vocation Train. Programs (15)	Place-ment Pending (16)	Not Placed (17)
	CAP CATEGORIES OF SERVICE															
	- Skill Training															
2301	. Institutional															
2302	. Job Training															
2303	. Other															
2349	Subtotal															
	NON-CAP PROGRAMS															
2350	- Job Corps															
2351	. Number of Community Applicants in Quarter															
	- MDTA (DOL)															
2352	. Institutional															
2353	. Job Training															
	- Bureau of Apprenticeship Training (DOL)															
2354	. On-the-Job Training															
2355	. OJT Coupled with Basic Education															
2356	. OJT Coupled with Institutional															
2357	- Vocational Education (HEW)															
	- Neighborhood Youth Corps															
2358	. On-the-Job Training (BAT-GOL)															
2359	- Vocational Rehabilitation (HEW)															
2360	- Other Federal															
2369	Subtotal															
2370	- State, Local and Private															
2399	Total															

| | | | | | PARTICIPANTS | | | | RESULTS FOR PARTICIPANTS COMPLETING IN QUARTER | | | | | | | | 2.4 |

CAA: MANPOWER PROGRAM PROGRESS REPCRTS   Quarter Ending
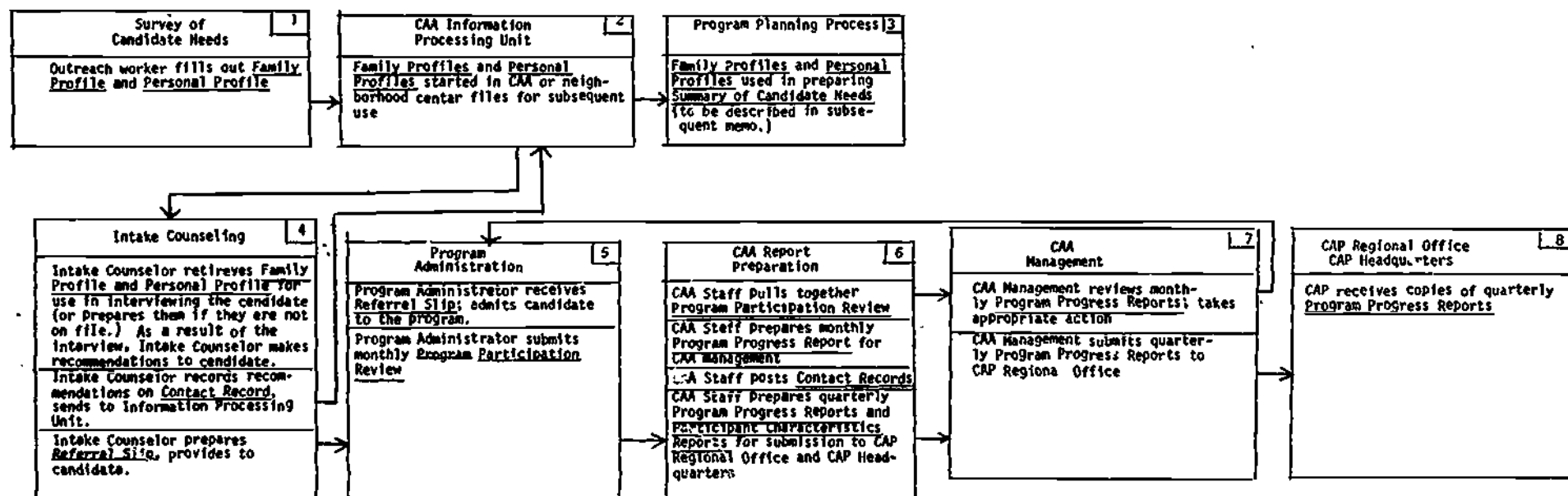
Grantee No: DIRECT EMPLOYMENT PROGRAMS   Date:

Code (1)	Program/Category of Service (As Applicable) (2)	No. NC's In (3)	Expenditures In Quarter (000) (4)	Enrolled End of Quarter (5)	Dropouts During Quarter (7)	Total Participants In Quarter Plan (8)	Actual (9)	Obtaining Jobs Directly From Program Plan (10)	Actual (11)	Obtaining Jobs Through Other Place. Services Plan (12)	Actual (13)	Avg. In. gain (in part. col. (11 & 13) (14)	To Pre-Voc. or Voc. Train. (15)	Place-ment Pending (16)	Not Placed (17)
	CAP CATEGORIES OF SERVICE														
2401	- Community Employment Projects														
2402	- Foster Grandparents														
2403	- Other CAP Direct Employment Programs														
2449	Subtotal														
	NON-CAP PROGRAMS														
2450	- Other Federal														
2469	Subtotal														
2470	- State, Local and Private														
2499	Total														

Figure 3
ILLUSTRATIVE CAA PARTICIPANT INFORMATION SYSTEM

Survey of Candidate Needs	1	CAA Information Processing Unit	2	Program Planning Process	3
Outreach worker fills out Family Profile and Personal Profile		Family Profiles and Personal Profiles started in CAA or neighborhood center files for subsequent use		Family Profiles and Personal Profiles used in preparing Summary of Candidate Needs (to be described in subsequent memo.)	

Intake Counseling	4	Program Administration	5	CAA Report Preparation	6	CAA Management	7	CAP Regional Office CAP Headquarters	8
Intake Counselor retireves Family Profile and Personal Profile for use in interviewing the candidate (or prepares them if they are not on file.) As a result of the interview, Intake Counselor makes recommendations to candidate.		Program Administrator receives Referral Slip; admits candidate to the program.		CAA Staff pulls together Program Participation Review		CAA Management reviews monthly Program Progress Reports; takes appropriate action		CAP receives copies of quarterly Program Progress Reports	
Intake Counselor records recommendations on Contact Record, sends to Information Processing Unit.		Program Administrator submits monthly Program Participation Review		CAA Staff prepares monthly Program Progress Report for CAA Management		CAA Management submits quarterly Program Progress Reports to CAP Regiona Office			
Intake Counselor prepares Referral Slip, provides to candidate.				CAA Staff posts Contact Records					
				CAA Staff prepares quarterly Program Progress Reports and Participant Characteristics Reports for submission to CAP Regional Office and CAP Headquarters					

The general process steps a Community Action Agency or other social agencies might establish to provide progress information are:

Step 1. Survey of candidate needs. This step involves obtaining basic information on individual poor people with which to assess needs, review progress over time, and summarize participant information for management use.

Step 2. Information Processing. Participant information is used in at least three ways: 1) to assist planners in defining the needs of target groups and in planning programs to meet these needs; 2) to provide counselors with useful background information prior to interviews with potential participants; and 3) to provide information for assessing and reporting program progress and participant characteristics.

Step 3. Program Planning Process. A summary report of candidate needs is prepared. This and related information is made available to planners so that they can identify the overall needs of poor people and to plan programs to meet these needs.

Step 4. Intake Counseling. Reviewing the background and status of current or potential participants.

Step 5. Program Administration. The program administrator or his staff assistants will receive referral slips, and will maintain basic records on participants and all actions taken. Participant information will be used in preparing a monthly program participation review.

Step 6. Report Preparation. The program process report is a summary of data contained in program participation reviews.

Step 7. Management. The Program Director or management analyze and evaluate the program participation review. This permits the assessment of all decisions affecting re-planning and re-programming actions.

Step 8. Final Review of Program Progress. The program progress reports will be reviewed in detail by regional and headquarters managers, and made decisions relative to opportunities to provide meaningful assistance, and assess re-planning and refunding implications.

To monitor program progress of social action programs, several ways are available for developing plans for a management information system. One way of developing an effective system for management use involves the following: 1) relate existing components to the standardize: categories of service; 2) identify the information required for reporting to the social action program component for each category of service; 3) define other information required for agency management use; 4) identify sources of required information; 5) gain agreement on the appropriate information requirements with each agency or unit; 6) develop formal procedures for obtaining information from the sources identified in step 4 above; 7) guide sources in preparation of the information; and 8) begin reporting specific information required by the program management.

As a conclusion to this proposed model for evaluating social action and related programs, it is necessary to identify all of the items of information needed for evaluating program effectiveness. Evaluation of a social program is more closely related to and identified as a research function rather than as a service function. As such the final index for evaluation is:

$$\text{Efficiency} = \frac{\text{Output (in terms of goal fulfillment)}}{\text{Input (in terms of dollars, services and/or personnel time)}}$$

Section Four

Other Approaches to Evaluation

5.0 OTHER APPROACHES TO EVALUATION

There are other approaches being utilized in evaluating programs, both formal and informal. Informal evaluation depends on casual observation, implicit goals, intuitive norms, and subjective judgement. Formal approaches, similar to the preceding Model for Social Action Programs, emphasize inputs and outputs.

In general, major emphasis of most evaluative studies will be upon the demonstration and operational stages of programs. Research and planning may also be evaluated, perhaps, to a lesser degree unless the major function of the organization is research or planning.

5.1. Evaluative Criteria

It is necessary for evaluators to find reliable and valid operational indices for measuring the attainment of objectives. Evaluative criteria represent the basis for decision-making. In brief, the decision-making process is divided into three components, each of which requires different criteria of effectiveness:[14]

5.1.1. **An Information Component** - A reference system, model, process, or standard according to which information may be collected and evaluated. It requires action rather than construct relevance.

5.1.2. **An Interpretation Component** - A value position or preference system representing the desirable, the appropriate, the acceptable means and ends for making decisions. This requires a weighting process by which alternatives are assigned priorities.

5.1.3. **An Action Component** - A criteria function designed to set the limits of acceptable error. This represents an operational process or administrative rule by which error costs are matched against potential outcomes.

The first component entails information retrieval and utilization systems; the second, decision-making systems; and the third, risk-taking choice situations. Each element or component, though operational in character, reflects a relationship between evaluative research and program management processes.

According to Suchman, evaluative criteria may be used for the following purposes: 1.) To monitor a steady state so as to determine when a correction is needed (as in an

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automated system involving servomechanisms); 2) To identify alternatives in a problem situation; 3) To weigh alternative courses of decision-making in terms of relative gains and losses; 4) To determine corrective action and error-risks involved in various approaches to change.

5.2   External and Internal Criteria

Both external and internal criteria may be applied in evaluation studies. External criteria are used to measure the results of programs. By applying external criteria -- reports, observations, interviews, questionnaires, work samples, and statistics -- the evaluator can determine the value of a program to the organization. Value, as used here, is stated in terms of organizational benefits and can be translated into dollars or numerical indexes of gain or loss. The cost-benefit analysis used by economists is usually a useful approach to determining cost estimates.

Internal evaluation may involve participation measures, norm comparisons, measures of behavioral change, participant reactions, experimental research, and measurement against specific standards.

5.3   Forms of Evaluation

Evaluation studies may take on several forms:[15] 1) effect studies; 2) operations analysis; 3) surveys of need; and 4) investigations, or a combination of one or more of the forms. Riecken explains these principal forms of evaluation. In an internal memorandum to the Ford Foundation, Riecken gives a rough typology in which method and purpose are combined, and suggest that evaluation studies take the following principal forms:

5.3.1.   Measuring Effects -- Studies of effects represent the maximum contribution made by social scientists to evaluative methodology. This form of evaluation involves finding or devising techniques for detecting change in subjects and estimating the degree to which observed phenomena approach the objectives of the program. Studies of effects are designed to feed back results in program planning or policy-making. The focus of attention is on ends.

Various research designs for studying the effects of programs in terms of the "cause/effect" process have been proposed. Basically, the designs presented reflect some features of the experimental or systems model. Suchman outlines what he considers to be the logical requirements of an evaluation study. Using the familiar model of the laboratory experiment, he diagrams the "before" and "after" measures this way:

	Before	After	
EXPERIMENTAL	X_1	X_2	$d = X_2 - X_1$
CONTROL	X_1^1	X_2^1	$d^1 = X_2^1 - X_1^1$

It should be noted that the experimental approach has been discussed in greater details in the section describing the "Agency Model."

5.3.2.   Operational Analysis -- This form of evaluation places emphasis on means or operations of the program without specific attention to ends. This type of evaluation has two forms: 1) compliance with standards; and 2) the periodic reporting of activities without reference to pre-determined standards. It is a kind of administrative evaluation in which reports of activities are used in connection with program justification. For instance, budget sections base their evaluation of requests for funds partly on activity reports.

5.3.3.   Surveys of Need --.assessing the need for or desirability of a contemplated action or potential course of action.

5.3.4.   Investigations -- This is a form of evaluation that is often referred to as an "independent audit, and is most often an attempt to determine the current status of operations and achievements of a program.

The preceding materials have covered models applicable to general training and development programs, educational programs, agency and other institutional programs, and social action projects. They are by no means comprehensive in the treatment of evaluative methodologies. The intent of all exhibits, illustrations, and other data is to provide direction to efforts by those concerned with improving means of assessing social programs more effectively.

The final portion of this handbook is devoted to a summary of steps for identifying and measuring the changes and results of training and development projects.

IMPORTANT STEPS IN INDICATING THE
RESULTS OF AN EVALUATION
(A 'Check List' of Principal Actions)[16]

Step 1. DESCRIBE THE DEVELOPMENT PROJECT AND SPECIFY ITS GOALS IN A WRITTEN STATEMENT COVERING THE FOLLOWING:

1. Nature of the project and specific operations to be carried. Include an organizational chart to show the administrative and staff positions.

2. Kinds of results sought -- including impersonal, organizational, personal (information, attitudes, skills, actions, habits, social relationships, etc.) changes in conditions, capital resources, and program guidelines.

3. Area of activity and area of influence.

4. Program objectives, activities and goals.

5. Criteria or standards for measurement. Indicate evaluative model.

6. Intervening variables or side effects anticipated.

7. Cost analysis based on budget information and program activities.

This written statement or evaluation design should be reviewed with the funding agency, interested parties, to the extent practicable.

Step 2. DECIDE WHAT KINDS OF DATA WILL BE USED TO INDICATE PROJECT RESULTS AND HOW THESE DATA ARE TO BE OBTAINED:

1. Find out what registration and census data are already available or already being collected, and decide whether it can be utilized and how such data can be obtained.

2. Decide what individuals or organizations are to be asked to collect additional pertinent data, including persons directly involved in the project or program (built-in data collection); and what particular reports are to be requested.

3. Decide what data are to be collected by systematic questioning of af-
fected (program participants, clients) or control groups, and plan the
questions to be asked. Prepare a standardized interview schedule or
questionnaire, if one is to be used. Items included on the form should
reflect data needed to effectively determine program effectiveness.

Step 3. COLLECT THE DESIRED DATA

1. Beforehand -- to help plan the project.

2. During -- to help administer the project.

3. After -- to help plan future project.

Step 4. ANALYZE AND INTERPRET THE FINDINGS, AND REVIEW FINDINGS AND INTERPRETATIONS
WITH THE VARIOUS INTERESTED PARTIES.

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Some sample forms for particular types of evaluation have been included in the
appendices. Also included is a rather comprehensive bibliography which may be quite
useful to a person conducting various types of evaluations.

Section Five

Appendices

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Appendix A

FOOTNOTES

[1]Francis G. Caro. Readings in Evaluation Research.

[2]William R. Tracey, Evaluating Training and Development Systems. American Manágement Association, Inc., 1968, pp. 13-14.

[3]Edward A. Suchman, "Evaluating Educational Programs," The Urban Review, Center for Urban Education, Vol. 3, No. 4 (February, 1969), pp. 15-17, 44.

[4]Francis G. Caro, Readings in Evaluation Research.

[5]William R. Tracey, opcit, p. 16.

[6]Herbert C. Schulberg and Frank Baker, "Program Evaluation Models and the Imple- mentation of Research Findings," American Journal of Public Health. Vol. 58, No. 7, July, 1968, pp. 1248-1255.

[7]Edward A. Suchman, opcit.

[8]Sidney H. Aronson and Clarence C. Sherwood, "Researcher versus Practitioner: Problems in Social Research," Social Work, Vol. 12, No. 4 (1967), pp. 89-96.

[9]Dennis P. Forcese and Stephen Richer, Social Research Methods. New Jersey: Prentice-Hall, 1973, pp. 88-93.

[10]Robert S. Weiss and Martin Rein, "The Evaluation of Broad Aim Programs: Dif- ficulties in Experimental Design and an Alternative," in Evaluating Action Programs, Boston: Allyn and Parson, 1972, pp. 236-249.

[11]J.W.N. Watkins, "Ideal Types and Historical Explanation," in Herbert Feigl and Mary Brodbeck (eds.), Readings in The Philosophy of Science. New York: Appleton-Century-Crafts, 1971.

[12]B.G. Greenberg, "Evaluation of Social Programs" in Caro, op. cit., pp. 155-174.

[13]For full explanation of this procedure, see: Management Information Reporting by Community Action Agency,U.S. Office of Economic Opportunity, 1966.

[14]Edward A. Suchman, "Action for What? A Critique for Evaluative Research," in The Organization, Management, and Tactics of Social Research, edited by R. O'Toole. Cambridge, Massachusetts: Schenkman Publishing Co., 1970, in Carol H. Weiss, Evaluating Action Programs, pp. 72-73.

[15]Henry W. Riecken, "Memorandum On Program Evaluation," in Carol H. Weiss, Evaluating Action Programs. Boston: Allyn and Bacon, Inc., 1972, pp. 85-87.

[16]See: Samuel P. Hayes, "Evaluating Development Projects," Published by UNESCO, 1959, pp. 92-93.

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EVALUATION FORM
Presentation Instruction
(Lecture, Demonstration, or Conference)

Instructor	Class	Time	Date

Lesson Title	Lesson Type	Room	School

Instructions: Rate each of the Personal and Instructional Qualities on a scale of 1-5, with "1" as high and "5" as low.

RATINGS	COMMENTS

Personal Qualities
1. Appearance and Bearing _____
2. Voice _____
3. Speech _____
4. Platform Manner _____
5. Teaching Personality _____

Instructional Qualities
6. Knowledge of Subject _____
7. Preparation and Planning _____
8. Questioning Technique _____
9. Student Participation _____
10. Selection and Use of
    Training Aids _____
11. Lesson Introduction _____
12. Lesson Development _____
13. Lesson Summary _____
14. Management _____
15. Control and Discipline _____
16. Achievement of Objective _____

Rater's Signature