DCJS Victims Services Grant Programs: An Overview

Grant Program	General Information	Eligibility	Reporting Requirements
Sexual Assault Services Program (SASP)	The Sexual Assault Services Formula Grant Program was created by the Violence Against Women and DOJ Reauthorization Act of 2005. It is the first federal funding stream solely dedicated to the provision of direct intervention and related assistance for victims of sexual assault. Funding through SASP supports rape crisis centers and other nonprofit, nongovernmental organizations or tribal programs that provide core services, direct intervention, and related assistance to victims of sexual assault.	Rape crisis centers and other nonprofit, nongovernmental organizations or tribal programs that provide core services, direct intervention, and related assistance to victims of sexual assault are eligible.	SASP operates on a calendar year cycle (January – December), and requires one annual progress report due in GMIS on/by the last working day of January for activity occurring during the previous calendar year. SASP CY2019-Due January 23, 2020 SASP CY2020-Due January 15, 2021
Victim/Witness Grant Program (VWGP)	In 1984, the General Assembly created the victim/witness grant program and designated DCJS as the administering agency. The Victims of Crime Act (VOCA), passed by Congress in 1984, established a crime victims fund and authorized the Director of the Office for Victims of Crime to make annual VOCA victim assistance and compensation grants to states. Currently, DCJS is using federal VOCA funds, as well as state Special Funds, and General Funds to support Victim/Witness Programs. Purpose: To provide financial support to local victim/witness programs and statewide victim assistance programs designed to provide direct services, information, and assistance required by Virginia's Crime Victim and Witness Rights Act.	The victim/witness grant program is open to local units of government and certain state agencies. Localities may submit joint applications to support regional victim/witness programs serving multiple localities. Each eligible state agency seeking funding to support statewide victim assistance programs may submit only one application. Application guidelines are distributed in early spring.	VWGP operates on a state fiscal year cycle (July – June), and requires quarterly progress reports in GMIS on/by the 15th of the month following the end of the quarter. VWGP programs us the Client Information Management System (CIMS) to generate their quarterly program performance reports.

DCJS Victims Services Grant Programs: An Overview

Virginia Sexual & Domestic Violence Victim Fund (VSDVVF)	In 2004, the Virginia General Assembly passed legislation creating the Virginia Domestic Violence Victim Fund (VDVVF). In 2006, the Virginia General Assembly passed additional legislation changing the name of the fund from the Virginia Domestic Violence Victim Fund to the Virginia Sexual & Domestic Violence Victim Fund (VSDVVF). This change was made so that the name of the fund would more accurately reflect its purpose and clarify that resources should be focused on addressing both domestic and sexual violence. The purpose of the VSDVVF is to provide funding to assist in protecting and providing necessary services to victims of and children affected by sexual violence, domestic violence, stalking, and family abuse.	Virginia Sexual & Domestic Violence Victim Fund grants are available to state agencies, local units of government, and non-profit programs that provide services to victims of and/or children affected by sexual violence, domestic violence, stalking and family abuse. Eligible applicants include: • law enforcement agencies, • victims services programs, • programs that provide civil legal assistance, • public college and university campus programs, and private, non-profit hospitals	VSDVVF operates on a state fiscal year cycle (July – June), and requires quarterly progress reports in GMIS on/by the 15th of the month following the end of the quarter.
Virginia STOP Violence Against Women Act (V-STOP)	In 1994, the United States Congress passed the Violence Against Women Act (VAWA) as part of the Violent Crime Control and Law Enforcement Act. VAWA includes the Services, Training, Officers, Prosecution (STOP) grant program. DCJS is the administering agency for the STOP Violence Against Women grant in Virginia, known as V-STOP. V-STOP offers grant funds to successful applicants for activities which increase the apprehension, prosecution, and adjudication of persons committing violent crimes against women.	This grant program is open to local units of government, state agencies, and nonprofit/ nongovernmental victims services agencies which fall into one of the following applicant categories: • law enforcement, • prosecution, or • victims services.	V-STOP operates on a calendar year cycle (January – December), and requires bi-annual progress reports and narratives in GMIS on/by the 15th working day following the end of the 2nd and 4th quarters, as well as one annual cumulative progress report due in GMIS on/by the last working day of January for the previous calendar year.

DCJS Victims Services Grant Programs: An Overview

VOCA Victims Services Grant Program (VSGP)	This grant program is supported by federal Victims of Crime Act (VOCA) funds, through the Department of Justice, Office of Justice Programs, Office for Victims of Crime (OVC). Funding under this grant program is available in three different categories: • Services for Victims of Crime • One-Time Initiatives • Sexual and Intimate Partner Violence Core Services The federal Crime Victim Fund, established in 1984, is one of the major funding sources for victim services throughout the United States. Revenues are deposited into the Fund annually from criminal fines, forfeited appearance bonds, penalties, special forfeitures, special assessments, and gifts, donations, and bequests by private parties. Fund dollars do not come from taxpayers.	The VOCA Victims Services Grant Program will support local, regional, and statewide programs that provide direct services to victims of crime. Public and private non-profit entities, including state and local governments and community-based organizations, are eligible to apply. Priority will be given to organizations that have a long-standing and proven track record of service to their communities. Funding will not be provided for start-up organizations. VOCA specifies that an organization must provide services to crime victims and be operated by a public agency or nonprofit organization in order to be eligible to receive VOCA funding. Eligible organizations include victim services organizations whose sole mission is to provide services to crime victims. These organizations include: • sexual and domestic violence agencies, • child abuse programs, • centers for missing children, • mental health services, and • other community-based victim coalitions and support organizations, including those who serve survivors of homicide victims. In addition to victim services organizations, whose sole purpose is to serve crime victims, there are many other public and nonprofit organizations that have components which offer services to crime victims. These organizations are eligible to receive VOCA funds, if the funds are used to expand or enhance the delivery of crime victim services. These organizations	VSGP operates on a state fiscal year cycle (July – June), and requires quarterly reports in GMIS on/by the 15th of the month following the end of the quarter. Required reports include: • Quarterly Financial Reports • Quarterly Progress Reports, describing activities supported with these funds. The federal Office for Victims of Crime (OVC) requires all VOCA funded projects to report annual award and quarterly performance activities in the PMT online system. Grantees are required to submit data in PMT, as well as additional narrative reports and data in GMIS.

		include, but are not limited to, the following: • Faith-based and neighborhood programs, • Crime victim compensation programs, and • Public or nonprofit hospitals and emergency medical facilities	

Grant Life Cycle

SASP - Sexual Assault Services Program

Calendar year - January – December
One annual report due – CY2019 is 1/23/20; CY2020 is 1/15/21

VWGP – Victim/Witness Grant Program

State Fiscal Year – July 1st - June 30th

Progress reports – 4 times a year - 15 days after the end of each calendar quarter
Financial reports – 4 times a year - 15 days after the end of each calendar quarter

July-Sept----------report due 10/15/19
Oct-Dec ---------- report due 1/15/20
Jan-March ---------- report due 4/15/20
April-June---------- report due 7/15/20

VSGP - Victims Services Grant Program

State Fiscal Year – July 1st - June 30th

Progress reports – 4 times a year - 15 days after the end of each calendar quarter
Financial reports – 4 times a year - 15 days after the end of each calendar quarter

July-Sept----------report due 10/15/19
Oct-Dec ---------- report due 1/15/20
Jan-March ---------- report due 4/15/20
April-June---------- report due 7/15/20

VSTOP

Calendar Year - January – December Grant Year

Two biannual reports – 12th working day after 6/30 and 12/31
One annual report – due 1/31

VSDVVF – Virginia Sexual & Domestic Violence Victim Fund

State Fiscal Year – July 1st - June 30th
3 Years - Progress & Financial Reports
July-Sept----------report due 10/15
Oct-Dec ---------- report due 1/15
Jan-March ----------report due 4/15
April-June----------report due 7/15

Budget Amendments - 45 days before the end of the grant period May 15
Final Report due - August 15th

Deadlines

- Monitors have 15 days to review budgets, budget amendments, and budget extensions request
- All grant funded programs are required to notify DCJS within 30 days of any personnel changes
- Grant Closeout – last quarterly financial report due within 45 days from end of award period
- Risk Assessments – annually

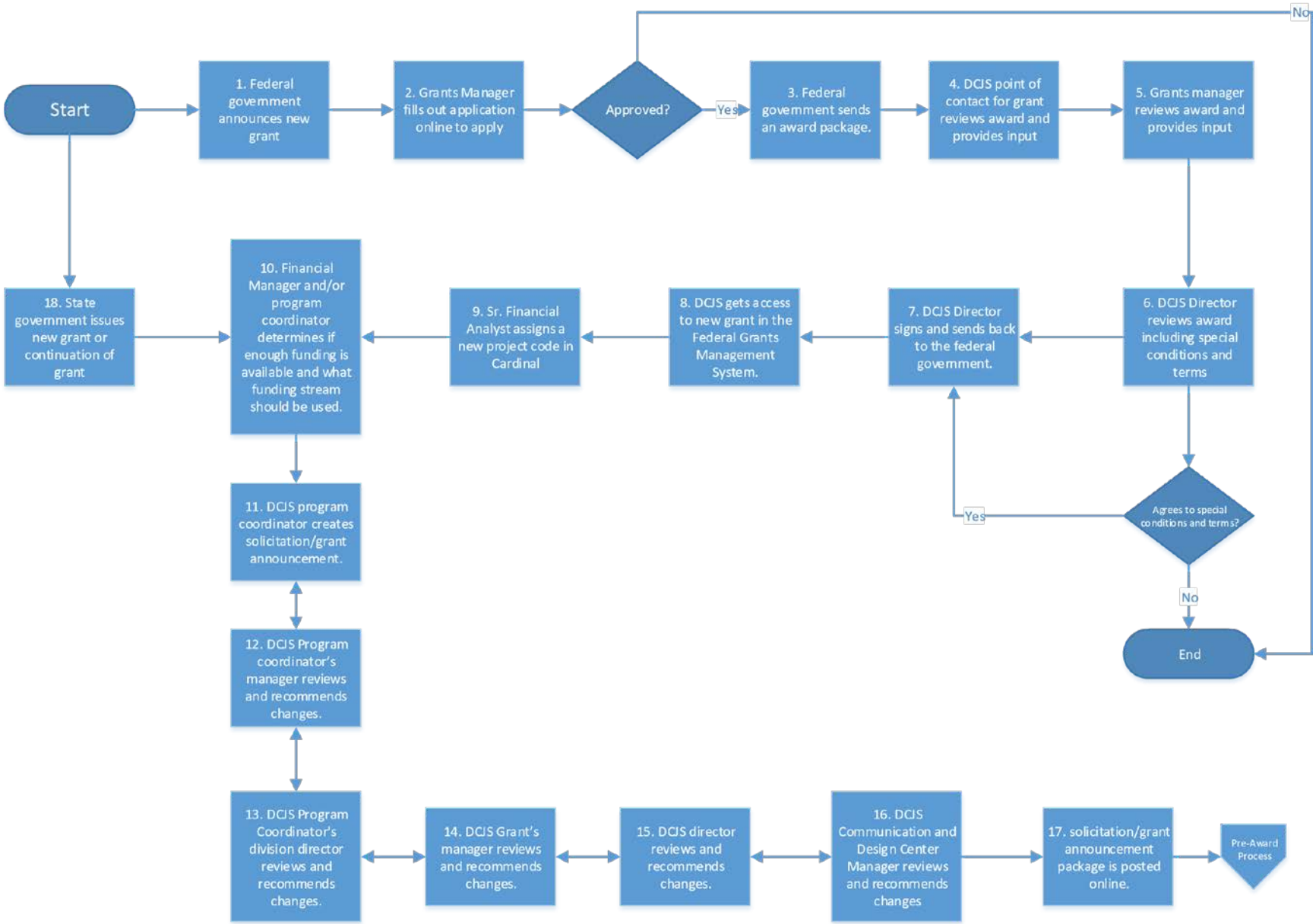
Site Visits

- Minimum of 30 days' notice of an onsite visits and provide grantee with monitoring instruments and documents to be reviewed
- Verbal notice of any federal/state/local grant non-compliance matters while onsite
- Provide written recommendations for program improvements within 60 days of onsite visit
- Progress Reports – review within 30 days of submission

Grant Program	Solicitation	Fiscal Year	Grant Life Cycle	Reporting	Budget Amendments
SASP	Summer	Calendar Year January - December	1 Year	**One Annual Report** CY2019 is 1/23/20 CY2020 is 1/15/21	60 days before the end of the grant period **October 31st**
VWGP	Winter	State Fiscal Year July - June	2 Years	**Progress & Financial Reports** July-Sept report due 10/15 Oct-Dec report due 1/15 Jan-March report due 4/15 April-June reports due 7/15	45 days before the end of the grant period **May 15**
VSGP	Winter	State Fiscal Year July - June	2 Years	**Progress & Financial Reports** July-Sept report due 10/15 Oct-Dec report due 1/15 Jan-March report due 4/15 April-June reports due 7/15	45 days before the end of the grant period **May 15**
VSTOP	Summer	Calendar Year January - December	3 Years	**Two Bi-annual Report** 12th working day after 6/30 & 12/31 **One Annual Report** Due 1/31	None
VSDVVP	Spring	State Fiscal Year July - June	3 Years	**Progress & Financial Reports** July-Sept report due 10/15 Oct-Dec report due 1/15 Jan-March report due 4/15 April-June reports due 7/15	45 days before the end of the grant period **May 15**

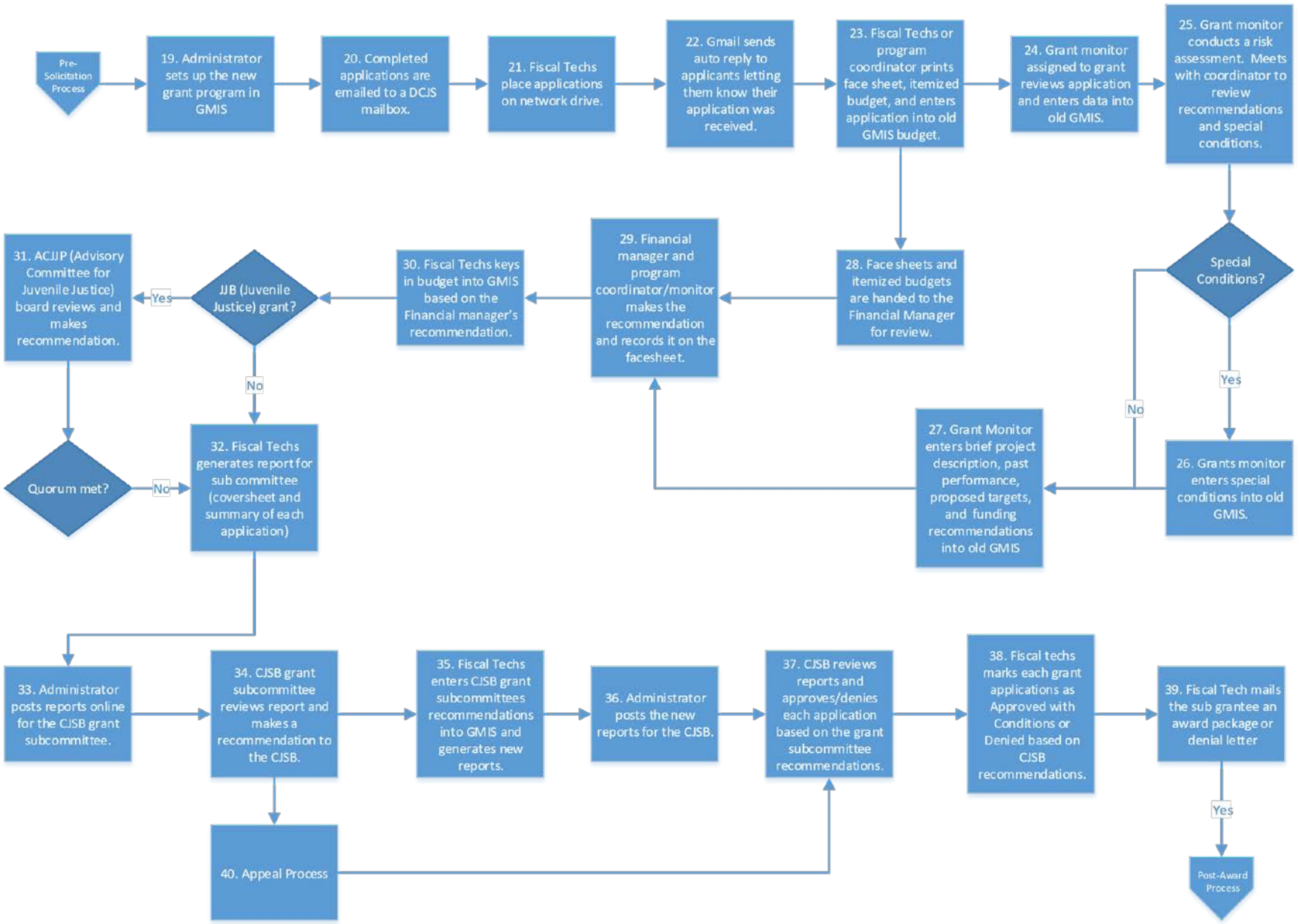
Virginia Department of Criminal Justice Services

Pre-Solicitation Process



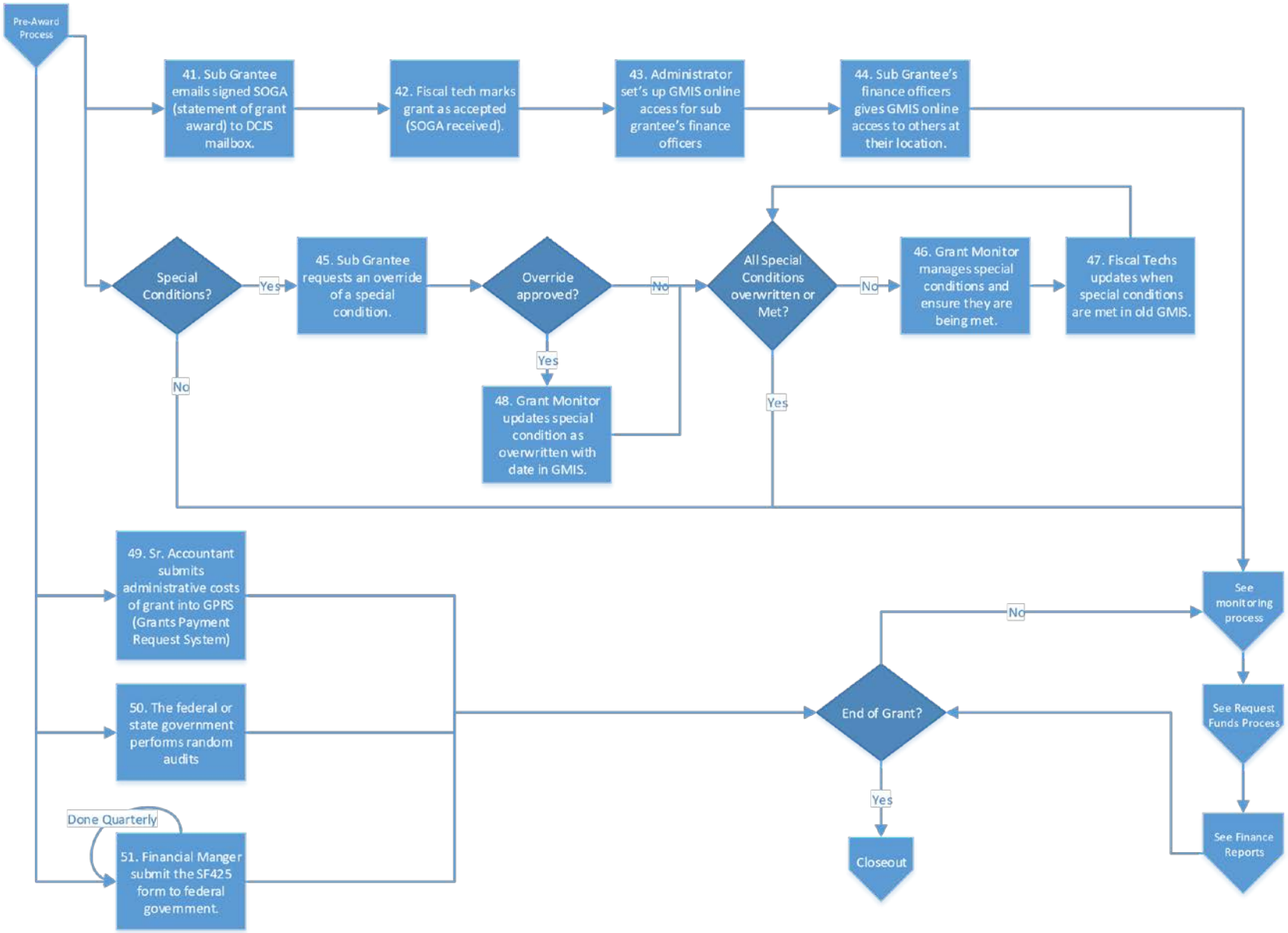
Virginia Department of Criminal Justice Services

Pre-Award Process



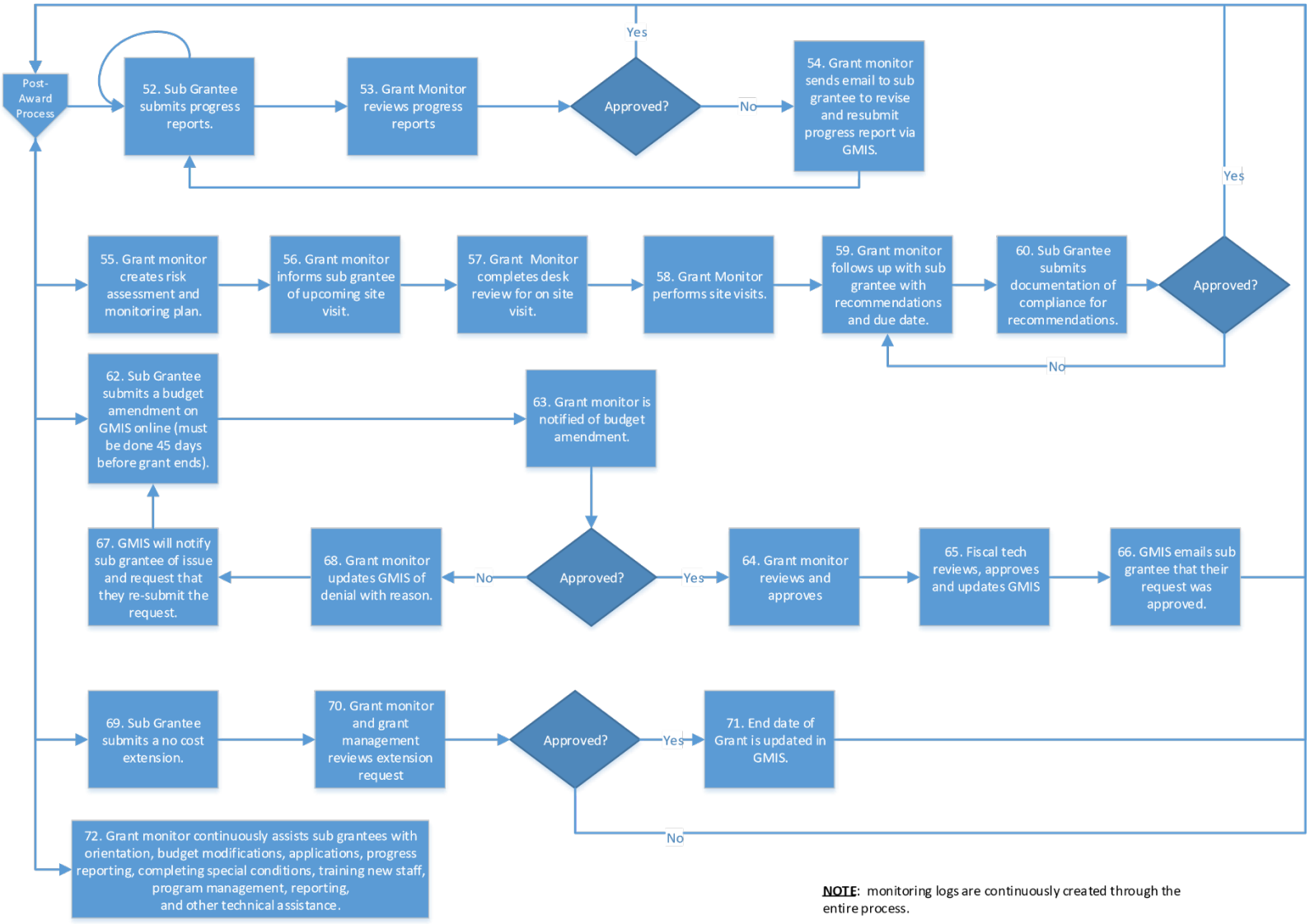
Virginia Department of Criminal Justice Services

Post-Award Process



Virginia Department of Criminal Justice Services

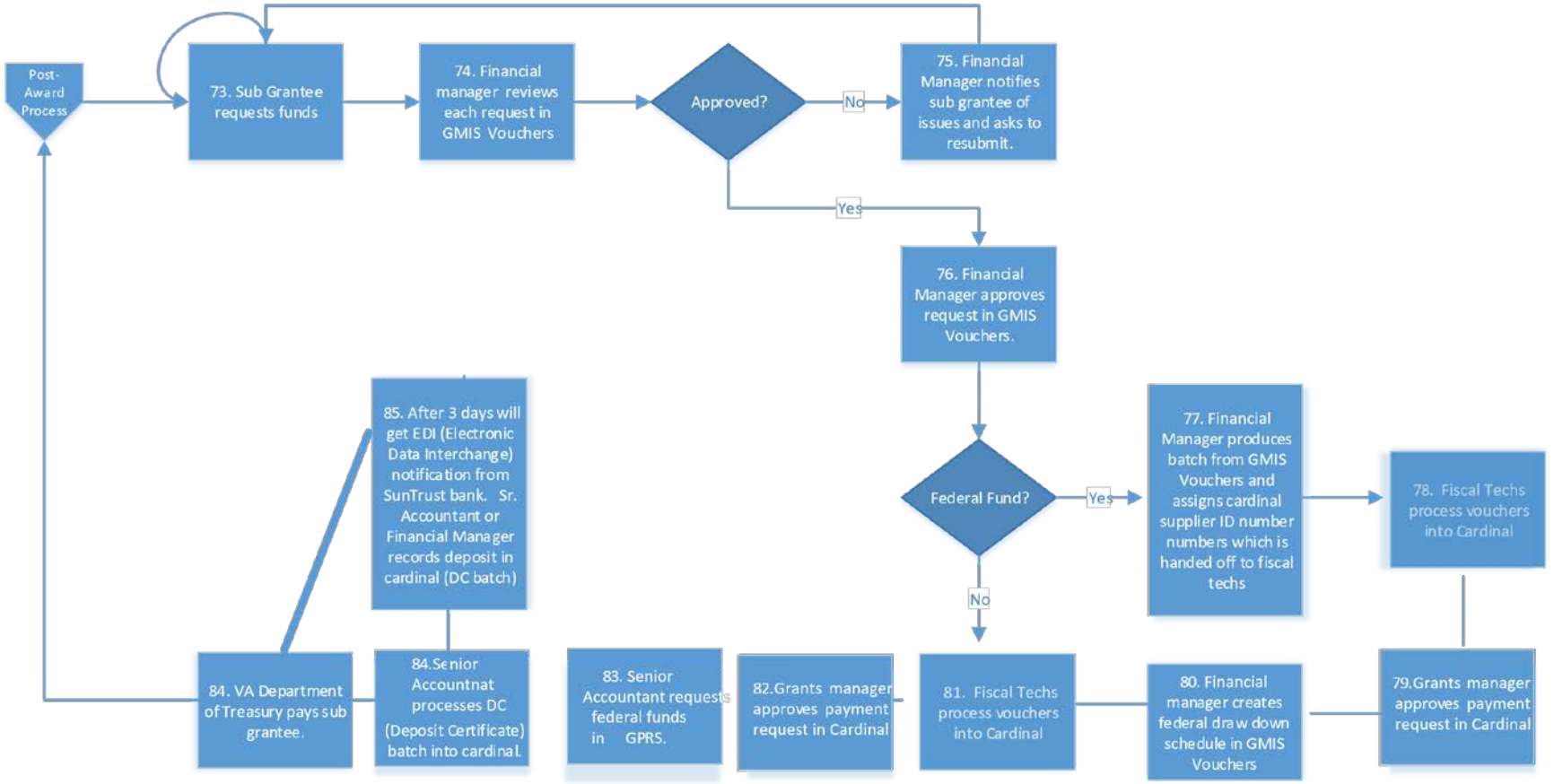
Monitoring Process



NOTE: monitoring logs are continuously created through the entire process.

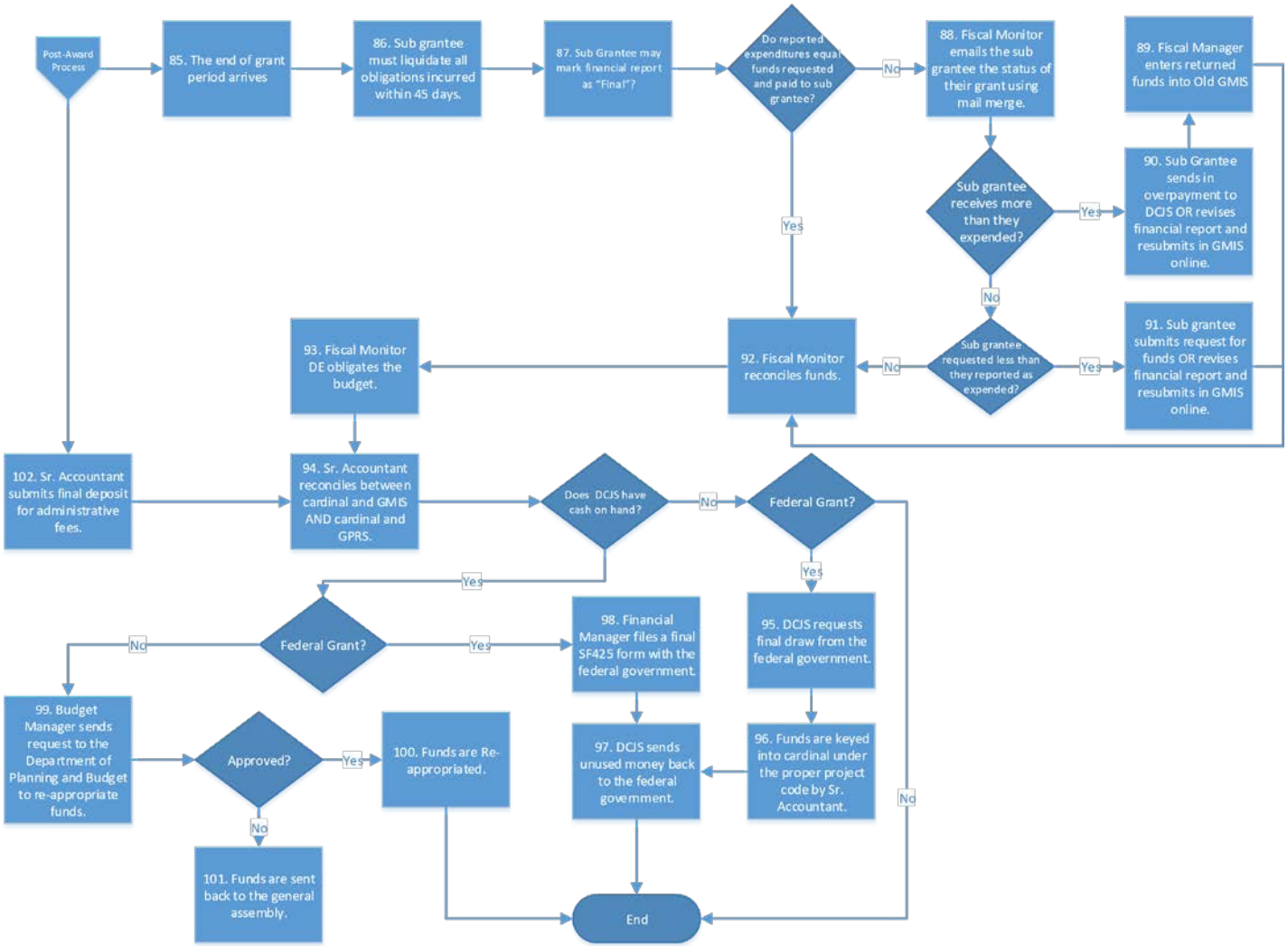
Virginia Department of Criminal Justice Services

Request Funding Process



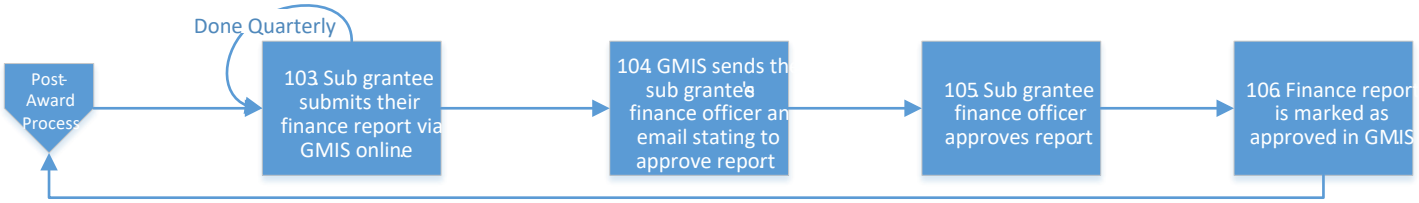
Virginia Department of Criminal Justice Services

Close-Out Process



Virginia Department of Criminal Justice Services

Finance Reporting Process



Items for Review During On-Site Monitoring Visits

Grantees should have the following documents available for review during the on-site visit:

General Grant Documentation

- Signed award documents for the current grant year and past three grant years;
- Progress Reports for the current grant year and past three grant years;
- Financial Reports for the current grant year and past three grant years;
- Signed and accepted grant application (including budget, budget narratives, and other required documentation) for the current grant year and past three grant years;
- Grant adjustment documentation (e.g., budget amendments, project scope changes, no-cost extensions) for the current grant year and past three grant years;
- Property records for any grant-funded equipment, to include purchase orders, invoices, serial numbers, liquidation policy, and/or proofs of purchase, for the current grant year and past three grant years.

Program Development

- For each performance measure, provide evidence that supports the information reported (e.g., dated direct service logs, sign in sheets for training or focus groups, lists of taskforce or steering committee members);
- Cooperative agreements with allied agencies;
- Program brochures developed on grant-funded time or printed with grant funds, to include the required grant statement;
- Evaluation documents (e.g., client satisfaction surveys, training evaluation forms), and how the collected information is utilized;
- Board of Directors membership list and the meeting minutes for the grant period being reviewed.

Financial

- Cumulative budget to actual amounts for each approved budget category, as of the most recent quarter end (in the form of a general ledger or spreadsheet);
- A copy of the most recent auditor certification of fiscal responsibility letter.

Personnel

- A minimum of the most recent three to six pay periods for its grant-funded employees; personnel time sheets for grant-funded employees, including any overtime approval documentation;
- Accounting records for the breakdown/percentages of how staff are paid from each funding source;
- Position descriptions for grant-funded positions;
- Training records for grant-funded staff to include documentation for Civil Rights training/compliance.

Items for Review During On-Site Monitoring Visits

(Continued)

Policies/Protocols

- Agency organizational chart, to included position funding sources;
- Human resource policies for hiring, termination and grievance practices, compensatory time, EEO, nondiscrimination, and drug-free workplace documents;
- Volunteer program documents (time logs, manuals, etc.) if applicable;
- Three (3) samples of client records (be sure to redact identifying information);
- Confidentiality policies, to include those provided to clients and those provided to staff, board members, volunteers, and others. This also includes release of information forms.

Grantees should be prepared to discuss the following during the on-site visit:

- Special Conditions for the current grant year, if applicable;
- Grant goals and objectives;
- How program's Board of Directors, staff, and volunteers reflect and/or are representative of the client population served and the program's community;
- The community's multidisciplinary response to sexual assault and domestic violence, including Sexual Assault Response Teams (SART) if applicable;
- Model law enforcement policies on responding to domestic violence and sexual assault, if applicable;

Grant-funded staff should also be available at some point during the visit to meet with the Grant Monitor.

Civil Rights Compliance: An Overview

Important Laws & Regulations	• **Title VI of the Civil Rights Act of 1964**, which prohibits discrimination on the basis of race, color or national origin in OJP and COPS funded programs or activities. (42 U.S.C. § 2000d and 28 C.F.R. §42.101 et seq.) • **The Omnibus Crime Control and Safe Streets Act of 1968**, as amended, which prohibits discrimination on the basis of race, color, national origin, religion, or sex, in OJP, OVW, and COPS funded programs or activities. (42 U.S.C. § 3789d and 28 C.F.R. §42.201 et seq.) A chart of grant programs generally covered by this nondiscrimination provision is located here. • **Section 504 of the Rehabilitation Act**, which prohibits discrimination on the basis of disability in OJP and COPS funded programs or activities. (29 U.S.C. § 794 and 28 C.F.R. § 42.501 et seq.) • **Title II of the Americans with Disabilities Act of 1990**, as it relates to discrimination on the basis of disability in OJP or COPS funded programs or activities. (42 U.S.C. § 12132 and 28 C.F.R. Pt. 35). • **The Age Discrimination Act of 1975** as it relates to services discrimination on the basis of age in OJP or COPS funded programs or activities. (42 U.S.C. § 6102 and 28 C.F.R. § 42.700 et seq.) • **Title IX of the Education Amendments of 1972**, as it relates to discrimination on the basis of sex in OJP and COPS funded training or educational programs. (20 U.S.C. § 1681 and 28 C.F.R. pt 54). • **Services to Limited English-Proficient Persons (LEP)** as it related to national origin discrimination on the basis of limited English proficiency. (http://www.lep.gov/). • **Equal Treatment for Faith-Based and Community Organizations is the Equal Treatment Regulation** as it relates to ensuring equal treatment for Faith-Based Organizations and nondiscrimination of beneficiaries on the basis of religious belief. (28 C.F.R. § 38 and Executive Order 13279).
Violence Against Women Act (VAWA) Civil Rights Compliance	• **VAWA –** October 1, 2013 effective date; covers employment practices; "actual or perceived"; applies to all recipients, including funded faith-based organizations, state administering agencies, and law enforcement agencies • No person in the United States shall, on the basis of actual or perceived race, color, religion, national origin, sex, gender identity (as defined in paragraph 249(c)(4) of title 18, United States Code),sexual orientation, or disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under [VAWA], and any other program or activity funded in whole or in part with funds appropriated for grants, cooperative agreements, and other assistance administered by the Office on Violence Against Women.

Sex Segregation, Sex-Specific Services, Comparable Services, & Gender Identity	• If sex segregation or sex-specific programming is necessary to the essential operation of a program, nothing in this paragraph shall prevent any such program or activity from consideration of an individual's sex. In such circumstances, grantees may meet the requirements of this paragraph by providing comparable services to individuals who cannot be provided with the sex-segregated or sex-specific programming. • **Sex-Segregated Programming:** when males and females receive services in separate settings • **Sex-Specific Programming:** when a recipient designs programming differently for males and females • "Necessary for the Essential Operation of the Programming" • Fact-specific inquiry; consider: o Nature of the service o Consequences to beneficiaries of making sex-segregated or sex-specific o Literature on Efficacy o Impact on transgender clients • **Comparable Services:** designed to confer a substantially equal benefit; consider the following: o Nature, quality, and duration of the of service o Relative benefits of different therapeutic modalities o Geographic location • **Serving Transgender Clients** o Assign clients to service which corresponds to the gender with which the client identifies o Consider transgender victim's health and safety in making housing assignments o Transgender client's own views regarding personal safety deserves serious consideration o Do not isolate or segregate o Do not make burdensome demands for identity documents o Do not inquire into surgery or other medical interventions
Civil Rights Training Requirements	• To meet the civil rights training requirements, sub-grantees must view the online training modules offered through the Office on Civil Rights at https://ojp.gov/about/ocr/assistance.htm or online training offered by DCJS. • The sub-grantee must review these training modules *at least once per grant cycle* and must view the *civil rights overview*, *standard assurances modules*, and the module *on the obligations to provide services to limited English proficient (LEP) individuals*. • The Project Director must view the training on Civil Rights available on the DCJS website (Victims Services page) or at https://ojp.gov/about/ocr/ocr-training-videos/video-ocr-training.htm. • The Project Director must accept responsibility for ensuring that project staff understands their responsibilities as outlined in the presentations. • If any questions arise about the material presented and sub-grantee responsibilities, they should contact their grant monitor. • Every sub-grantee program/organization must complete the Certification of Compliance with Regulations Office for Civil Rights Form.

	• The original form should be returned to *grantsmgmt@dcjs.virginia.gov* within 45 days of the grant award beginning date.
Civil Rights Compliance For Sub-Grantee Programs	• All sub-grantee program (regardless of the type of entity or the amount awarded) are subject to prohibitions against discrimination in any program or activity, and must take reasonable steps to provide meaningful access for persons with limited English proficiency. • Every sub-grantee program will maintain data (and submit when required) to ensure that: services are delivered in an equitable manner to all segments of the service population; employment practices comply with Equal Opportunity Requirements, 28 CFR 42.207 and 42.301 *et seq*.; projects and activities provide meaningful access for people with limited English proficiency as required by Title VI of the Civil Rights Act, (*See also*, 2000 Executive Order #13166). • The person in this agency or unit of government who is responsible for reporting civil rights findings of discrimination will submit these findings, if any, to the DCJS within 45 days of the finding, and/or if the finding occurred prior to the grant award beginning date, within 45 days of the grant award beginning date. • Sub-grantee programs must certify that the program/organization will prepare and submit an EEOP and Certification at https://ojp.gov/about/ocr/eeop.htm, within 60 days of the award. • The EEOP shall be submitted in accordance with 28 CFR §42, subpart E, to Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice that will include a section specifically analyzing the grantee (implementing) agency.
Complaint Procedures	• A person who believes he/she has been harassed or been subject to discriminatory treatment by a DOJ-funded sub-recipient because of race, color, national origin, sex, age, religion, or disability, or has been retaliated against for engaging in protected activity, is urged to file a complaint through the Civil Rights Officer. • Generally, formal complaints must be filed with the Civil Rights Officer within 180 calendar days of the alleged act of discrimination. If the complaint is not filed on time, the complainant should provide the reason for the delay and request a waiver of this filing requirement. DCJS will decide whether to grant the waiver. The complaint must be filed in writing either by regular mail or in an email. • The DCJS Civil Rights Officer will refer all complaints to an external agency, such as the Office of Justice Program (OJP), Office for Civil Rights, (OCR) for investigation and resolution. DCJS will notify the external agency in writing of any referral within 30 calendar days of receipt of the complaint. The complainant will also be notified of the referral in writing. • A DCJS sub-grantee receiving DOJ funds shall advise the Civil Rights Officer of any employment or services discrimination complaint filed against it within 10 business days of receiving the complaint. • As an alternative or in addition to filing a complaint with DCJS, an individual may wish to file a complaint directly with an external agency for investigation, such as a local or state human rights commission.

	• The Human Rights Council is a state agency that reviews complaints alleging conduct which violates any Virginia or federal statute or regulation governing discrimination on the basis of race, color, religion, national origin, sex, pregnancy, childbirth or related medical conditions, age, or disability. • Federal laws also prohibit recipients of Justice Department funding from discriminating against individuals or groups, either in employment or in the delivery of services or benefits, on the basis of race, color, national origin, religion, sex, age, or disability. Within the Department of Justice, the Office of Civil Rights investigates these complaints at the federal level.

DCJS Confidentiality Desk Tool

Defining Confidentiality: What is Confidentiality?

- The Office for Victims of Crime (OVC) defines confidentiality as:

  "The laws, rules, and regulations that prohibit certain professionals from disclosing information that can be used to identify the individuals they serve."

  - Limits the disclosure of information without the victim's consent.
  - Requires victim service providers to disclose any limits to confidentiality to the victim.
  - Practice "Need to know" standard when obtaining information.
  - A victim's decision to disclose information must be voluntary and free from pressure.

- Confidentiality standards provide a broad range of protection for victims with regards to medical records, immigration status, personal identifying information (PII), and other documents/information.
- All information about the victim, stated or inferred, belongs to the victim.
- Identifying information, options discussed, written notes and materials, and the fact that a victim has sought or received services are confidential.
- There are exceptions to confidentiality that victims' services professionals should understand and adhere to when delivering services.

  - Signed release of information
  - State mandated reporter
  - Duty to warn
  - Local Government Victim/Witness Personnel
  - Unique situations with children and adolescents

VOCA, VAWA, and Virginia Confidentiality Standards:

VOCA Standards

§ 94.115 Non-disclosure of confidential or private information.

(a) Confidentiality. SAAs and sub-recipients of VOCA funds shall, to the extent permitted by law, reasonably protect the confidentiality and privacy of persons receiving services under this program and shall not disclose, reveal, or release, except pursuant to paragraphs (b) and (c) of this section—

(1) Any personally identifying information or individual information collected in connection with VOCA-funded services requested, utilized, or denied, regardless of whether such information has been encoded, encrypted, hashed, or otherwise protected; or

(2) Individual client information, without the informed, written, reasonably time-limited consent of the person about whom information is sought, except that consent for release may not be given by the abuser of a minor, incapacitated person, or the abuser of the other parent of the minor. If a minor or a person with a legally appointed guardian is permitted by law to receive services without a parent's (or the guardian's) consent, the minor or person with a guardian may consent to release of information without additional consent from the parent or guardian.

VAWA Standards

Grantees and subgrantees shall not disclose personally identifying information or individual information collected in connection with services requested, utilized, or denied through grantees' and subgrantees' programs, regardless of whether the information has been encoded, encrypted, hashed, or otherwise protected.

This applies to victim services and not other subgrantees such as SANE programs, law enforcement, or victim/witness programs

Virginia State Laws/Statutes

- VA. CODE ANN. § 63.2-104.1 (2016), states:

  Programs and individuals providing services to victims of sexual or domestic violence may share:

  1. Non-personally identifying data in the aggregate regarding services to their clients and non-personally identifying demographic information in order to comply with Federal, State, tribal, or territorial reporting, evaluation, or data collection requirements;

  2. Court generated information and law-enforcement generated information contained in secure, governmental registries for protection order enforcement purposes; and

  3. Information necessary for law enforcement and prosecution purposes.

For purposes of this section, "programs" shall include public and not-for-profit agencies the primary mission of which is to provide services to victims of sexual or domestic violence.

- Comply with the Law:
  A victims' services professional may reveal confidential information in order to comply with mandatory reporting statutes (e.g., child abuse), law enforcement or administrative agency investigations, business operations, and other such lawful purposes.

  Keep in mind that HIPAA (the Health Insurance Portability and Accountability Act) contains a law enforcement exception that may affect some medical records.

- Court Order
  Victims' services professionals may release confidential information upon the receipt of an order by a court of competent jurisdiction.

Consent

A victims' services professional may release confidential information with the consent of the individual being served.

When given consent it is critical to consider the following:

Informed consent "means that the victim has been fully informed of the potential benefits and risks of releasing confidential information and the victim fully and freely consents to do so. The victim's authorization to release information should be made in writing."

- *"A victim's decision to disclose information must be voluntary and free from pressure"*
- Information can only be released on a "Need to Know" basis by those parties identified

Exceptions and Challenges to Confidentiality:

- The perimeters of confidentiality may vary with regards to the victims' jurisdiction, informed consent state/federal law, and communicating a threat.
- Grantees and subgrantees may release information if there is a statutory or court mandate or victim signs a release
- Common law "duty to warn" counts as a court mandate

***Please note:**

- Subgrantee programs must discuss with victim why information might be shared, who would have access, and what information could be shared (record in release)
- Programs shall have a confidentially policies to include those provided to clients and those provided to staff, board members, volunteers, and other.
- Programs may release information in the following circumstances:

  - There is a statutory or court mandate
  - Victim signs a release
  - Duty to protect (specific or immediate threat to cause serious bodily injury or death to self or others)

Promoting Confidentiality in Practice:

When working with Victims, an agency should have a standard confidentiality policy that is displayed in all areas were victims are served as well as signed and available in each individual's file. It is the responsibility of the Victims' Services professional that a Victim gives informed consent regarding release of information.

Informed consent "means that the victim has been fully informed of the potential benefits and risks of releasing confidential information and the victim fully and freely consents to do so. The victim's authorization to release information should be made in writing."

- *"A victim's decision to disclose information must be voluntary and free from pressure"*

The Agency confidentiality policy should include the following components:

- Confidential policy statement
- Exceptions to policy
- Confidentiality for support groups
- A victim can withdraw the authorization to release information at any time
- Procedures for:

  - Notifying victims of policy
  - Ensuring compliance with policy
  - Collecting, storing, and disposing of records

- Ensuring victims have been given informed consent
- Confidential services for minors
- Internal communications and supervision
- Responding to subpoenas

Confidentiality in Practice: Victim Records:

When providing services to individuals who have been victims of crime, most agencies maintain client/victim files to document services provided, case notes, contact information, etc. Each victim should be made aware of the content of their file, who has access to their record and how the record will be used.

- Victim Records should be addressed within the Agency Confidentiality policy
- Victim Records should be maintained in a secure and safe location with defined access standards
- Victim Record Files should not include:
  - Verbatim statements by the victim
  - Medical information
  - Internal communication about the victim
  - Diaries or personal note provided by the victim

Victims Services – Layers to Confidentiality in Practice

There are four major layers or key components to effective confidentiality policies. The layers are:

1) How are victims informed of the agency confidentiality policy? Is the policy posted in the office? Is it being consistently communicated to victims either verbally or otherwise prior to services being provided? Does the victim sign an acknowledgement of the policy? Is it in the agency brochure?
2) How are staff members being informed of their professional standard of confidentiality? Do they signed a detailed form acknowledging their responsibility to maintain and adhere to the office confidentiality policy? Is the staff policy signed on an annual basis? What is the office policy for discipline actions regarding failure to adhere to the policy?

3) How are is confidentiality addressed in progress reporting? Are staff members made aware that Personally Identifying Information (PII) should never be included in a progress report. Nor should any information that could unintentionally identify a victim (example: providing a defendant's name). Make sure staff members are aware that reports are subject to the Freedom of Information Act (FOIA) and can be reviewed by the public at any time.

Confidentiality Resources:

National Network to End Domestic Violence Confidentiality Toolkit

OVC-TTAC Maintaining Confidentiality

National Organization for Victim Assistance- "Ethics and Confidentiality Training"- Clair Ponder Selib, MSW, CA

Desk Tool: *Allowable vs. Unallowable*

Grant Source	General Rule	Allowable	Unallowable
VOCA	Focused on direct services for victims of crime. Costs must be: • Allowable • Reasonable • Necessary • Allocable	The federal VOCA Rule defines direct services to victims of crime as "efforts that: • Respond to the emotional, psychological, or physical needs of crime victims; • Assist victims to stabilize their lives after victimization; • Assist victims to understand and participate in the criminal justice system; • Restore a measure of security and safety for the victim." VOCA funds may be used to provide victims of crime with information and referrals. Ex: providing information about the criminal justice process and victims' rights; referrals to other victim service programs; and referrals to other services, supports, and resources. VOCA funds may be use to provide victims of crime with personal advocacy and accompaniment services. Ex: accompaniment to emergency medical care and forensic examinations; accompaniment to criminal justice system-related events; individual advocacy; and intervention with employers, landlords, schools, and others on behalf of the victim. VOCA funds may be used to provide victims of crime with emotional support and safety services. Ex: crisis intervention; safety planning; hotline services; individual counseling; support groups; and other therapeutic services. VOCA funds may be used to provide victims of crime with shelter and safe housing options. Ex: providing emergency shelter; providing transitional housing; arranging safe housing; and other relocation assistance.	VOCA funds may not be used for any of the following activities: • Lobbying • Research and Studies • Active Investigation and the Prosecution of Criminal Activities • Fundraising • Capital Expenses (including construction) • Compensation for Victims of Crime • Medical Care • Salaries and Expenses of Management

Grant Source	General Rule	Allowable	Unallowable
		VOCA funds may be used to provide victims of crime with criminal and civil justice system assistance. Ex: notification of criminal justice events; and accompaniment to court hearings, to meetings with law enforcement and prosecution, and to other criminal justice system-related events.	
V-STOP	Grant funds may be used only for expenses that directly relate to carrying out the activities described in the twenty-one purpose areas of VSTOP. Personnel, training, technical assistance, evaluation, data collection and equipment that promote the apprehension, prosecution and adjudication of persons committing violent crimes against women.	STOP funds should be used for projects that serve or focus on adult and youth (age 11-24) women and girls who are victims of domestic violence, dating violence, sexual assault, or stalking. STOP funds may be used to address child sexual abuse when the victim is now an adult, provided that the abuse occurred or continued when the victim was age 11 or older. STOP funds may be used to pay for health care providers' time conducting forensic examinations. STOP funds may not be used for general substance abuse counseling, but they may be used for victim service providers who wish to focus on providing services to victims with substance abuse issues. STOP grants can support supervised visitation and exchange by and between parents in cases involving domestic violence, dating violence, sexual assault, and stalking. STOP funds may be used to partially purchase equipment that will be used for the STOP project as well as other purposes if the expenses are prorated according to the percentage of time that the equipment is used for STOP purposes. STOP funds may be used to purchase food in some instances. The provision of food and beverages at training events or conferences is governed by the most recent version of the DOJ Financial Guide. Food provision within the context of victim services (e.g., providing food in shelters) is permissible if the food is necessary or integral to providing services to women to enhance their safety.	STOP funds may not be used for renovations, construction, land acquisition, lobbying, fund-raising, or formation of corporations. STOP funds cannot be used to fund any criminal defense work, including defending women who Services to incarcerated individuals that are rehabilitative services related to the crime committed by the incarcerated individual. STOP funds may not be used to pay for moving household goods to a new location or acquiring furniture or housing in a new location. STOP funds can be used to pay the first month's rent. Deposits are also allowable if the subgrantee has an agreement in place with the landlord that the full/remaining deposit will be returned to the subgrantee and not the victim at the end of the lease. STOP funds may not be used for couples counseling or any intervention that requires participation by a victim or that is not designed to hold offenders accountable for their violent behavior cannot be supported with STOP dollars. STOP funds cannot be used to purchase vehicles (this is a change from a 1998 memorandum that authorized the purchase of vehicles under certain circumstances). STOP funds cannot be used to pay for immigration fees for battered immigrant women.

Grant Source	General Rule	Allowable	Unallowable
		STOP funding may be used to purchase groceries as part of victim services that subgrantees provide to victims. Grantees and subgrantees need to have a process in place to ensure that all items purchased are allowable, reasonable, and necessary under applicable state and federal statutes and regulations and used for program purposes. Pursuant to federal regulations, the purchase of any alcohol, tobacco, or related products is strictly prohibited with the use of grant funds. Although the focus of this funding stream is on violence against women, STOP subgrantees must provide services to a male victim in need who is similarly situated to female victims the subgrantee ordinarily serves and who requests services. STOP funds may be used for services to incarcerated victims of domestic violence, dating violence, sexual assault, or stalking. The services provided, however, may only address the domestic violence, dating violence, sexual assault, or stalking victimization experienced by the incarcerated individual, including both such crimes experienced while incarcerated and crimes experienced at other points in their youth and adult lives. STOP funds may be used for Legal services, such as housing, family law, public benefits, and other similar matters. STOP funds may be used to cover reasonable transportation costs that would enhance a woman's safety such as transporting a victim safely out-of-state. Batterers' intervention programs may be supported provided that the programs use court monitoring to hold offenders accountable for their behavior. STOP funds may be used for Violence prevention programs, such as media campaigns to educate the general public about violence against women; however, no more than 5 percent of the state's total STOP award for the year may be used for this purpose.	STOP funds cannot be used to support the purchase of standard issued law enforcement items, such as, uniforms, safety vests, shields, weapons, bullets, and armory. They can only be used to purchase law enforcement equipment that is specifically for the purpose of responding to or investigating domestic violence, dating violence, sexual assault, or stalking, such as cameras to record injuries.

Grant Source	General Rule	Allowable	Unallowable
SASP	Focused on direct services for victims sexual assault Costs must be: Allowable Reasonable Necessary Allocable	SASP funds may support a 24-hour hotline services providing crisis intervention services and referral. SASP funds may support accompaniment and advocacy through medical, criminal justice, and social support systems, including medical facilities, police, and court proceedings Crisis intervention, short-term individual and group support services, and comprehensive service coordination and supervision to assist sexual assault victims and family or household members SASP funds may support the provision of information and referral to assist the sexual assault victims and their family or household members SASP funds may support Community-based, culturally specific services and support mechanisms, including outreach activities for underserved communities. SASP funds may support the development and distribution of materials on issues related to the services described above. SASP funds may be used to support projects that focus on direct services for children who are victims of sexual assault. Services rendered to child victims do not have to be provided in connection with serving an adult parent, and there is no age restriction on providing services to child victims. In addition, SASP Formula funds may be used to provide services to children of victims of sexual assault. SASP funds may not be used for education and prevention. However funds may be used for outreach to inform persons about the services provided by a specific program. For example, a program could use pamphlets, brochures, or community presentations to announce the services available under the grant.	SASP funds may not be used in connection with procedures or policies that exclude victims from receiving safe shelter, advocacy services, counseling, and other assistance based on their actual or perceived age, immigration status, race, religion, sexual orientation, gender identity, mental health condition, physical health condition, criminal record, work in the sex industry, or the age and/or gender of their children. SASP funds may not be used in connection with procedures or policies that compromise the confidentiality of information and privacy of persons receiving services. SASP funds may not be used in connection with policies that deny individuals access to services based on their relationship to the perpetrator. SASP funds may not be used in connection with materials that are not tailored to the dynamics of sexual assault or the culturally specific population to be served. SASP funds may not be used in connection with policies or engaging in practices that impose restrictive conditions to be met by the victim in order to receive services (e.g., mandatory counseling, seeking an order for protection). SASP funds may not be used in connection with Policies that require the victim to report the sexual assault to law enforcement Research projects. SASP funds may not be used in connection with activities focused on prevention efforts and public education (e.g., bystander intervention, social norms campaigns, presentations on healthy relationships).

Grant Source	General Rule	Allowable	Unallowable
			SASP funds may not be used for Criminal justice-related projects, including law enforcement, prosecution, courts, and forensic interviews. SASP funds may not be used for Sexual Assault Forensic Medical Examiner programs. SASP funds may not be used for Sexual Assault Response Team coordination. SASP funds may not be used for providing training to allied professionals and the community (e.g., law enforcement, child protection services, prosecution, other community based organizations). SASP funds may not be used for domestic violence services unrelated to sexual violence SASP funds may not be used for: • Lobbying • Fundraising • Purchase of real property • Construction • Physical modifications to buildings, including minor renovations (such as painting or carpeting) Food and Beverage/Costs for Refreshments and Meals are generally not allowable. OVW may approve the use of grant funds to provide a working meal at a meeting, conference, training, or other event, if one of the following applies: • The location of the event is not in close proximity to food establishments, despite efforts to secure a location near reasonably priced and accessible commercial food establishments. • Not serving food will significantly lengthen the day or necessitate extending the meeting to achieve meeting outcomes. • A special presentation at a conference requires a plenary address where there is no other time for food to be obtained. • Other extenuating circumstances necessitate the provision of food.

Grant Source	General Rule	Allowable	Unallowable
			Justification for an exception listed above must be submitted to OVW, and grantees may only use funds to purchase food and/or beverages if OVW approves the specific expenditures in advance.
VSDVVF	Virginia Sexual Domestic Violence Victim Funds (VSDVVF) are available to Commonwealth's Attorney's Offices for funding the cost of: Additional attorneys or to further dedicate existing resources to prosecute felonies and misdemeanors involving domestic violence, sexual violence, sexual abuse, stalking and family abuse, and VSDVVF is available to Law-enforcement authorities or appropriate programs, including civil legal assistance, to assist in protecting and providing necessary services to victims of and children affected by domestic violence, sexual abuse, stalking and family abuse.		

Commonwealth of Virginia
Department of Criminal Justice Services

Information Update Form

for Victims Services Grant Funded Programs

Victims Services grant funded programs *are required* to notify DCJS *within 30 days* of any personnel change (see grant special conditions). Please submit the completed form(s) to your grant monitor via e-mail. If you have any questions about when or how to complete the form, contact your grant monitor.

Program Name: _____ **Program Grant #:** _____

Reason(s) for completing programmatic change form:

☐ Employee Separation ☐ New Staff ☐ Extended Leave (longer than one week) ☐ Other_____

SEPARATION

***Required* Please indicate if staff person is one or more of the following**:

☐ Grant Funded Staff ☐ Project Director ☐ Project Administrator ☐ Finance Officer

Name, Title, and Grant Position(s) of Staff Leaving Program: _____

_____

Effective Date: _____

NEW STAFF/HIRING

***Required* Please indicate if staff person is one or more of the following**:

☐ Grant Funded Staff ☐ Project Director ☐ Project Administrator ☐ Finance Officer

Name, Title, and Grant Position(s) of New Staff: _____

Address _____

_____

Phone: _____ E-Mail (Required): _____

Effective Date: _____

Name of Previous Staff Person and Separation Date: _____

EXTENDED LEAVE

***Required* Please indicate if staff person is one or more of the following**:

☐ Grant Funded Staff ☐ Project Director ☐ Project Administrator ☐ Finance Officer

Name, Title, and Grant Position(s) of Staff to be on Extended Leave: _____

Effective Dates (Beginning): _____ Effective Dates (Ending): _____

Please list name and contact information of staff providing coverage and/or assisting with grant responsibilities:

Name: _____

Title: _____

Address _____

Phone: _____ E-Mail (Required): _____

NOTE: Grant personnel funds cannot be requested for staff coverage without prior DCJS grant monitor consult/approval

PCAR
PENNSYLVANIA COALITION AGAINST RAPE

VICTIM SERVICE PROGRAM EVALUATION

This manual was written by: Kathryn Collins, Ph.D., Ann Emmerling, Deborah McManus, Jamie VanEpps and Gail Witwer

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SARCC, Lebanon County
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AW/ARE, Inc., Mercer County
WOAR, Philadelphia County
Rape & Victim Assistance Center, Schuylkill County
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FOREWORD

The Victim Service Program Evaluation project (VSPE), formerly known as the Outcome Based Evaluation Tool Collaboration (OBET), was started in 1996 by six victim service agencies in Western Pennsylvania with the intention of assessing the effectiveness of services and developing a more effective way of demonstrating to funding sources and the public the purpose and impact of providing services to victims of crime. Eleven years later, this second edition manual is the result of years of education, trial and error, and statewide cooperation. It is intended to serve as a guide for victim service agencies wanting to embark on the process of evaluating the services they provide. Before beginning, there are a few items that need to be addressed in order for you as readers to fully understand this manual.

First, we recognize that terminology used to describe an individual who has experienced the trauma of victimization creates considerable debate throughout the field. Is it more appropriate to use "victim" or "survivor" when describing the individuals we serve? We believe there are many reasons, each one valid, for the use of either term. For the purpose of this manual, we will use the term "victim" throughout the document. Additionally, individuals seeking services include victims, witnesses, and significant others. Throughout the manual the term "victim" will include all people who are personally impacted by violence, including direct victims, witnesses and significant others.

Second, this manual can be used by any victim service agency, regardless of location (urban versus rural), type (systems or community based), or population served (domestic violence, sexual assault or other serious crimes). Understand, however, that it is written from the perspective of a community-based victim service agency.

Third, it was written with the intention of evaluating the effectiveness of services in helping victims achieve their own desired outcomes, not as a means of judging a victim's decisions or "progress" in counseling.

Fourth, we understand there are a number of outcomes each agency may be required to track or simply want to track that are not included in our tools. For example, if you are a systems-based agency, you may want to track outcomes pertaining to law enforcement. Agencies providing services to victims of domestic violence may want to track the success of long-term housing options for domestic violence victims. Agencies providing services to sexual assault victims may choose to track the number of requests for medical advocacy services received from local emergency rooms to determine if there is an increase in referrals over time. The outcomes included in this methodology were ones identified by victims as the areas of life most impacted by the trauma of victimization, and focus on areas in which a victim service agency may have impact through the provision of service. Outcomes that aim to measure goals outside of the agency's direct impact, such as "the sensitivity of the criminal justice system to victims of crime" are not included in this model of evaluation. An agency's ability to assist victims to positively cope with and adapt to life with the changes that result from victimization – a goal of agencies providing services to victims – is what we are measuring.

Fifth, we have tested the tools in this methodology for literacy level. They reflect a sixth-grade reading level. If you have a client who does not read at this level, you will need to explore options for them to complete the questionnaire, e.g., having a staff member assist them in reading the questionnaire. With respect to other comprehension concerns, it would not be appropriate to use the tools with individuals with severe to moderate cognitive or psychological disabilities. We encourage you to follow the guidance of any caregivers who may be providing accompaniment or serving as legal guardians or to utilize your professional discretion based on your interactions with the individual coming before you.

Finally, program evaluation is a dynamic process. As the needs of victims and victim service agencies change, so do the services and methods of service provision. It is logical then, that the process of evaluating these services should adapt as well. As such, any tools used as part of the evaluation process should be reviewed at regular intervals to assess their relativity and usefulness.

This manual is not intended to be used as the final source on program evaluation. We encourage you, the reader, to continually educate yourself on this process, examine current literature for new ideas and communicate what has worked and what has not worked for your agency. This manual will take you through our process of developing this methodology, provide practical suggestions for implementation, and conclude with a discussion of the future of this project.

CHAPTER 1

THE HISTORY OF THE PROJECT

In 1992, six victim service agencies from Western Pennsylvania came together after recognizing a need for a statewide, standardized system to enhance the reporting of statistical data to funding sources. The methods of hand-tallying or making template software work "for the most part" were no longer providing adequate evidence to answer questions from funders about the impact of victim services. These six agencies sought to develop victim service-specific software that would enhance their capacity to identify trends, allocate resources, and more effectively administer programming to meet client needs in a time efficient manner. A statewide database of service information would also add credence to the need for continued and even increased financial support.

After four years of work funded by the Pennsylvania Commission on Crime and Delinquency, the group released the R/Client software package for distribution across Pennsylvania. This project changed the way many agencies tracked clients and produced reports on service numbers (e.g., clients served, hours of counseling, days of shelter). However, this was just the first step. The group desired to develop a more robust method of illustrating the effectiveness of victim services beyond anecdotes and hunches or total number of service hours provided. They wanted tools that could be used across the state to measure the impact of services.

In 1996, this group of victim service agencies reconfigured as the Outcome Based Evaluation Tool Collaboration (OBET), and partnered with the Pennsylvania Coalition Against Rape (PCAR) to make the vision a reality. Having succeeded at gathering client demographics and reporting modules through R/Client, the OBET was ready for the next step. Both the OBET and PCAR were seeking opportunities to assess the impact of services and make informed decisions about the best use of available resources in working with victims of sexual violence and other forms of violence. They asked "How do we know that what we do really works, and how do we measure and prove it?"

The goal of the group was to develop a methodology that was client-driven, self-report structured, and specific to the services agencies provide statewide. As its first task, OBET embarked on extensive research into program evaluation and existing tools and processes, to identify resources that would help the group achieve that goal. Was anyone already doing this? Was there a model to follow? What exactly would program evaluation and tool development entail?

In order to measure the effectiveness of victim services, OBET needed to start with a standard list of the services that would be evaluated: which services were provided by all victim service agencies, regardless of the type of victimization or the location of the program, and what comprised those services? To meet this need, OBET used service definitions from PCAR as the basis for their work, which provided both a listing of services and definitions for each of those services.

OBET also recognized that the project required input from a variety of stakeholders in order to determine the impacts of victimization (potential outcome areas) and to clarify expectations regarding outcome measurements. To accomplish this, OBET conducted 12 focus groups across Pennsylvania. The focus groups included victims, victim service providers, law enforcement officials, court officials, policy makers and funding sources. From this information, OBET created: (1) a pre-post service questionnaire methodology to evaluate the outcomes of counseling or therapy services to clients; and (2) a post-service only methodology to evaluate outcomes and satisfaction with all services. The first version of the tools was released in 2002, along with implementation guidelines, to victim service agencies in Pennsylvania. Prior to release, OBET sought input from stakeholders throughout Pennsylvania, and field tested the tools and processes (see "Developing the Methodology" in Appendix VII of this manual).

Shortly after the initial release, OBET sought feedback from a number of experts in the field of program evaluation, from universities to government institutions. Though praise was given to the initial efforts, a common question emerged: How does OBET know these tools are truly measuring what they were intended to measure? And what proof is there that the tools could be used universally with victims of all demographic and victimization categories? Essentially, where were the psychometric data, in other words, the data that proved the tools were reliable and valid?

Based on this feedback, two agencies from the original OBET Collaboration – the Blackburn Center (Westmoreland County) and the Center for Victims of Violence and Crime (Allegheny County) – reconvened with PCAR to undertake the next phase of the project: reliability and validity testing. They set out to do more rigorous testing to lend greater credence to the tools through statistical analysis. In 2004, the leaders of the project partnered with a researcher from the University of Pittsburgh, Dr. Kathryn Collins, who then became affiliated with the University of Maryland. With the guidance of Dr. Collins and many others, the collaborative embarked on a statewide test of the tools, or "norming," using a voluntary group of victim service agencies as sources of data and field testers. The Institutional Review Board (IRB) of the University of Maryland, Baltimore approved the study. It was at this point that the OBET evolved into the Victim Service Program Evaluation Collaboration (VSPE). The project will be referred to as such throughout the remainder of this manual. This manual contains the results of these past three years of testing – and the lessons learned along the way.

CHAPTER 2

PROGRAM EVALUATION: BASICS IN UNDERSTANDING AND THE CONTEXT FOR VSPE

- What Is Program Evaluation? Why is it Important?
- Reliability and Validity
- Ethical and Practical Considerations of Developing an Evaluation System

WHAT IS PROGRAM EVALUATION? WHY IS IT IMPORTANT?

Program evaluation is the method of determining to what extent a program or particular service meets the purpose for which it was designed. It includes an assessment of all aspects of a program – the design, administration, implementation, planning and effectiveness. To some, the term evaluation may appear straightforward. However, the concept is more complex, and there are many possible methodologies for evaluating a program – experimentation, questionnaires, client observation and more. Each method has benefits and limitations.

Additionally, there are different types of information that can be gathered and analyzed, depending on the method of evaluation chosen (e.g., quantitative versus qualitative data; process versus outcome data). It is important to understand the different types of information and what type your agency wants to gather before you decide how to evaluate a program.

The information can be gathered through different types of questions on questionnaires – questions that ask for a yes/no response, others that ask you to rate a service on a Likert scale (scale of 1-5 or 1-10) and items that ask openended questions (seeking comments or suggestions from respondents). Differently structured questions gather different types of information. In Chapter 3, we describe the structure of questions used in the VSPE tools.

What type of information can be gathered?

Quantitative information is very simply information that can be quantified – any information that can be turned into a number. Some examples include the number of clients served, number of service hours provided, percent of clients who report they felt safer after receiving services, etc. Quantitative data is generally gathered via questionnaires, intake forms and statistical data forms.

Qualitative information is any other information gathered that cannot be quantified – such as client statements made to therapists and/or advocates ("I feel like I can't get out of bed in the morning." "I have headaches every day." "I managed to spend time with my kids this weekend and smiled."). Suggestions, positive comments, or complaints filed with administrators or receptionists also fall into this category ("You should provide phone numbers for shelters for women with kids." "Your advocates were a Godsend!" "Parking around here is awful.").

All of this information can be vital and offer insight into programming. It is important to note that, beyond this, funders in general are looking for quantitative data to determine effectiveness of service. Numbers and

percentages are the "bread and butter" of program evaluation. However, as evidenced by victim impact statements, personal statements and testimonies (qualitative data) are equally powerful. Qualitative data can be used to encourage staff to keep up the important though stressful work, for community awareness efforts to make the issues more personal, or for writing grants. It is also useful for identifying key issues to further explore quantitatively. We recommend agencies gather both types of data. The Empowerment and Satisfaction Questionnaire (ESQ) we developed was designed to gather both types of information. (This tool will be discussed further in Chapter 3).

What is the difference between process and outcome evaluation?

Simply speaking, process evaluation does just what it says - assesses the process used in providing services to victims. It tracks what resources are used, the kind of services offered and who receives the services. Process evaluation is also a helpful tool for determining a client's satisfaction with the agency and/or services provided. Examples of process evaluation include the number of clients served in a particular period of time, how an agency implements services and activities, or the resources used by staff and volunteers to provide the service. Funding sources may ask organizations to generate annual work plans, or logic models that include the following process evaluation data:

Program activities – for example, distribution of pamphlets to hospitals, distribution of hotline cards to schools;
Program outputs – for example, number of clients served via advocacy services, number of hotline calls taken, number of information fairs attended, number of referrals made, and percentage of clients satisfied with services.

While process evaluation certainly has its place in program evaluation, there are several limitations of using only process evaluation that are important to note.

Process evaluation cannot assess or measure:

- actual progress in a client's recovery from trauma,
- the impact of services, or
- the effectiveness of services in meeting a client's needs.

Historically, all not-for-profit organizations, including victim service agencies, relied on process evaluation alone. Many organizations developed a range of systems to track the amount of service provided and clients' satisfaction with those services. More recently, these organizations have begun implementing outcome evaluation, asking the question: *how have our services impacted the lives of the clients we serve?*

Outcome evaluation measures the impact of the services, not just the process that was used to deliver the services. It asks the question, "Do the clients we serve benefit from those services?"

"Outcomes" reflect the specific changes that occur in participants' level of functioning, knowledge, skills, and status as a result of their participation in the program. Outcome evaluation is focused on the changes that occur in the lives of clients while they are receiving services, often representing changes that clients have identified as goals at the beginning of services. Using specific, targeted indicators, outcome evaluation substantiates the success of a program in helping clients meet their needs or achieve their goals. Service providers using outcome evaluation can examine these changes in the short-term, intermediate-term and long-term.

Unlike most process evaluation items which are fairly easy for a client to report and a program to measure, such as satisfaction with services or the number of counseling sessions attended, outcomes can be more

challenging to measure. Changes in a client's life (e.g., improvement in sleeping habits, increased feelings of personal safety, ability to concentrate) may require a point of reference to be established before change can be measured. For example, how does the client describe sleep patterns at the time they first arrive for service? Has the client then experienced improvement in this area through the course of service? This reference point must be established in the data collection methodology - either by using a pre-post questionnaire method or in a post-only method with written instructions to the client completing the questionnaire to explore changes in a specified time frame.

Why measure outcomes?

Measuring and evaluating outcomes demonstrates an agency's commitment to providing services that meet clients' needs and produce intended impacts, versus just focusing on the volume of services provided. For many years, victim service agencies have provided a high volume of services to victims and have been able to report, in some cases, ever-increasing numbers of clients served and hours of service provided. However, the volume of service does not inform an organization of the effectiveness of these services beyond anecdotal information or client satisfaction responses. Outcome evaluation provides the information needed to implement the changes that are necessary to make service provision more efficient and effective. Evaluation can strengthen existing services by providing feedback that programs can use to adapt, improve, and increase effectiveness.

Benefits of outcome measurement

Improve quality of services.	Evaluating the outcomes of services serves as a tool to improve program quality. It provides data for two purposes: to assess the agency's ability to meet clients' needs, and to compare current operations with agency objectives. The impacts that result from an agency's operations can be compared with external standards or with the agency's own plans, policies, and guidelines.
Recruit and retain talented staff; enlist and motivate volunteers.	The success of the agency, which can be communicated in the outcome data, will be a strong selling point for prospective staff members and volunteers. In addition, staff and volunteer morale increases and retention rates improve when the effectiveness and impact of their work is able to be proven and clearly stated.
Identify training needs.	As a result of outcome data, an agency will be able to identify areas where training is needed for staff or volunteers. Training resources can be allocated in a more focused and productive manner. For example, an agency may note that their counselors are not having the intended impact in responding to clients who report difficulty with anger issues. Based on this information, the agency managers can plan for training to build staff competency in this area.
Prepare long-range plans.	Outcome data can significantly contribute to program development and enhance decision-making about continuing or expanding effective programs and changing less effective services.
Focus board members' attention on programmatic issues.	Board members will be provided with a new perspective on the impact of the services provided by the agency.
Develop and justify budgets.	It is much easier to make decisions about allocation of resources, and to defend those decisions, when data is available about the effectiveness of programs.

Provide required information to funding sources about impact of services.	Funding sources are increasingly holding agencies accountable beyond reporting the quantity of service. Outcome measures provide a mechanism to assess, validate and report on the effectiveness of victim services.
Provide a communication tool to publicize the program's activities and accomplishments and the impact they have on the community.	For many community members, the value of victim services is not always apparent and may seem vague or intangible. This may lead to an erosion of financial and community support for the program's mission. Evaluative data that documents tangible results can have a significant effect on the agency's viability.
Reinforce program accountability.	Knowledge that board members, community representatives, and other supporters can gain about the outcome of services will motivate program staff to greater efficiency.
Increase external support.	When an agency is seeking support from a new funding source, outcome data is a valuable tool in justifying program budgets and demonstrating that the agency's work is effective. This will have a positive impact on decisions by funding sources to support an agency's services.

What to measure?

The victim service field across Pennsylvania and the nation is as diverse as the victims we serve. Programs may be community-based or systems-based; serve an urban or rural population; serve victims of domestic violence or sexual assault, or victims of other types of crime; or provide short-term counseling or long-term therapy. Because victim service agencies are unique in many ways, determining what outcomes to measure should be based on the services being provided. You want to measure the impact that your particular services have on a client—the benefits that a client receives from coming to your agency. In addition, you will want to track process evaluation information (for example, satisfaction with services or number of counseling sessions attended) to assess your efficiency and effectiveness. This is also an indicator of effectiveness within the community you serve.

To determine the benefits a client receives through services, and what evaluation tools should measure, we conducted focus groups in the late 1990s with victims, victim service professionals, and other invested stakeholders to gather input. From those focus groups, common impacts of victimization emerged. From these impacts, we developed outcomes and the tools presented in this manual. We do not expect the tools we have developed to measure every outcome an agency is interested in measuring. These tools may serve as a foundation – measuring outcomes for issues that are common to victims in general, regardless of the type of victimization experienced. The tools may be used in conjunction with other questionnaires or methods to gather information about the impact of services. The process we engaged in to define what to measure is as follows:

Step 1: Define the program's purpose, or goal

Before any outcome is identified, you must have a clear understanding of the purpose/goal of a program. The first questions to ask are, "What are the victim's needs?" "What is the intended impact of this service?" "What do we want to achieve through our services?" and "What are the goals and objectives of our program as they relate to services for victims?" Without this information, it is impossible to know what to measure. The focus group participants answered these questions when the first sets of evaluation tools were developed.

Step 2: Define program objectives

It is important to note the difference between a goal and an objective. Goals may be global and general in nature. For example, "to assist victims in healing from and coping with a traumatic experience" can be one goal of service provision. Objectives, however, must be specific and measurable. Outcomes stem from objectives, not goals. In working with victims of violence, some objectives related to the goal noted above may be "to reduce the physical or emotional effects of trauma", "to increase the client's knowledge in a specific area associated with the trauma", "to enhance coping skills", "to increase the client's ability to function in life roles", or "to increase client satisfaction with services received".

Step 3: Reframe objectives as outcomes

After determining what objectives will accomplish the goal, the next questions to ask get even more specific. Continuing the example from above, these objectives need to be clarified with questions such as, "Has the client's knowledge about what to expect in the legal system and resources in the community increased?" Or, "What are the tangible physical or emotional effects of trauma that we can track with a client?" and "How do we know if a person is functioning as well as they want in life?" Many trauma-related symptoms, such as sleeplessness, nightmares, headaches, stomachaches, etc., are common to survivors of violence. Changes in these frequently-occurring symptoms can be measured. Similarly, changes in a person's ability to function in life roles can also be measured. For instance, to function in the role of an employee or student, one must be able to concentrate on a task. Increased knowledge of systems and resources is also measurable. These specific items translate into the questions that measure your defined outcomes.

RELIABILITY AND VALIDITY

We used focus groups to determine the most relevant outcomes to measure in order to identify the impact of victim services. However, it was not enough to say that the outcomes being measured were identified by "qualified" individuals from first-hand knowledge. The tools developed to evaluate those desired outcomes needed to be proven to be statistically sound in order to report the results as being statistically meaningful. The tools needed to be tested for reliability and validity – two important concepts that were not addressed in the development of the original tools.

What does it mean to say a tool is "reliable and valid"?

Reliability

When a tool is reliable, **it consistently measures the same concept each time a person completes the questionnaire.** That's not to say that the responses from the person are the same each time. However, if the tool is reliable, then over repeated administrations with the same or similar groups of people, the results should be consistent, assuming the conditions that are being assessed have not changed. The items are worded clearly, with little chance of different interpretation of meaning from one reading to the next. Therefore, every person who reads each question understands it to be asking the same thing. This means that there is a very small chance that something random will happen to sway the results. If a client is completing the questionnaire in the morning or evening, in person or over the phone, in a rural or urban area, filling it out themselves or having it read to them by an agency staff member, or having two different staff members administer the questionnaires, they'll understand the questions to address the same concept from one time to the next. The results will be consistent and stable.

Validity

Ensuring that the tools measure what they are intended to measure is called validity. For example, a third grade math test would not be a valid tool to use to measure knowledge for a twelfth grade calculus student.

Similarly, victim services, it is important to know that the tools are evaluating the impact of services, not the impact of other things happening in a client's life (e.g., the impact of going through the criminal justice system or of spending the night in an emergency room following a rape). It would not be valid to say that a woman who was visibly upset the first time she came to your agency benefited from services because the next time she came in she was calm. Nor would it be valid to say the tool was measuring the impact your agency had on improving coping skills if you're only asking questions about one kind of coping (e.g., emotional), but not inquiring about sleeping or eating habits, risky behavior, or school or work functioning.

While a tool may be found to be reliable, it may not be valid. For example, we know that a scale that is balanced correctly is reliable to measure weight. Yet, scales are not a valid measure for height. Finally, for a tool to be considered valid, it must be reliable. For example, if a home scale consistently measured an individual's weight as 15 pounds every time she stepped on the scale, we know that it is reliable. However, if that individual is a 5'4" woman and her doctor's scale consistently measures her weight to be 120 pounds, we know that the home scale is not valid (because it is not calibrated correctly).

ETHICAL AND PRACTICAL CONSIDERATIONS OF DEVELOPING AN EVALUATION SYSTEM

When conducting evaluations, ethical and practical considerations must be taken into account. Different types of services may require different evaluation methodologies to be utilized. The following are issues that should be discussed by your agency before deciding on a methodology for program evaluation:

Timing of evaluation

When to evaluate a service is a difficult decision for many victim service personnel. Considering what was already discussed about the types of information that can be collected, certain services present challenges in collecting a wide range of information. For example, crisis intervention services provided by a 24-hour hotline are appropriate for process evaluation, as are advocacy services that provide immediate support and assistance to victims through the medical and legal systems. However, it is neither practical nor ethical during a one-time hotline contact or during an accompaniment to the hospital or the police station to attempt the pre/subsequent methodology used for outcome measurement.

On the other hand, in-person counseling and therapy provide an ongoing, supportive relationship for clients to work through their victimization, and are appropriate services for both process and outcome evaluation.

However, it is important to keep in mind that the needs of a client should never be ignored or compromised to gather data for evaluation. As such, when a client is in an acute crisis, regardless of how long they have been receiving services or what type of service they are receiving, it is neither practical nor ethical to administer evaluation methodology of any type.

Informed consent

An agency must be attentive to informed consent for clients. When appropriate, inform the client what the purpose of the questionnaire is: to evaluate services. Further, participation in service evaluation is voluntary, and each client should be asked to sign a consent form before participating. An agency should never base the provision of services on a client's willingness to complete the questionnaires. Our clients, because of the tremendous stress in their lives from the victimization, often feel judged or stigmatized by others. It is important that we convey unconditional positive regard for their participation or non-participation in the evaluation of our services.

Confidentiality versus Anonymity

For many victims, confidentiality is imperative. This is not a new concept for the field. However, confidentiality is an issue for program evaluation as much as in service provision itself. If an agency chooses to link pre-post questionnaires to clients' identities and enter data into R/Client or a similar database software, be aware that the questionnaire information remains confidential but becomes part of that client's record, and must be included if the client's record is subpoenaed for court proceedings.

Anonymity is another factor that most experts in program evaluation would tell you increases the honesty and accuracy of answers. When evaluation is not done anonymously, clients may answer in a biased manner – how they think you as the staff person want them to answer. They may also be reluctant to criticize or provide any negative feedback.

Services can be evaluated anonymously by simply omitting identifying information from the questionnaire (demographic information is not considered identifying) and having the person who administers the questionnaires be different from the person who provides the service or enters the data and/or analyzes the information. For victim service agencies, anonymity should not present a problem in most circumstances. However, situations may arise that present challenges. These include, but may not be limited to:

1. If a client discloses a desire to hurt her/himself or someone else, or discloses further victimization anonymously on a questionnaire. As professionals, we have a responsibility to help but would have no way of doing so. To remedy this dilemma, we recommend including a line in the consent form or in the instructions reminding the client completing the questionnaire of the purpose of the questionnaire – that the questionnaire is for program evaluation only, and that a therapist will not see responses or comments.
2. If the agency is short-staffed and does not have enough people for the administrator of the questionnaire to be different from the person providing the service or the data analyzer. In this case, have the client fill out the questionnaire or tool in a separate space from where the staff person is (at home, in another room) and then place the questionnaire in a sealed envelope. Mailing it back would be one option to ensure anonymity (excluding the identification of a return address, of course). If that is not an option, the agency must take into account that the answers may be biased.

We provide you with best practice suggestions for preserving client confidentiality and/or anonymity in Chapter 5.

THE DESIGN:
PLANNING FOR PROGRAM EVALUATION

CHAPTER 3

In the previous chapter we mentioned how important it is to plan before trying to implement an evaluation process. This chapter will take you through our planning process, how we determined what to measure and how we chose the tools.

THE LOGIC MODEL

According to the W.K. Kellogg Foundation's Logic Model Development Guide (Kellogg 2004, p. 1):

> *"A logic model is a picture of how you believe your program will work. It uses words and/or pictures to describe the sequence of activities thought to bring about change and how these activities are linked to the results the program is expected to achieve."*

We have found that clarifying what to use as evaluation measurements is easier when you start with a logic model. A logic model provides a concrete picture of what your organization is trying to accomplish with each service (it is best to use a separate logic model for each service) and what resources you need to provide that service. Logic models can be as complex or as simple as you choose to make them. The more detailed and specific they are, the more accurate a picture they will portray of services. In developing the logic model for a service, be realistic with your projections based on available resources, duration of your services and/or the length of the typical interaction with your client base. Include as many stakeholders as possible in the development of the logic model in order to have a complete description of the service. A comprehensive, accurate description of services, with intended impact of the service defined, makes it much easier to evaluate that service.

We developed logic models for the following services defined by PCAR: Advocacy (legal and medical combined), Crisis and Supportive Counseling, and Therapy. We also developed a logic model for a PCCD-mandated service: Victims Compensation. Through these logic models, we were able to identify both short-term and intermediate-term outcomes. In some cases, the outcome is linked to a specific item in one of the VSPE tools (e.g., increased knowledge). Other outcomes relate to an entire subscale of a tool (e.g., increased coping and sense of empowerment). See the sample logic model on the next page for a crisis/supportive counseling program. We provide a detailed description of scales and subscales later in this chapter. We recommend the W.K. Kellogg Foundation's Logic Model Development Guide for a step-by-step guide to help you create your own program-specific logic models. The model can be downloaded at no cost at www.wkkf.org.

LOGIC MODEL: Crisis/Supportive Counseling Programs

Inputs Certain resources are required to operate the program…	**Activities** If we have these resources, then we can accomplish…	**Outputs** If we accomplish the activities, then clients will receive this extent of products and services…	If we provide the extent of service intended, clients will have increased knowledge and skills, and decreased symptoms due to the impact of their victimization.		
			Short-Term Outcomes ***EXAMPLES***	**Intermediate-Term Outcomes** ***EXAMPLES***	****Long-Term Outcomes** ***EXAMPLES***
Funding is required to provide: • Crisis intervention/ counseling modality. • Trained crisis responders/ counselors. • Physical space for the program. • Equipment (phones/ computers). Information on local services and programs for proper referrals. Method of making public aware of the issues and agency services (via advertising or community outreach programs). Client notification of available services by systems.	Counselors provide tools to empower clients over the phone or in person by: • Planning for safety. • Normalizing and validating feelings. • Identifying available options. • Identifying individual rights. • Assisting with emotional stabilization and coping skills. • Assessing needs. • Educating on the impacts of trauma and what to possibly expect in the near future. • Exploring personal safety skills. • Involving clients in the decision-making process on how they will use the resources offered. Staff members refer clients to other needed services internally and externally.	Number of hotline calls. Number of clients. Number of hours spent providing crisis intervention or supportive counseling services. Number of client referrals (to and from). Number of clients who utilized more than one service at the agency.	* 1. Percentage of clients reporting satisfaction with the agency services. *(Subscale: General Satisfaction on ESQ-LF)* 2. Increased sense of safety. *(Item 13 on ESQ-LF)* 3. Creation of a safety plan. *(Item 11 on ESQ-LF)* *4.* Identification of support systems. *(Item 9 on ESQ-LF)* 5. Knowledge of the effects of crisis and trauma. *(Item 10 on ESQ-LF)* *6.* Increased coping and empowerment. *(Subscale on ESQ-LF)* 7. Increased knowledge of victim compensation process. *(Subscale on ESQ-LF)*	*1.* Decrease in risk-taking behaviors. *(Scale on ACQ)* *2.* Decrease in avoidant/numbing symptoms. *(Subscale on ACQ)* *3.* Decrease in hyper-arousal symptoms. *(Subscale on ACQ)* *4.* Decrease in intrusive recollections. *(Subscale on ACQ)* 6. Increase in sexual functioning. *(Scale on ACQ)*	Enhanced client capacity to address own needs. Enhanced client well-being. Reduction of risks for future victimization (identification of vulnerabilities). Experience success in overcoming the trauma of victimization.

LOGIC MODEL notes:

- An individual item cannot be removed from the tool and asked independently from its scale or subscale; to maintain validity and reliability, all items in a scale or subscale must be asked. However, outcomes can be reported for individual items (questions).
- ACQ and ESQ-LF refer to the VSPE tools.
- The outcomes noted above are examples and are not an all-inclusive list.

* "Percentage of clients reporting satisfaction with agency services" may be considered an output or an outcome depending on the definition of an outcome from the source requesting the data.

** Long-term outcomes are not covered by these tools or this manual.

What are the components of a logic model? (Kellogg 2004, p. 2.)

1. What is needed to make this program a reality?

Inputs are specific resources that are needed to operate a program such as staff, volunteers, time, money, supplies, equipment, technology, training, etc.

2. What can be done or provided if these resources are available?

Activities are what a program does with the resources. They are the services, processes, techniques, events and actions of the planned program. Some activities provided by a victim service agency may be the provision of emotional support, identification of individual victim rights, education on available resources, or accompaniment to medical or legal proceedings.

3. What will be the quantifiable result if these activities are accomplished?

Outputs are the direct results of program activities. They are usually described in terms of the size and/or scope of the services and products delivered or produced by the program. The outputs for a victim service program might be the number of hotline calls, number of clients served, number of crisis counseling hours provided, or number of accompaniments to legal proceedings. These are measurements for process evaluation.

4. What impact will the client experience as a result of the services?

Outcomes are specific benefits received by the clients as a result of services. The benefits for clients most often identified by staff members working in the victim service field are changes in client attitudes, behaviors, knowledge, skills, or level of functioning.

Outcomes can be short-term, intermediate-term and/or long-term. The difference between each level is usually the length of time it takes to achieve the outcome or the complexity of each outcome. This will be determined by an agency as it establishes the intended impact of its services. Generally speaking, short-term refers to benefits that may result from a briefer intervention, and experienced within the first year of service or less; intermediate-term outcomes may be accomplished with a more sustained intervention, and would more likely occur within two to four years of service. Long-term outcomes, in the field of victim services, are difficult to measure. Since many clients do not stay in contact with the agency providing services for an extended number of years, the data to track long-term outcomes is difficult to gather. The safety considerations in contacting clients post-service and the resources required (time and money) often make evaluating long-term outcomes prohibitive. You may be able to track the long-term outcomes if your agency has contacts with social researchers interested in the long-term effects of victimization. You would need to explore the ethical, practical and safety considerations before undertaking such a project.

For concepts that can be measured with the VSPE tools, examples of short-term outcomes for victim services may be an increased sense of safety, the development of a safety plan, increased knowledge of options, or increased coping and empowerment. Examples of intermediate-term outcomes are a decrease in risk-taking behaviors or decreased post traumatic stress symptoms. (These examples are also referenced on the sample logic model on page 3-2.)

We used the following terminology to discuss the development of our tools:

Tools/Questionnaires: Broad terms used to describe the documents we developed (instruments, surveys, etc).

Scale: The grouping of items on a questionnaire that address a specific outcome. You may state an outcome based on a scale. A scale may also be referred to as an **indicator** (information that **indicates** a particular outcome).

Subscale: A grouping of items within the larger scale that address a specific outcome. You may state an outcome based on a subscale. A subscale may also be referred to as an **indicator** (information that **indicates** a particular outcome).

Item: Each question or statement within a subscale or scale. You may state an outcome based on an item. An item may also be referred to as an **indicator** (information that **indicates** a particular outcome).

The next section provides additional information about scales, subscales and items.

THE TOOLS

After we had clearly defined outcomes, we developed tools/questionnaires to measure them. This is where we saw the biggest void when we started the project in 1996. Historically, tools/questionnaires have been developed within the mental health and social work fields that could be used to measure individual issues clients experience post victimization (e.g., anxiety or depression), but an inclusive tool that addressed the full range of issues could not be found. To further complicate matters, most were developed as instruments to assess a client's symptomatology or diagnosis, not as something to be used to evaluate the effectiveness of services. There was a paucity of tools/questionnaires that were comprehensive enough to address a broader range of issues or designed for evaluation of victim services. Therefore, we set out to design tools/questionnaires that would evaluate the impact of services on the range of problems commonly experienced by victims of crime.

We recognized that we would need more than one tool to accommodate the different types of services offered by agencies and the different methods of providing those services. Therefore, we developed two tools/questionnaires (see Appendix I for copies of these tools):

- **The Adult Client Questionnaire (ACQ)**, to evaluate the effectiveness of the agency's services in helping clients with the issues that result from victimization.
- **The Empowerment and Satisfaction Questionnaire (ESQ),** to evaluate a client's satisfaction with the services, and the impact of services on a client's life.

Adult Client Questionnaire (ACQ)

As noted above, the ACQ measures the impact an agency's services have on clients. This tool is designed for self-reporting and is geared to adult clients. The questionnaire is to be answered before the beginning of services (pre-service) and at periods of time during (subsequent-service) and at the end of services (post-service) to measure the degree of change a client experiences in the issues that result from victimization.

By asking about the behavioral, emotional and physical factors in a client's life each time the questionnaire is administered, a client's current life experience will be conveyed through her/his responses. Comparing the responses from the pre-service questionnaire (questionnaire administered prior to services) and subsequent questionnaire (questionnaires administered at an interim point and/or at completion of services) provides a measurement of the degree of change occurring in a client's life during the course of service.

The ACQ is comprised of 25 questions, or items, which are organized in four separate scales. The scales are: Risk Taking Behavior, which consists of four items that measure if the client is involved in risk taking behaviors; Eating Behaviors, which consists of two items that measure the client's eating habits; Sexual Functioning, which consists of two items related to a client's perception of difficulties with sexual functioning; and Post Traumatic Stress Symptoms, which is a 17 item self-report measure of symptoms of post traumatic stress (PCL-C; Weathers et al, 1993). Within this post traumatic stress scale, there are three subscales: intrusive recollections, avoidant/numbing symptoms, and hyper-arousal symptoms.

In reference to these scales and corresponding items, clients rate how much they were "bothered by that problem in the past month." Items are rated on a 5-point scale ranging from 1 ("not at all") to 5 ("extremely").

We developed other versions of the client questionnaire to be used for teens, children, and for caregivers to complete for children too young to complete their own questionnaire. Because of a lack of data, we were not able to complete the reliability and validity testing on these tools, and so have not included them in this manual. There are other tools available in the literature on post-traumatic stress for assessing the impact of trauma for these populations that may be adapted for the purpose of service evaluation. They are described in the appendix of this manual (Appendix VI).

Empowerment and Satisfaction Questionnaire (ESQ)

As references in the section above, Adult Client Questionnaire (ACQ) was designed to evaluate outcomes for clients who have ongoing, regular contact with an agency. Recognizing that this model does not encompass all the clients who come to our agencies for services (e.g., clients in a court setting) and that it does not assess a client's satisfaction with our services, we developed the Empowerment and Satisfaction Questionnaire (ESQ), Long Form (LF) and Short Form (SF). You may use the questionnaire in the long form or short form, depending on the services your agency offers.

The ESQ is to be administered at the completion of services, and is designed for self-reporting. Both versions of the ESQ combine client satisfaction questions with questions that ask about the client's perception of the impact the agency's services have had on helping to resolve issues in the client's life resulting from the victimization. Because the questionnaire is completed at the end of services, the section that addresses the impact of services is done as a retrospective view – asking the client to report on her/his perception of that impact. All clients over the age of 14 years old can complete this questionnaire. Further, caregivers are encouraged to complete the questionnaire in relationship to their loved one's experience if the client cannot complete it (e.g., young children, individuals with cognitive disabilities).

The ESQ-LF is a 25 question (or item) questionnaire that combines two instruments, a modified version of the Mental Health Statistics Improvement Program survey (2000) and the original service questionnaire we created. The ESQ-LF is one scale (Empowerment and Satisfaction) with six subscales (for example, increased coping and sense of empowerment, general satisfaction with services, knowledge of Victim Compensation). In addition, the long form includes two items required of domestic violence agencies by the Pennsylvania Coalition Against Domestic Violence (items 11 and 18). If your agency does not provide services to victims of

domestic violence and you are using the long form of the ESQ, you may choose to eliminate these items.

The ESQ-SF is a 9 item self-report form based on the ESQ-LF. This tool only measures clients' general empowerment and satisfaction with services. This is a one-dimensional (no subscales) questionnaire.

Agencies may choose to tailor the ESQ to match the type of service being evaluated, including only those subscales that relate to the service. For example, you might choose to include the scale that addresses the clients' perceptions of the support and advocacy they received through the legal system if you were using this tool for clients receiving legal advocacy services; but might not include perception of support and advocacy through the medical system.

Along with either the ESQ-LF or ESQ-SF, we recommend the use of the Short Post-Traumatic Stress Disorder Rating Interview (SPRINT; Connor & Davidson, 2001). This 9-item modified measure (based on an original 8-item self-report measure) assesses the core symptoms of PTSD (intrusion, avoidance, numbing, arousal), somatic malaise, stress vulnerability, and role and social functional impairment. Symptoms are rated on a five point scale from 1 ("not at all") to 5 ("very much"). We added item 33 to capture the feelings of shame and guilt that victims often report. Using this 9-item measure would add a second scale for the ESQ-LF or ESQ-SF. The final two items ask clients to rate the improvement they have experienced since receiving services at the agency. The ESQ-LF and ESQ-SF tools we included in the appendix to this manual both contain the SPRINT measure.

Scales and Subscales in the ACQ and ESQ

We have included a full listing of the scales and subscales with related questions/items for each of the tools in the appendix section of this manual. In addition, the outcome examples in the sample logic model in this chapter include a reference to the scale, subscale or item from each of the tools.

You may report outcomes based on a full scale (e.g., ESQ-LF), a subscale (e.g., Increased Support or Knowledge Through the Legal System) or the response to an individual item. However, we caution and note that most outcomes are best measured by using full scales and/or subscales and not single items/questions. For example, post traumatic stress is made up of a collection of symptoms and behaviors. It would not make sense for you to use one question from the scale to describe the client's level of symptoms (as one question does not capture the variance of symptoms that may be occurring in the client's life). This holds true for client satisfaction, capacity of safety planning, types of risk behaviors, empowerment and so forth.

Reliability and Validity of the ACQ and ESQ

As mentioned before, we have been able to establish initial reliability and validity for both the **Adult Client Questionnaire (ACQ)** and the **Empowerment and Satisfaction Questionnaire (ESQ)**, by analysis of data acquired through field testing.

ADAPTING THE TOOLS

The integrity (reliability and validity) of the questionnaires requires that all items/questions remain in each scale or subscale. However, the overall questionnaire may be shortened if an agency determines that a portion of the content is not relevant to its clients or services. This is done by removing and/or eliminating the scale/subscale, not just individual items/questions. Further, if an agency wishes to add questions to the questionnaire,

this is appropriate and acceptable. However, the new questions would need to be tested on how they add or detract from the questionnaire's reliability and validity. This could be a time-intensive undertaking and would require the skills of someone familiar with the steps of this process. Therefore, we suggest that if the agency wishes to add questions, it is best to use an open-ended question that allows for the client to descriptively or qualitatively answer the question. If you do add an "untested" question with a numbered response bank, the scores from that question cannot be included in the scores from the other items on the questionnaire.

SCORING THE TOOLS

What do you do with this information you've gathered? First, data must be entered into a computer system to analyze what the clients reported. That involves "scoring" the questionnaires, or putting a numeric value to the response (this makes the data quantitative, rather than qualitative, and easier to report in meaningful ways).

Adult Client Questionnaire (ACQ)

The ACQ responses are scored on a "1" to "5" Likert scale. The Likert scale is a psychometric response bank measuring either a positive or negative response to a statement. In the ACQ, we ask respondents to specify the severity of symptoms in their life. The questionnaire was designed based on standard practice for the lower number in the response bank to represent less symptoms and the higher number to represent more symptoms (1 = "Not at all" to 5 = "Extremely"). This response numbering is consistent throughout the tools, in order to avoid confusion.

The ACQ address issues in a client's life (e.g., emotional or behavioral). By comparing the questionnaire responses prior to service to the questionnaire responses after services have been received, you will be able to gauge change in the client's life. The change you will be looking for is a decreased overall score, which means that the client has seen positive changes because of a reduction in symptoms related to the trauma of victimization.

Empowerment and Satisfaction Questionnaire (ESQ)

The ESQ responses are also based on a "1" to "5" Likert scale. For Sections A, B, C, D, and E of the questionnaire, the responses are scored from "1" (strongly disagree) to "5" (strongly agree). The scoring corresponds with the number for the response and "5" is the highest desired score for all of these items.

In Section F, symptoms are rated on a five point scale from 1 ("not at all") to 5 ("very much") in the first nine items (items 27 through 35). The items ask about the level that a client's life is affected by the issues related to victimization. For these items, the desired score is 1, indicating fewer negative reactions to the victimization. If the responses are scored only at the end of services, these items will be an indicator of the impact of victimization for the client following services. If this section is used as a pre/post questionnaire for clients, you will be able to measure the change in overall score from the first administration of the tool to the second administration.

Item 36 asks clients to report how much better they feel since beginning services. This requires a response that is on a 0 to 100 % grid line, from 100% (As well as I could be) to 0% (No Change). The score from this item will stand alone and cannot be included with the items being measured by the 5 point scale.

The final item (37) returns to being scored on a 5 point scale, but has a different response bank than the other items in this section: it ranges from "Very Much" (a score of 1) to "Worse" (a score of 5). This item asks the client to rate how the symptoms described in items 27 to 35 in Section F have improved since the beginning of services. The desired response for this item is "Very Much" (a score of 1). Although this is a 5 point scale as

used in the Sections A through E, since the response bank is not the same, the score from this item will also stand alone. The score on this item should not be summed or averaged with the other scales or subscales. There are also qualitative questions infused throughout the ESQ. You may choose to leave these in or delete them. We found many clients completed these questions with comments that are both motivating to staff ("thank you","you are wonderful","keep up the great work","you were my angel", etc.) and helpful in identifying specific areas of improvement ("I was never told about victim compensation"). In addition to sharing comments with staff or volunteers as general affirmation of their work, or with the board or funders to reflect the success of the agency's services, these responses are also important for outcome reporting. To analyze the open-ended questions for rich and descriptive information, you would look for themes or trends among those responses. For example, in our analysis of the qualitative responses from the questionnaires we received during field testing, we identified transportation and lack of adequate parking as a trend in the responses. Therefore, a theme from the client responses is "issues with accessibility to services." We could report this to our funders as an area of concern, or use it in advocating with policy makers for changes in the community. Remember, the voices of our clients are stronger than our voices. Through their collective voices, we can advocate for change that will benefit victims of crime.

DEMOGRAPHICS

You may choose to include the collection of demographics with the ACQ or ESQ to: 1) provide information for process evaluation, 2) provide more information from which to analyze the outcomes (e.g., are certain racial or age groups more satisfied than others or are certain age or socioeconomic groups more likely to receive information about victim compensation than others?). Most of this demographic information is already collected during the intake process at victim service agencies. While it may seem redundant to collect this information again, remember that the ESQ and in some cases the ACQ are likely to be filled out anonymously and so may not be linked to existing client demographic information. Additionally, it does not take much time for a client to complete this section and it can be used to ensure that the population responding to evaluations is representative of your entire client population. By analyzing demographic information, you may find that only a certain age, gender, disability, sexual orientation, socioeconomic, or racial group provides you with feedback.

THE DESIGN:
ANALYZING AND REPORTING RESULTS

CHAPTER 4

- Analysis of the Data
- Reports
- Software

It is through the analysis of data and reporting capabilities that an agency is able to obtain the following benefits described in Chapter 2: outcome data for funding sources, guidance in program planning, affirmation of the effectiveness of services or additional information available to the community. In your logic model, or goals and objectives, you will have identified desired outcomes for the impact of your services. Analyzing data from the ESQ and the ACQ will provide you with information that tells you whether your services are having the impact you expect—and that your clients need. The reports will provide you with the data that will demonstrate how you are achieving your desired outcomes.

ANALYSIS OF THE DATA

Once information is available, you will begin your analysis. To obtain basic information about the impact of your services, the analysis does not need to be especially complex or difficult.

At the very least, you can track mean scores and/or changes in mean scores. For example, the responses for all scales on the ACQ are from 1 to 5; the desired response is a 1, indicating a reduction in the type of issues or symptoms individuals experience following victimization. You may choose to look at a specific scale, and track the percentage of clients who have shown a positive change (i.e., responses moving towards "1".) To do this, you would identify the client group you'll be tracking outcomes for, determine the number of clients in this group who have experienced a positive change (their responses are moving towards "1"), and calculate the percentage of clients who have experienced positive change. This type of analysis, and the reports that could result from it, are described in more detail in the section on Reports.

You can also choose to go deeper with more analysis to determine statistical significance. For consistency, it will help to identify one person on staff who will handle the data analysis and report writing. If you intend to do a more in-depth analysis of the data, you may want to link with an outside resource (e.g., through a local university) to support that effort.

Considerations about the data in the ACQ and ESQ:

1. Because the ACQ is comprised of four individual scales, you will never be analyzing the data from all four scales together as an aggregate score. The data from each scale can be analyzed and reported on individually. You can analyze the number of clients who have shown a positive change in all four scales, and report on that percentage. However, you cannot average all 25 items together.

2. The ESQ is comprised of two individual scales: the Empowerment and Satisfaction scale (with 6 subscales), and the Short Post-Traumatic Stress Disorder Rating Interview (SPRINT; Connor & Davidson, 2001). This tool was designed to be used primarily as a post-service tool. Therefore, for items 1 through 26, and items 36 and 37, you are not looking for change in the clients' responses over time, but will be comparing their post-service responses to the desired score (for items 1 through 26, the desired score is "5"; for items 36 and 37, the desired score is "1"). The responses in the Empowerment and Satisfaction scale (items 1 through 26), and items 36 and 37 in the Post Traumatic Stress Symptomatology scale can be analyzed in terms of percentage (e.g., the percentage of clients who reported satisfaction with the agency's services), or by the mean – average – score for the group of questionnaires being analyzed (the average aggregate score for items 1 through 25 for a specific group of client questionnaires). You will always keep the analysis for items 1 through 26 separate from the analysis for items 36 and 37 since they are in different scales.

   For items 27 through 35, from questionnaires that are administered post-service, you will have data on the post traumatic stress symptoms that your clients are experiencing. This will not show any change – so will not be determining an impact of services. However, these items are important for the context of item 37 ("Overall, how much have the above symptoms improved since starting services?"); and the data may also be used to articulate the impact of victimization. In addition, you may choose to use items 27 through 35 in a pre/subsequent questionnaire format. If you do so, you would analyze the data for these items in the same manner you do the information from the ACQ.

3. In either tool, you may report on the scores for an individual item as an indicator for an identified outcome (e.g., from the ESQ, the identification of a support system might be singled out for analysis and reporting based on a request from a funding source). This is particularly useful when you want to highlight strengths or areas of concern that clients report about single concepts or ideas. However, in order to preserve the integrity of the tools, you may not ask just that question of clients. The item is a valid and reliable indicator of that outcome only if it is asked with all the items in the scale or subscale.

   The software that you choose to use to support the outcome data and analysis will determine the types of reports you will produce. The software should have the capacity to record a "missing value" on items for which the client did not respond. Otherwise, the score would be calculated as "0" in the data analysis. You should review the tools/questionnaires before entering the data, to identify items that need to be coded for "missing value," and to determine the number of items that have been skipped in each scale or subscale; a scale or subscale in which too many items were skipped (more than 1/3) should be excluded.

REPORTS

Depending on an agency's software capabilities, a report may be in the form of numbers, a bar graph, a pie chart, or a line graph. These visual reports, however, must always be accompanied by a narrative description of the results and analysis. Based on the type of information collected outcome data can be sorted by demographic or data variables. For example, an agency may find that its services are more effective for a specific age group.

Reporting on Mean Scores:

A short-term outcome on our sample logic model is "increased coping and sense of empowerment." By looking at the mean of the aggregated scores for the items in that subscale on the ESQ-LF, you will be able to report on your clients' responses (from "strongly agree" to "strongly disagree").

Reporting on Changes in Mean Scores:

An intermediate-term outcome on our sample logic model is "reduction in post traumatic stress symptoms." There is a scale on the ACQ that includes a grouping of items for that outcome (see Appendix II for the listing of scales and their items for the questionnaire). By looking at the mean score for this scale for pre-service questionnaires for a group of clients, and then the mean score for these same clients on their subsequent-service or post-service questionnaires, you will be able to calculate the degree of change for this group of clients. We must note here, however, that until more data is collected from a large group of victim service providers, a benchmark for statistical significance of the change will not be established. You can, however, report this number without claiming statistical significance.

Reporting the Percentage of Clients Showing an Improvement in Response to the Victimization:

Using the outcome noted above, "reduction in post traumatic stress symptoms," you can also track the number of people who showed improvement in this area and report this as a percentage, comparing it to the entire group of clients completing the questionnaire. For example, you might establish the following projected outcome:

> PROJECTED OUTCOME: For the 200 clients receiving services in the counseling program, 75% of them will show a reduction in post traumatic stress symptoms.
>
> To track this outcome, you will review the data for these 200 clients, tracking how many of them showed an improvement from pre-service questionnaire to subsequent questionnaire in post traumatic stress symptoms. When you complete that review, you will have an actual outcome statement:
>
> ACTUAL OUTCOME: For the 200 clients receiving services in the counseling program, 78% of them showed a positive change. Therefore, the agency slightly exceeded its goal.

You can use the data to:

- Identify change, as an aggregate, for all clients receiving a particular service or all clients within an entire program, which indicates if that service, or your entire program, has achieved the expected outcome.

- Identify effective and ineffective counseling techniques. If during the course of measuring outcomes, you institute a new counseling technique and notice a change in a specific scale or subscale, this could provide valuable information about the effectiveness of this new technique.

SOFTWARE

Software has been developed for the outcomes project using a software package (R/Client) designed for client information management. The software may be used in conjunction with the other features of the R/Client package providing a "seamless" application from client registration through entry of service information to outcome data. It may also be used as a stand-alone package, using only the outcome module. A manual has been developed by the software developer to support this R/Client software.

You may choose to use the software that has been designed specifically to support this project, or you may choose to use other software.

If you are using another data management package, creating a spreadsheet in Microsoft® Excel or using other software (such as SPSS or SAS), there must be a way to calculate the amount and direction of change in the scores for each item, from pre-service to subsequent questionnaires. The individual scores should then be able to be calculated by subscales (the items grouped together) and as a total.

PLANNING ANDIMPLEMENTATION

CHAPTER 5

- Securing Buy-in
- Addressing Consent, Confidentiality and Bias
- Selecting the Services to Evaluate and the Tool to Use
- Deciding What Demographic Information to Collect
- Allocating Staff Resources
- Developing a System for Implementation
- Conducting Training for Staff, Volunteers and Board

To launch a successful outcome measurement project requires a significant amount of time planning for the project and preparing key stakeholders for their role in implementation. There are many things to consider prior to implementation. Initial careful consideration of all aspects of the project and its impact on the organization will lead to an increased ability to achieve the best results.

SECURING BUY-IN

...from external stakeholders (clients, funding sources, the community, etc)

Before deciding to adopt this model for measuring the impact of services, agency leaders should identify expectations external stakeholders might have about the way outcomes will be measured and shared. Leaders in the agency (the Executive Director, managers) will present this approach to stakeholders, discuss expectations, and describe the final model that will be used.

For example, the local United Way may have adopted a specific plan to be used by member agencies in addressing the effectiveness and impact of their services. If this were the case, agency leaders would review the VSPE evaluation model with the United Way staff to determine if it is acceptable. Since this model provides concrete data about the impact of services, as does the United Way model, its acceptance is likely.

. . . from internal stakeholders (staff members, board members, volunteers)

After the decision is made to adopt this model to measure the outcomes relating to the services that are provided to clients, agency leaders must determine who is crucial to the success of the concept internally. Key participants could include members of the Board of Directors, the management team, direct service staff, volunteers, and the administrative team who will provide support to the project. Areas of concern should be identified and addressed and additional information provided as necessary. Agency leaders should be prepared and able to document and discuss the benefits of adopting outcome measurements.

If all key participants are informed and have the opportunity to ask questions, it will ease the process of adopting and implementing an outcome evaluation method. Reviewing the documented benefits will also be helpful when facing the inevitable challenges of implementing an outcome model. Some examples of benefits and concerns are noted below for your reference.

Potential benefits for internal stakeholders

Counselors *Staff and Volunteer*	Validation of their work Opportunity to identify areas for skill enhancement
Board of Directors	Objective and concrete basis for measuring the impact of services offered Better information for response to community questions about the effectiveness of services
Management team	Valuable information for program planning and resource allocation
Overall	Validation of the agency's work Enhanced funding opportunities

Concern about impact on clients

Will procedures be too intrusive on clients' time when they are in crisis and need to deal with their specific issues?	Through field-testing, we found that clients were not adversely affected, since it takes less than 15 minutes for each administration of either the ACQ or ESQ questionnaire.
Will this process raise client anxiety?	Since this is a voluntary activity for clients, they may decline to participate at any time or may opt not to complete the full ACQ or ESQ.
Will this process take time away from service provision to clients?	The process has been designed to fit within the regular flow of an agency's services and to occur outside of counseling time normally spent with clients.

ADDRESSING CONSENT, CONFIDENTIALITY AND BIAS

Consent, Confidentiality and Bias require serious consideration (see the last section of Chapter 2 for additional information on these topics). We address these topics again in this chapter since you will be taking these issues into consideration as you plan for implementation.

Consent: In the VSPE model, participation is voluntary. Each client is asked to sign a consent form, explaining the tool and the client's rights related to the tool, before participating. An agency should never base the provision of services on a client's willingness to complete the questionnaire. (See Appendix III for a sample Consent Form.)

Confidentiality: In the VSPE model, provisions have been made to address confidentiality concerns. Questionnaires are tracked through the use of client numbers, rather than names, on all forms. This allows each individual agency to decide whether or not the questionnaire information will be linked to client identity and record at any time. Linking outcomes data to the client file provides enhanced information in the analysis of overall outcome results (demographics already collected, length of service, type of service, etc). However, linking outcomes data to the client file also links more data to that client. You should consider this, and your agency's policy on client files/records and the type of information stored in a client's file, as part of your decision-making regarding client identity and outcome information.

The questionnaires are designed as management tools for program planning and development by analyzing overall scores from a group of clients receiving a particular service. Each agency must consider the implications in linking outcome data to a client file, and establish protocol to support that decision. Agencies may choose one of the following options for data entry/management:

Outcome Information Only:

The outcome data may be kept entirely separate from any other information related to the client, with no additional demographic information entered. The agency will be able to track outcomes, but will not be able to link this data to demographics or service data. This may be done on the computer software created to support this project (R/Client), or in any database an agency chooses to use for this purpose.

Outcome information with Demographic Information:

The outcome data may be kept separate from client identity and file (which includes the record of services received and demographics from intake), with the extra step taken of gathering specific client demographic information at the time the questionnaire is administered. The agency will be able to track outcomes, and link them to demographics but not service or identifying client data. This may be done on the computer software created to support this project (R/Client), or in any database an agency chooses to use for this purpose.

Outcome Information Linked To Client Data:

The outcome data may be entered into the database that tracks all other client information, linked directly to that data and the client. The agency will be able to track outcomes, and link them to demographics collected at intake and service data (e.g., length of service, type of service). This may be done on the computer software created to support this project (R/Client), or in any database an agency chooses to use for this purpose.

See the section on "Deciding what Demographic Information to Collect" for additional guidelines.

Bias: Developing procedures to address the possibility of bias is important. Ideally counselors should not administer the questionnaire to their clients. If clients believe that their counselors will be reviewing their responses, they may answer differently by giving favorable impressions or responding in the way they believe their counselors expect them to respond.

SELECTING THE SERVICES TO EVALUATE AND THE TOOL TO USE

Not all services will be appropriate for the pre-service and subsequent service questionnaire (ACQ) design. Agency leaders should consider:

- The amount of time that the client is in personal contact with the agency and the number of contacts the client is likely to have with the agency. Brief or short-term interactions may not provide enough time between intervals to complete both a pre-service and post-service questionnaire. The ESQ might be a better option with brief or short-term client interactions.

- The state of crisis existing for a client in relationship to a particular service. Some services have contact based on an immediate crisis when it would not be appropriate to administer a questionnaire (for example, medical advocacy).

After deciding which services to evaluate with the ACQ, agency leaders will need to determine at what point to administer subsequent questionnaires. (See Appendix IV for a list of service definitions used in the development of this project.) Clients who are receiving services to be evaluated will receive the pre-service questionnaire (ACQ) at the time of the first service.

DECIDING WHAT DEMOGRAPHIC INFORMATION TO COLLECT

For the ACQ, you may choose to collect demographic information specific to this evaluation process. If so, include a demographic information collection form with the first administration of the ACQ. (See Appendix III for a sample.)

For the ACQ, outcome data may also be integrated with existing client demographic information obtained from the initial client intake form. This will be possible only if the client's identity is linked to the questionnaire.

Since the ESQ is to be completed anonymously, you would not be able to link that to existing client demographic data. Therefore, you will have to collect demographic information at the time you administer the ESQ.

ALLOCATING STAFF RESOURCES

Outcome project manager	• This person will manage the project and should have a hands-on knowledge of service provision.
	• General responsibilities will include:
	  • Development and implementation oversight of all procedures related to the outcomes project.
	  • Coordination of data management.
	  • Analysis of data and interpretation of results.
	  • Involvement in the development of reports.
	  • Analysis of reports.
	  • Involvement in program planning and related activities.

Counselor or direct service provider	• Though the process should have a limited impact on this person's daily work, the counselor or direct service provider will need to be familiar with the process. In addition, the counselor will need to allocate time for:
	  • Tracking for administering subsequent questionnaire(s). This will be done by using a log form (see Appendix III for a sample form).
	  • Periodically reviewing the aggregated data and processing the implications.
	  • Participating in program planning adjustments based on the outcome information.
	• Note: If administrative or support staff will not be administering the questionnaires, counselors may have to support each other in this function. (For example, Counselor "A" would administer questionnaires to clients of Counselor "B", and vice versa). This would require an additional time commitment from direct service staff.

Administrative or support staff	• As previously noted, counselors should not administer questionnaires to their own clients. A practical alternative is to have the questionnaires administered by administrative or support staff. • The administrative staff person will need time in her or his schedule for brief interactions with clients coming in for appointments.
Data management person	• This person is responsible for data entry of all questionnaires (ACQ and ESQ), and will generate reports needed for analysis and program planning. Ideally, to maintain the integrity of collected data, this person will not be administering questionnaires to clients or have access to information that will tie client identity to the questionnaire form.

DEVELOPING A SYSTEM FOR IMPLEMENTATION

At this point,

- buy-in from internal and external stakeholders has been secured,
- decisions have been made on what services will be evaluated and what demographic information will be collected,
- the impact on clients has been considered, including confidentiality and consent,
- software to track data has been chosen, and
- a plan has been developed for allocation of staff resources.

Now it is time to develop a system for implementation. The following questions must be answered as part of the implementation process.

What data management system is best suited to the agency's needs?

We addressed the options for data management in the previous chapter. Your agency should make a decision about managing the data in the software option you have selected before beginning to collect data for the outcome analysis.

What numbering system will be used for the questionnaires and demographic sheets?

- If a packaged software program is used and outcome information is to be linked to client files and existing demographics, the software program's numbering system may be used.

- If outcome information is not to be linked to a client's file, a system must be established to link a client's outcome information to demographic information. This may be accomplished through a numbering system or some other type of coding.

  Note: To protect confidentiality, client names should not be included on the pre-service and subsequent service questionnaires, nor on the demographic sheets. If they are to be used in tracking the administration of surveys, they should be noted only on the cover sheet for the questionnaires. Cover-sheets should be stored separately from the identifying materials in a locked or secure filing system.

Using a logbook

A logbook is a helpful tool to track distribution of subsequent questionnaires and to record unusual circumstances that might have an impact on data. (A few examples are noted below and are also referenced in more detail in Appendix III.) A logbook may include columns to:

- Track the assignment of numbers to client identity.
- Track attempts to administer questionnaires.
- Note the way the questionnaire is administered (for example, through the mail or in-person).
- Note other unusual circumstances, such as:
  - ✓ An individual who declines to participate.
  - ✓ An individual who is unable to complete the questionnaire due to a state of crisis or other issues. Care should be taken, as you would with any sensitive client information, when noting the circumstance.

When will the questionnaires be administered?

For the ACQ, pre-service questionnaires are administered to all clients receiving selected services prior to their first appointment or in-person contact. Subsequent questionnaires may be administered at some intermediate point in the counseling relationship, or may be done only at the end of service. This will be determined by the type of information to be gathered. For example, an agency may have a long-term counseling program. It is reasonable for the agency to decide to use two to three time intervals to measure outcomes from this type of service.

An effective technique for administering questionnaires is to ask new clients to arrive 15 minutes early for their first appointment, and to receive the ACQ, consent form, demographics form (if demographic information from the client intake is not going to be linked to the outcomes) and instructions from an administrative or support staff person. The staff person making the appointment can explain that the client will be completing a short questionnaire to assist the agency in evaluating the effectiveness of its services.

At subsequent administrations of the ACQ, the administrative or support staff person would then be responsible to meet the client immediately following the designated session to administer the questionnaire. The ESQ is also given following the last session.

Establish a communication mechanism to facilitate the flow of information between the counselor and the administrative or support staff person who will be administering the questionnaires. This includes but is not limited to the timing of questionnaire administration, and any issues specific to clients.

Who will administer the questionnaires?

The agency will need to make final decisions about which staff people will be involved in administering questionnaires. See the "Allocating Staff Resources" section earlier in this chapter.

How will you make and store blank copies of questionnaires and forms?

A supply of questionnaires and forms need to be accessible to any staff who will be administering these documents. The supply should be adequate to cover anticipated needs. Be sure to establish who is responsible for maintaining the supply of questionnaires and forms.

Since timing is important to this process, not having a questionnaire available could mean missing an opportunity to collect valuable data.

Where and how will clients complete the questionnaires?

Ideally, the client will complete the questionnaire in a quiet space other than the counseling space. If the waiting area is crowded or noisy, a client may find it difficult to concentrate on the questionnaire. Therefore, it is important to ensure that a client has the most optimal space possible in which to complete the questionnaire.

Agencies should use a variety of means in being prepared to meet the diverse needs of clients, including adaptations for reading ability, language, injuries and disabilities (e.g., questionnaires in Braille, large print, electronic format, etc). If a staff person will be reading the questionnaire to a client, that person should make arrangements to do this in a private setting.

Who will keep track of clients who will be completing questionnaires?

The client's counselor will likely be the person to keep track of which clients are due to receive questionnaires. The counselor will review client schedules the day before, and inform the person who administers the questionnaires which appointments will require the administration of questionnaires. This allows the person administering the questionnaires to prepare and anticipate when she or he will be needed throughout the day. This process can also be done through some software programs.

How will completed questionnaires be passed to the data management person?

Develop a system for paper flow, including a locked, confidential location for storing the completed questionnaires until they can be transferred to the data management person. All questionnaires should be given to the data management person for data entry as soon as possible after their completion. Further, the agency should identify an area for the forms to be stored after the data is entered and compiled. Data entry managers generally establish a regular schedule for data entry of completed questionnaires.

As with any client information, completed questionnaires should be treated as confidential agency materials.

CONDUCTING TRAINING FOR STAFF, VOLUNTEERS AND BOARD

Training should be provided, at a minimum, to those individuals who have responsibility for any steps in the system. Ongoing training may also be necessary to monitor the process, address any concerns, and fine-tune the system. We have found better results when we involve all staff members in assessing the outcomes of our agency services. Staff members may gain a sense of pride for being involved in the process of improving services to clients.

Implications of outcomes information

Regular, scheduled staff meetings can be used as a forum to discuss the project and its implications. At the meetings, staff can discuss the information that has been gathered and what it means for the organization.

Discussions will provide staff members with ample information to answer their questions about the value of the process and the impact on service planning. This will make the process meaningful to staff members by sharing the valuable insights that can be gained from measuring outcome information. In addition, agency leaders can solicit ideas from staff about additional reports to generate or new ways to analyze data. As with any process, keeping staff members informed will reduce concerns about unknown impacts and increase commitment to the project.

THE FUTURE OF THE PROJECT

As with any project, the future must always be considered. The broader implications of having a standard, statistically significant, statewide collection system for data that can show the impact victim service professionals have on the well-being of the population being served are astounding. This project has provided the field with new tools to evaluate the impact of services, thus providing important data about the most effective use of resources. The ability to then share data with funders and the general community about the impact of services will help ensure that financial resources remain for victims to receive the vital services they need and to which they are entitled.

However, the work clearly is not completed, and will be an evolving process. The victim services field has historically provided, and will continue to offer, a plethora of services to a multitude of victims. Yet gaps in services exist, and the ability to measure the impact of services on specific populations remains unfinished. Work is still to be done on the expansion of this specific methodology to evaluate services for teens and children. In addition, these tools must be tested with specific populations, and assessed for use with other types of services as new programs become available. The original collaborative group began this project with the intention of assessing the effectiveness of services and developing a more effective way of demonstrating to funding sources and the public the purpose and impact of providing services to victims of crime. This project has been in process for eleven years, and will continue into the future, evolving as data is analyzed, expanding as opportunities for further testing become available.

APPENDICES

I. Tools/Questionnaires

   A. Adult Client Questionnaire (ACQ)

   B. Empowerment and Satisfaction Questionnaire-Long Form (ESQ-LF)

   C. Empowerment and Satisfaction Questionnaire-Short Form (ESQ-SF)

II. Scales and Subscales, including the list of items for each scale and subscale

   A. Adult Client Questionnaire (ACQ)

   B. Empowerment and Satisfaction Questionnaire-Long Form (ESQ-LF)

   C. Empowerment and Satisfaction Questionnaire-Short Form (ESQ-SF)

III. Sample Forms:

   A. Cover Sheet for the ACQ

   B. Consent Form

   C. Log for Tracking

   D. Demographic Form

IV. Service Definitions (PCAR)

V. Testing for Reliability and Validity: General Information

Vi. Tools From Other Sources Available to Evaluate Services for Children And Teens

VII. Developing the Methodology for the Original Evaluation Project

VIII. Reference/Citation list

APPENDIX I

A. Adult Client Questionnaire (ACQ)

ADULT CLIENT QUESTIONNAIRE (ACQ)

Experiencing or remembering a hurtful or violent event often impacts how people feel or behave. **Please circle the answer that best describes how much you have been bothered by that problem in the past month. Provide one response and one response only on the scale provided.**

(This information will not be used for counseling purposes; if you have immediate needs, please talk to your counselor.)

		not at all	a little bit	moder-ately	Quite a bit	Extrem-ely
1.	Repeated, disturbing memories, thoughts, or images of the victimization?	**1**	**2**	**3**	**4**	**5**
2.	Repeated, disturbing dreams of the victimization?	**1**	**2**	**3**	**4**	**5**
3.	Suddenly acting or feeling as if the victimization were happening again (as if you were reliving it)?	**1**	**2**	**3**	**4**	**5**
4.	Feeling very upset when something reminded you of the victimization?	**1**	**2**	**3**	**4**	**5**
5.	Having physical reactions (e.g., heart pounding, trouble breathing, sweating) when something reminded you of the victimization?	**1**	**2**	**3**	**4**	**5**
6.	Avoiding thinking about or talking about the victimization or avoiding having feelings related to it?	**1**	**2**	**3**	**4**	**5**
7.	Avoiding activities or situations because they reminded you of the victimization?	**1**	**2**	**3**	**4**	**5**
8.	Trouble remembering important parts of the victimization?	**1**	**2**	**3**	**4**	**5**
9.	Loss of interest in activities that you used to enjoy?	**1**	**2**	**3**	**4**	**5**
10.	Feeling distant or cut off from other people?	**1**	**2**	**3**	**4**	**5**
11.	Feeling emotionally numb or being unable to have loving feelings for those close to you?	**1**	**2**	**3**	**4**	**5**
12.	Feeling as if your future will somehow be cut short?	**1**	**2**	**3**	**4**	**5**
13.	Trouble falling or staying asleep?	**1**	**2**	**3**	**4**	**5**
14.	Feeling irritable or having angry outbursts?	**1**	**2**	**3**	**4**	**5**
15.	Having difficulty concentrating?	**1**	**2**	**3**	**4**	**5**

		not at all	a little bit	moder-ately	Quite a bit	Extrem-ely
16.	Being"super-alert" or watchful or on guard?	**1**	**2**	**3**	**4**	**5**
17.	Feeling jumpy or easily startled?	**1**	**2**	**3**	**4**	**5**
18.	Using alcohol or drugs not prescribed to you to deal with your feelings?	**1**	**2**	**3**	**4**	**5**
19.	Doing risky things?	**1**	**2**	**3**	**4**	**5**
20.	Doing things to physically harm yourself?	**1**	**2**	**3**	**4**	**5**
21.	Drinking or using drugs too much?	**1**	**2**	**3**	**4**	**5**
22.	Eating too much?	**1**	**2**	**3**	**4**	**5**
23.	Having no interest in sexual activity?	**1**	**2**	**3**	**4**	**5**
24.	Having difficulty becoming sexually aroused?	**1**	**2**	**3**	**4**	**5**
25.	Not eating enough?	**1**	**2**	**3**	**4**	**5**

Weathers, F., Litz, B., Herman, D., Huska, J., & Keane, T. (October 1993). The PTSD Checklist (PCL): Reliability, Validity, and Diagnostic Utility. Paper presented at the Annual Convention of the International Society for Traumatic Stress Studies, San Antonio, TX.

APPENDIX I

B. Empowerment and Satisfaction Questionnaire-Long Form (ESQ-LF)

EMPOWERMENT AND SATISFACTION QUESTIONNAIRE (ESQ-LF)

As a client of our agency, you received services in response to a traumatic event(s). In order to provide the best possible services, we would like to know how much our agency helped you to deal with that particular trauma. Please read the following statements about the services and other aspects of the agency and circle if you strongly agree, somewhat agree, are neutral (don't feel strongly one way or the other), somewhat disagree or strongly disagree with the statements.

section a:

		strongly disagree	somewhat disagree	neutral	somewhat agree	strongly agree
1.	Staff respected my background (e.g. gender, race, culture, ethnicity, sexual orientation, disability, lifestyle, etc.).	**1**	**2**	**3**	**4**	**5**
2.	Services were available at times that were good for me.	**1**	**2**	**3**	**4**	**5**
3.	I was asked to participate in deciding what services I would receive.	**1**	**2**	**3**	**4**	**5**
4.	I feel the staff heard me.	**1**	**2**	**3**	**4**	**5**
5.	I got the kind of service I wanted.	**1**	**2**	**3**	**4**	**5**
6.	Staff helped me believe that I could change and improve my life.	**1**	**2**	**3**	**4**	**5**
7.	The services I received helped me deal more effectively with my problems.	**1**	**2**	**3**	**4**	**5**
8.	Because of the services I received, I learned skills to help me better manage my life.	**1**	**2**	**3**	**4**	**5**
9.	The services I received helped me identify a support system.	**1**	**2**	**3**	**4**	**5**
10.	The services I received helped me become aware of how crisis and trauma affect my life.	**1**	**2**	**3**	**4**	**5**
11.	The services I received helped me plan for my safety.	**1**	**2**	**3**	**4**	**5**
12.	The staff informed me about Victims Rights.	**1**	**2**	**3**	**4**	**5**
13.	The services I received helped me cope with my fear for my safety.	**1**	**2**	**3**	**4**	**5**

section a (continued):						
		strongly disagree	**somewhat disagree**	**neutral**	**somewhat agree**	**strongly agree**
14.	Because of the services I received, I know more about the options and choices available to me overall.	**1**	**2**	**3**	**4**	**5**
15.	I would return to this agency if I needed victim services in the future.	**1**	**2**	**3**	**4**	**5**
16.	I would recommend this agency to a friend in need of victim services.	**1**	**2**	**3**	**4**	**5**
17.	In an overall, general sense, I am satisfied with the services I received.	**1**	**2**	**3**	**4**	**5**
18.	Because of the services I received, I know about community resources that are available to me.	**1**	**2**	**3**	**4**	**5**
	Is there anything else you would like to say? _____ _____					

section b: If you visited our facility, please answer the following questions. If you never visited our facility, skip to Section C.

		strongly disagree	**somewhat disagree**	**neutral**	**somewhat agree**	**strongly agree**
19.	I was able to get around the building easily.	**1**	**2**	**3**	**4**	**5**
20.	The facilities were comfortable for me.	**1**	**2**	**3**	**4**	**5**
	Is there anything else you would like to say? _____ _____					

section c: If someone from our agency met you at an emergency medical facility, please answer the following questions about the services we provided. If not, please skip to Section D.

		strongly disagree	**somewhat disagree**	**neutral**	**somewhat agree**	**strongly agree**
21.	I felt supported through the medical system by staff from the agency.	**1**	**2**	**3**	**4**	**5**
22.	Because of the services I received, I now know more about the medical system.	**1**	**2**	**3**	**4**	**5**
	Is there anything else you would like to say? _____ _____					

section d: If someone from our agency accompanied you through the legal process, please answer the following questions about the services we provided. If not, please skip to Section E.

		strongly disagree	somewhat disagree	neutral	somewhat agree	strongly agree
23.	I felt supported through the legal system by staff from the agency.	**1**	**2**	**3**	**4**	**5**
24.	Because of the services I received, I now know more about the legal system.	**1**	**2**	**3**	**4**	**5**
	Is there anything else you would like to say?					

section E: If you had any of the following out-of-pocket (not covered by any type of insurance) financial losses as a direct result of the victimization, please answer the following questions. If you did not have any of these out-of-pocket financial losses, please skip to Section F.

- Medical expenses
- Home healthcare
- Counseling fees
- Loss of earnings
- Loss of support
- Funeral expenses
- Crime scene cleanup fees
- Relocation expenses
- Transportation expenses
- Child care
- Replacement of medical devices
- Replacement services (of normal daily household chores – cooking, lawn care, cleaning, etc.)

		strongly disagree	somewhat disagree	neutral	somewhat agree	strongly agree
25.	The agency made me aware of the Pennsylvania Victim Compensation Program.	**1**	**2**	**3**	**4**	**5**
26.	The information provided by the agency helped me understand the victim compensation process.	**1**	**2**	**3**	**4**	**5**
	Is there anything else you would like to say?					

section E: Please consider the following reactions which sometimes occur after a traumatic event. This section is concerned with your personal reactions to the traumatic event which happened to you. Please circle one answer for each question.

	in the past week	**not at all**	**a little bit**	**moderately**	**Quite a lot**	**very much**
27.	How much have you been bothered by unwanted memories, nightmares or reminders of the event?	**1**	**2**	**3**	**4**	**5**
28.	How much effort have you made to avoid thinking or talking about the event, or doing things which remind you of what happened?	**1**	**2**	**3**	**4**	**5**

	in the past week	not at all	a little bit	moderately	Quite a lot	very much
29.	To what extent have you lost enjoyment for things, felt sad or depressed, kept your distance from people, or found it difficult to experience feelings?	**1**	**2**	**3**	**4**	**5**
30.	How much have you been bothered by poor sleep, poor concentration, jumpiness, irritability or feeling watchful around you?	**1**	**2**	**3**	**4**	**5**
31.	How much have you been bothered by pain, aches or tiredness?	**1**	**2**	**3**	**4**	**5**
32.	How much would you get angry or upset when stressful events or setbacks happened to you?	**1**	**2**	**3**	**4**	**5**
33.	How much have you been blaming yourself or feeling guilty for what happened to you?	**1**	**2**	**3**	**4**	**5**
34.	How much have the above symptoms interfered with your ability to work or carry out daily activities?	**1**	**2**	**3**	**4**	**5**
35.	How much have the above symptoms interfered with your relationships with family or friends?	**1**	**2**	**3**	**4**	**5**
36.	How much better do you feel since beginning services? (as a percentage) 100% 50% 0% As well as I could be No change					
37.	Overall, how much have the above symptoms improved since starting services? (circle one) Very Much 1 Much 2 Minimally 3 No Change 4 Worse 5					
	What did you find helpful about our services? _____ _____ _____					
	What did you find not helpful about our services? Please include any suggestions you have for improvement. _____ _____ _____					

CLIENT DEMOGRAPHICS

tyPE ofvictimiZation
(Check All That Apply to YourCurrent Situation)

- ☐ Domestic Violence
- ☐ Sexual Assault
- ☐ Child Abuse (Sexual)
- ☐ DUI Victim
- ☐ Caregiver of Victim/Survivor
- ☐ Physical Assault
- ☐ Child Abuse (Physical)
- ☐ Robbery
- ☐ Homicide Survivor

how long did you receive services from our agency?

- ☐ 0-3 months
- ☐ 3-6 months
- ☐ 6-12 months
- ☐ 1-2 years
- ☐ 2-4 years
- ☐ more than 4 years

tyPE of sErvicE rEcEivEd
(Check all that apply)

- ☐ Crisis counseling
- ☐ Victim compensation
- ☐ Legal advocacy
- ☐ Shelter
- ☐ Group counseling
- ☐ Individual therapy
- ☐ Medical advocacy

have you had Prior victimizations?

- ☐ Yes
- ☐ No Type: _____

datE of birth: _____

gEndEr:

- ☐ M
- ☐ F
- ☐ Other

disability:

- ☐ Mental/Emotional
- ☐ Physical
- ☐ Other

Primary incomE sourcE

- ☐ Employment
- ☐ Pension/Retirement
- ☐ Support
- ☐ Social Security
- ☐ Unemployment
- ☐ Public Assistance
- ☐ Other

Ethnic origin

- ☐ Black/African-American
- ☐ White
- ☐ Hispanic/Latino(a)
- ☐ Asian or Pacific Islander
- ☐ American Indian/Alaska Native
- ☐ Bi-racial
- ☐ Other: _____
- ☐ Unknown

marital/rElation (if adult)

- ☐ Married
- ☐ Living with Partner
- ☐ Separated
- ☐ Relationship, Not Living with Partner
- ☐ Other: _____
- ☐ Divorced
- ☐ Single
- ☐ Widow/Widower

Education

- ☐ No GED or High School
- ☐ High School
- ☐ College Degree
- ☐ Graduate Degree
- ☐ Unknown
- ☐ GED
- ☐ Some College
- ☐ Some Graduate
- ☐ Post Graduate

housEhold incomE

- ☐ Less than $5,000
- ☐ $5,000-$9,999
- ☐ $10,000-$14,999
- ☐ $15,000-$19,999
- ☐ $20,000-$24,999
- ☐ $25,000-$29,999
- ☐ $30,000-$49,999
- ☐ over $50,000
- ☐ Unknown

Mental Health Statistics Improvement Program (2000). Mental Health Statistics Improvement Program Survey. Retrieved online [http://www.mhsip.org/surveylink.htm] Oct 16, 2007.
Connor, K., & Davidson, J. (2001). SPRINT: A brief global assessment of post-traumatic stress disorder. International Clinical Psychopharmacology, 16, 279-284.

APPENDIX I

C. Empowerment and Satisfaction Questionnaire-Short Form (ESQ-SF)

EMPOWERMENT AND SATISFACTION QUESTIONNAIRE (ESQ-SF)

As a client of our agency, you received services in response to a traumatic event(s). In order to provide the best possible services, we would like to know how much our agency helped you to deal with that particular trauma. Please read the following statements about the services and other aspects of the agency and circle if you strongly agree, somewhat agree, are neutral (don't feel strongly one way or the other), somewhat disagree or strongly disagree with the statements.

section a:

		strongly disagree	somewhat disagree	neutral	somewhat agree	strongly agree
1.	Staff respected my background (e.g. gender, race, culture, ethnicity, sexual orientation, disability, lifestyle, etc.).	**1**	**2**	**3**	**4**	**5**
2.	Services were available at times that were good for me.	**1**	**2**	**3**	**4**	**5**
3.	I was asked to participate in deciding what services I would receive.	**1**	**2**	**3**	**4**	**5**
4.	I feel the staff heard me.	**1**	**2**	**3**	**4**	**5**
5.	I got the kind of service I wanted.	**1**	**2**	**3**	**4**	**5**
6.	The services I received helped me deal more effectively with my problems.	**1**	**2**	**3**	**4**	**5**
7.	I would return to this agency if I needed victim services in the future.	**1**	**2**	**3**	**4**	**5**
8.	I would recommend this agency to a friend in need of victim services.	**1**	**2**	**3**	**4**	**5**
9.	In an overall, general sense, I am satisfied with the services I received.	**1**	**2**	**3**	**4**	**5**
	Is there anything else you would like to say? _____ _____ _____ _____ _____ _____					

section b: Please consider the following reactions which sometimes occur after a traumatic event. This section is concerned with your personal reactions to the traumatic event which happened to you. Please circle one answer for each question.

	in the past week	not at all	a little bit	moderately	Quite a lot	very much
10.	How much have you been bothered by unwanted memories, nightmares or reminders of the event?	**1**	**2**	**3**	**4**	**5**
11.	How much effort have you made to avoid thinking or talking about the event, or doing things which remind you of what happened?	**1**	**2**	**3**	**4**	**5**
12.	To what extent have you lost enjoyment for things, felt sad or depressed, kept your distance from people, or found it difficult to experience feelings?	**1**	**2**	**3**	**4**	**5**
13.	How much have you been bothered by poor sleep, poor concentration, jumpiness, irritability or feeling watchful around you?	**1**	**2**	**3**	**4**	**5**
14.	How much have you been bothered by pain, aches or tiredness?	**1**	**2**	**3**	**4**	**5**
15.	How much would you get angry or upset when stressful events or setbacks happened to you?	**1**	**2**	**3**	**4**	**5**
16.	How much have you been blaming yourself or feeling guilty for what happened to you?	**1**	**2**	**3**	**4**	**5**
17.	How much have the above symptoms interfered with your ability to work or carry out daily activities?	**1**	**2**	**3**	**4**	**5**
18.	How much have the above symptoms interfered with your relationships with family or friends?	**1**	**2**	**3**	**4**	**5**

19. How much better do you feel since beginning services? (as a percentage)

100% 50% 0%

As well as I could be — No change

20. Overall, how much have the above symptoms improved since starting services? (circle one)

Very Much	Much	Minimally	No Change	Worse
1	2	3	4	5

What did you find helpful about our services?

_____

_____

_____

	What did you find not helpful about our services? Please include any suggestions you have for improvement. _____ _____ _____

CLIENT DEMOGRAPHICS

tyPE ofvictimiZation
(Check All That Apply to Your Current Situation)

- ☐ Domestic Violence
- ☐ Sexual Assault
- ☐ Child Abuse (Sexual)
- ☐ DUI Victim
- ☐ Caregiver of Victim/Survivor
- ☐ Physical Assault
- ☐ Child Abuse (Physical)
- ☐ Robbery
- ☐ Homicide Survivor

how long did you receive services from our agency?

- ☐ 0-3 months
- ☐ 3-6 months
- ☐ 6-12 months
- ☐ 1-2 years
- ☐ 2-4 years
- ☐ more than 4 years

tyPE of sErvicE rEcEivEd
(Check all that apply)

- ☐ Crisis counseling
- ☐ Victim compensation
- ☐ Legal advocacy
- ☐ Shelter
- ☐ Group counseling
- ☐ Individual therapy
- ☐ Medical advocacy

have you had Prior victimizations?

- ☐ Yes
- ☐ No Type: _____

datE of birth: _____

gEndEr:

- ☐ M
- ☐ F
- ☐ Other

disability:

- ☐ Mental/Emotional
- ☐ Other
- ☐ Physical

Primary incomE sourcE

- ☐ Employment
- ☐ Pension/Retirement
- ☐ Support
- ☐ Social Security
- ☐ Unemployment
- ☐ Public Assistance
- ☐ Other

Ethnic origin

- ☐ Black/African-American
- ☐ White
- ☐ Hispanic/Latino(a)
- ☐ Asian or Pacific Islander
- ☐ American Indian/Alaska Native
- ☐ Bi-racial
- ☐ Other: _____
- ☐ Unknown

marital/rElation (if adult)

- ☐ Married
- ☐ Living with Partner
- ☐ Separated
- ☐ Relationship, Not Living with Partner
- ☐ Other: _____
- ☐ Divorced
- ☐ Single
- ☐ Widow/Widower

Education

- ☐ No GED or High School
- ☐ High School
- ☐ College Degree
- ☐ Graduate Degree
- ☐ Unknown
- ☐ GED
- ☐ Some College
- ☐ Some Graduate
- ☐ Post Graduate

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- ☐ Less than $5,000
- ☐ $5,000-$9,999
- ☐ $10,000-$14,999
- ☐ $15,000-$19,999
- ☐ $20,000-$24,999
- ☐ $25,000-$29,999
- ☐ $30,000-$49,999
- ☐ over $50,000
- ☐ Unknown

Mental Health Statistics Improvement Program (2000). Mental Health Statistics Improvement Program Survey. Retrieved online [http://www.mhsip.org/surveylink.htm] Oct 16, 2007.
Connor, K., & Davidson, J. (2001). SPRINT: A brief global assessment of post-traumatic stress disorder. International Clinical Psychopharmacology, 16, 279-284.

APPENDIX II

Figure A. Adult Client Questionnaire Scales and Subscales and Related Items

ADULT CLIENT QUESTIONNAIRE (ACQ)		
SCALES/SUBSCALES	**Questions/Items (with item numbers from the questionnaire)**	
scale: risk taking behavior	**18.** Using alcohol or drugs not prescribed to you to deal with your feelings? **19.** Doing risky things? **20.** Doing things to physically harm yourself? **21.** Drinking or using drugs too much?	
scale: sexual functioning	**23.** Having no interest in sexual activity? **24.** Having difficulty becoming sexually aroused?	
scale: Eating behaviors	**22.** Eating too much? **25.** Not eating enough?	
scale: Post traumatic stress symptom checklists (PCL-C) **subscales:** A. Intrusive recollections B. Avoidant/numbing symptoms C. Hyper-arousal symptoms	**1.** Repeated, disturbing memories, thoughts, or images of a stressful experience? **(subscale a)** **2.** Repeated, disturbing dreams of a stressful experience? **(subscale a)** **3.** Suddenly acting or feeling as if a stressful experience were happening again (as if you were reliving it)? **(subscale a)** **4.** Feeling very upset when something reminded you of a stressful experience? **(subscale a)** **5.** Having physical reactions (e.g., heart pounding, trouble breathing, sweating) when something reminded you of a stressful experience? **(subscale a)** **6.** Avoiding thinking about or talking about a stressful experience or avoiding having feelings related to it? **(subscale b)** **7.** Avoiding activities or situations because they reminded you of a stressful experience? **(subscale b)**	**8.** Trouble remembering important parts of a stressful experience? **(subscale b)** **9.** Loss of interest in activities that you used to enjoy? **(subscale b)** **10.** Feeling distant or cut off from other people? **(subscale b)** **11.** Feeling emotionally numb or being unable to have loving feelings for those close to you? **(subscale b)** **12.** Feeling as if your future will somehow be cut short? **(subscale b)** **13.** Trouble falling or staying asleep? **(subscale c)** **14.** Feeling irritable or having angry outbursts? **(subscale c)** **15.** Having difficulty concentrating? **(subscale c)** **16.** Being "super-alert" or watchful or on guard? **(subscale c)** **17.** Feeling jumpy or easily startled? **(subscale c)**

Figure B. Empowerment and Satisfaction-Long Form Scales and Subscales and Related Items

EMPOWERMENT AND SATISFACTION QUESTIONNAIRE-LONG FORM (ESQ-LF)	
Note: THE OVERALL SCALE FOR ITEMS 1 THROUGH 26 IS EMPOWERMENT AND SATISFACTION.	
SCALES/SUBSCALES	**Items/Questions (with item numbers from the questionnaire)**
subscale: general satisfaction	**1.** Staff respected my background. **2.** Services were available at times that were good for me. **4.** I feel the staff heard me. **5.** I got the kind of service I wanted. **15.** I would return to this agency if I needed victim services in the future. **16.** I would recommend this agency to a friend in need of victim services. **17.** In an overall, general sense, I am satisfied with the services I received.
subscale: increased coping and sense of Empowerment	**3.** I was asked to participate in deciding what services I would receive. **6.** Staff helped me believe that I could change and improve my life. **7.** The services I received helped me deal more effectively with my problems. **8.** Because of the services I received, I learned skills to help me better manage my life. **9.** The services I received helped me identify a support system. **10.** The services I received helped me become aware of how crisis and trauma affect my life. **11.** The services I received helped me plan for my safety. **12.** The staff informed me about Victims Rights. **13.** The services I received helped me cope with my fear for my safety. **14.** Because of the services I received, I know more about the options and choices available to me overall. **18.** Because of the services I received, I know about the community resources that are available to me.
subscale: satisfaction with comfort and convenience of services	**19.** I was able to get around the building easily. **20.** The facilities were comfortable for me.
subscale: increased support or Knowledge through the medical system	**21.** I felt supported through the medical system by staff from the agency. **22.** Because of the services I received, I now know more about the medical system.
subscale: increased support or Knowledge through the legal system	**23.** I felt supported through the legal system by staff from the agency. **24.** Because of the services I received, I now know more about the legal system.
subscale: victim compensation Knowledge	**25.** The agency made me aware of the PA Victim Compensation Program. **26.** The information provided by the agency helped me understand the victim compensation process.

scale: sPrint: the short Post traumatic stress disorder rating interview (items 27 to 35 can measure the decrease in symptomatology if used as pre/subsequent)	**27.** How much have you been bothered by unwanted memories, nightmares, or reminders of the event? **28.** How much effort have you made to avoid thinking or talking about the event, or doing things, which remind you of what happened? **29.** To what extent have you lost enjoyment for things, felt sad or depressed, kept your distance from people or found it difficult to experience feelings. **30.** How much have you been bothered by poor sleep, poor concentration, jumpiness, irritability or feeling watchful around you? **31.** How much have you been bothered by pain, aches, or tiredness? **32.** How much would you get angry or upset when stressful events or setbacks happened to you? **33.** How much have you been blaming yourself or feeling guilty for what happened to you? **34.** How much have the above symptoms interfered with you ability to work or carry out daily activities? **35.** How much have the above symptoms interfered with your relationships with family or friends? **36.** How much better do you feel since beginning services? **37.** Overall, how much have the above symptoms improved since starting services?

Figure C. Empowerment and Satisfaction-Short Form Scales and Items

EMPOWERMENT AND SATISFACTION QUESTIONNAIRE-SHORT FORM (ESQ-SF)	
SCALES	**Items/Questions (with item numbers from the questionnaire)**
scale: general satisfaction and increased coping and sense of Empowerment	**1.** Staff respected my background. **2.** Services were available at times that were good for me. **3.** I was asked to participate in deciding what services I would receive. **4.** I feel the staff heard me. **5.** I got the kind of service I wanted. **6.** The services I received helped me deal more effectively with my problems. **7.** I would return to this agency if I needed victim services in the future. **8.** I would recommend this agency to a friend in need of victim services. **9.** In an overall, general sense, I am satisfied with the services I received.
scale: sPrint: the short Post traumatic stress symptomatology (items 27 to 35 can measure the decrease in symptomatology if used as pre/subsequent)	**10.** How much have you been bothered by unwanted memories, nightmares, or reminders of the event? **11.** How much effort have you made to avoid thinking or talking about the event, or doing things, which remind you of what happened? **12.** To what extent have you lost enjoyment for things, felt sad or depressed, kept your distance from people or found it difficult to experience feelings. **13.** How much have you been bothered by poor sleep, poor concentration, jumpiness, irritability or feeling watchful around you? **14.** How much have you been bothered by pain, aches, or tiredness? **15.** How much would you get angry or upset when stressful events or setbacks happened to you? **16.** How much have you been blaming yourself or feeling guilty for what happened to you? **17.** How much have the above symptoms interfered with you ability to work or carry out daily activities? **18.** How much have the above symptoms interfered with your relationships with family or friends? **19.** How much better do you feel since beginning services? **20.** Overall, how much have the above symptoms improved since starting services?

APPENDIX III

Figure A. Cover Sheet for the ACQ

ADULT CLIENT QUESTIONNAIRE (ACQ)

NOTE to clients: The information on this cover sheet will be completed by agency staff.
Please turn to the next page to begin your part of this survey. Thank you.

Date: _____

Client ID: _____

Pre-test ☐

Subsequent test ☐

Type of victimization: _____

Type of service: _____

Figure B. Consent Form

#_____

CONSENT TO PARTICIPATE IN EVALUATION OF SERVICES

This survey is part of our effort to evaluate the services we provide for our clients. We will use the information from this survey to help our program improve its services. If you agree to participate, you may be asked to complete up to three surveys over a period of time. Each survey takes 10-15 minutes to complete.

Participation in this survey is completely voluntary. Whether or not you participate will not affect your eligibility for services. Your responses to this questionnaire will be held to the same standards of confidentiality as other information kept by this agency.

If you agree to participate in this survey, please read the following statement and sign this form.

I have read this consent form (or this consent form has been read to me), and I agree to participate in this evaluation survey. I understand that my participation is completely voluntary and that I can refuse to answer any question that is asked.

Client: _____ Witness: _____

Date: _____ Date: _____

Figure C. Log for Tracking

LOG TO TRACk VSPE QUESTIONNAIRE ADMINISTRATION					
Survey Number	**Client ID**	**Date of First Survey**	**Date of Second Survey**	**Date of Third Survey**	**Staff Working with Client**

Figure D. Demographic Form

CLIENT DEMOGRAPHICS

Today's Date_____

Survey ID _____

tyPE of victimiZation
(check all that describe the victimization you experienced)

- ☐ Sexual
- ☐ Child Abuse (Sexual)
- ☐ Elder Abuse
- ☐ DUI Victim
- ☐ Homicide Survivor
- ☐ Physical Assault
- ☐ Robbery
- ☐ Domestic Violence
- ☐ Caregiver of Victim
- ☐ Other Violent Crime _____
- ☐ Child Abuse (Physical)

have you had a prior victimization?

☐ Yes ☐ No

Type: _____ Date: _____

datE of birth: _____

gEndEr:

☐ M ☐ F

Ethnic origin:

- ☐ Black/African-American
- ☐ White
- ☐ Hispanic/Latino(a)
- ☐ Asian
- ☐ American Indian/Alaska Native
- ☐ Bi-racial
- ☐ Other: _____
- ☐ Unknown

disability:

- ☐ Mental/Emotional Type_____
- ☐ Physical Type_____
- ☐ Other:_____

currEntly using substancEs *(Drugs or Alcohol)*

☐ Yes
☐ No

Primary languagE

- ☐ English
- ☐ Spanish
- ☐ Other:_____

marital/rElation (if adult client)

- ☐ Married
- ☐ Living with Partner
- ☐ Separated
- ☐ Divorced
- ☐ Single
- ☐ Widow/Widower
- ☐ Relationship, Not Living with Partner
- ☐ Other: _____
- ☐ Unknown

Education

- ☐ No GED or High School
- ☐ GED
- ☐ High School
- ☐ College Degree
- ☐ Graduate Degree
- ☐ Some College
- ☐ Some Graduate
- ☐ Post Graduate
- ☐ Unknown

EmPloymEnt status (if adult client)

- ☐ Student/School
- ☐ Employed Full-Time
- ☐ Employed Part-Time
- ☐ Homemaker
- ☐ Self-employed
- ☐ Retired
- ☐ Unemployed
- ☐ Other: _____
- ☐ Unknown

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- ☐ Less than $5,000
- ☐ $5,000-$9,999
- ☐ $10,000-$14,999
- ☐ $15,000-$19,999
- ☐ $20,000-$24,999
- ☐ $25,000-$29,999
- ☐ $30,000-$49,999
- ☐ over $50,000
- ☐ Unknown

Primary incomE sourcE

- ☐ Disability
- ☐ Employment
- ☐ Pension/Retirement
- ☐ Support
- ☐ Social Security
- ☐ Unemployment
- ☐ Public Assistance
- ☐ Other
- ☐ Unknown

APPENDIX IV

SERVICE DEFINITIONS

From the Pennsylvania Coalition Against Rape (PCAR)

CRISIS INTERVENTION: An immediate service to provide information and support to assess the victim's needs related to the violence or abuse. The goal of crisis intervention is an immediate reduction of stressors precipitated by the crisis.

INDIVIDUAL ADVOCACY: Facilitates the victim's negotiation of the different systems encountered as a result of being impacted by violence or abuse.

INFORMATION AND REFERRAL: Assists the victim to identify and gather information about community resources.

CRISIS COUNSELING: Provides information and support and the assessment of victim needs in response to a crisis event or occurrence that is related to the impact of violence and abuse on the individual. The goals of Crisis Counseling are the empowerment of the victim to manage current stressors precipitated by violence or abuse and stabilization of functioning.

SUPPORTIVE COUNSELING: A short term counseling intervention. The goal of supportive counseling is the empowerment of the victim to build coping and personal safety skills.

THERAPY: A process affecting core level changes in attitudes, beliefs, or behavior. This is accomplished through the use of ongoing therapeutic relationship and the application of a theoretical model or framework that may be relational, cognitive and /or behavioral in nature.

Note: PCAR does not fund the provision of therapy.

APPENIDX V

Testing for Reliability and Validity: General Information

There are four main ways to test reliability. The preferred method of testing for reliability depends on the type of methodology and administration procedures. The four ways are:

Interrater reliability – when multiple staff members are conducting the evaluation and are required to rate answers, this test has those staff members administer the test at the same time to the same client and then compare their interpretations/ratings.

Test-retest reliability – administer the survey at two different times and compare to determine if the answers are similar.

Parallel-forms reliability – administer the survey with one that is already statistically proven to be reliable and compare the results for similarity.

Internal consistency reliability – assess the scores of each item in the survey with the scores on the rest of the items intended to measure the same content.

If you want to know more about the different types of reliability testing, we suggest you consult a statistics and/or social research text (a citation for one is included in the reference section). For the purpose of testing these tools, we employed test-retest, parallel-forms and internal consistency reliability tests. Interrater reliability was not considered because the forms were developed to be self-report, eliminating the chance of error from different interpretations of answers by different staff members.

There are also different types of validity that must be considered:

tface validity – does the tool appear to measure what it was intended to measure?

Content validity – does the tool cover all possible meanings for each outcome? For example – is a client coping well? To know this, the tool cannot simply ask if the person is crying all the time. Emotions are one part of coping, but so are many other things, for example, physical symptoms, eating habits, or sexual functioning.

Empirical validity – the only type of validity that is not based on judgments, but rather statistical analysis. Do the questions intended to measure a particular concept correlate with other questions that measure the same concept? There are two sub-types of empirical validity:

> *Criterion-related validity* – do the questions about anxiety on the tool we created get results similar to an outside, or external measurement, of the same concept, such as Hamilton's Anxiety Scale?
>
> *Construct validity* (a more complex method of measurement) – do the questions about anxiety and poor coping skills show similar results (i.e. when a client has more anxiety they are also less able to cope) as would be expected?

There are subtypes of both types of empirical validity that we will not cover in this manual.

Testing for Reliability and Validity: VSPE Data

The Adult Client Questionnaire (ACQ) is comprised of 25 items and four separate scales. First, the Risk Taking Behavior Survey (RTBS) consists of 4 questions that measure if the client is involved in risky behaviors. The reliability or internal consistency coefficients of this scale using chronbach's alpha estimate was found to be good (α=.69). The second scale encompasses two questions related to Eating Behaviors (α=.63). The third scale is related to clients' perceptions of difficulties with Sexual Functioning (α=.68). As noted in the manual, initial reliability coefficients appear to be good for all of these scales. The final instrument, the PTSD Checklist (PCL-C) is a 17-item self-report measure of symptoms of PTSD. Clients rate how much they were "bothered by that problem in the past month". This scale has been standardized and shows excellent reliability (α=.94 to α=.97) and validity (Weathers et al., 1993). **It is important to note here that it is possible to compute summary scores for each scale; however, these scales can not be combined to compute an overall score.**

The Empowerment and Satisfaction Questionnaire, Long Form (ESQ-LF) is a 37 item self-report form, designed to be distributed at the end of service. This questionnaire combines three instruments: the modified Mental Health Statistics Improvement Program (MHSIP) survey, the original Service Survey created by the VSPE team, and the Short Post-Traumatic Stress Disorder Rating Interview 9-item modified measure based on the original 8-item self-report measure (SPRINT; Connor & Davidson, 2001). The initial reliability or internal consistency coefficients for the MHSIP and the VSPE Service Survey instruments were found to be excellent (α=.95). We found the VSPE items related to empowerment, advocacy, and satisfaction to show convergent validity with the original 11 MHSIP items. Collectively, these two instruments work together to yield higher reliability coefficients than they do as separate scales. One summary score can be obtained from the combined scales.

The ESQ-SF, is a 9 item self-report form based on the ESQ-LF (using 7 MHSIP items and 2 VSPE Service Survey items). This scale measures only the general empowerment and satisfaction of clients with services. The internal consistency using chronbach's alpha estimate remained similar to the ESQ-LF (α=.94).

The Short Post-Traumatic Stress Disorder Rating Interview (SPRINT) demonstrates excellent reliability and validity when screening for PTSD severity (Connor & Davidson, 2001). We added item 33 to capture the common attribution of victims of shame and guilt. This additional item does not have a negative effect on the overall reliability of the scale. In fact, it appears to have a very slight positive impact by increasing the overall reliability coefficient.

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Baltimore, MD 21201-1777

APPENDIX VI:

TOOLS FROM OTHER SOURCES AVAILABLE TO EVALUATE SERVICES FOR CHILDREN AND TEENS

Youth Satisfaction:

Mental Health Statistics Improvement Program (2000). Mental Health Statistics Improvement Program Survey. [http://www.mhsip.org/surveylink.htm]

Youth Post Traumatic Stress:

- The Child Report of Post-traumatic Symptoms (CROPS), developed by Greenwald and Rubin (1999) is a 24-item self-report for children and adolescents, covering a broad range of Post Traumatic Stress symptoms, with or without an identified trauma, and can be used to measure changes in symptomatology over time. Also available to use with caregivers, is a 32 item Parent Report of Post Traumatic Stress (PROPS) questionnaire, which provides the caretaker's perceptions of the child or adolescent's symptoms and behaviors. Email Ricky Greenwald rg@childtrauma.com to obtain.

  Greenwald, R., & Rubin, A. (1999). Brief assessment of children's post-traumatic symptoms: Development and preliminary validation of parent and child scales. Research on Social Work Practice, 9, 61-75.

- The Child PTSD Symptom Scale (CPSS) (Foa, et al., 2001) is a 26-item self-report measure that assesses PTSD diagnostic criteria and symptom severity in children ages 8 to 18. It includes 2 event items, 17 symptom items, and 7 functional impairment items. Symptom items are rated on a 4-point frequency scale (0 = "not at all" to 3 = "5 or more times a week"). Functional impairment items are scored as 0 = "absent" or 1 = "present". The CPSS yields a total symptom severity scale score (ranging from 0 to 51) and a total severity-of-impairment score (ranging from 0 to 7). Scores can also be calculated for each of the 3 PTSD symptom clusters (i.e., B, C, and D).

  Foa, E. B., Johnson, K. M., Feeny, N. C., Treadwell, K. R. H. (2001). The Child PTSD Symptom Scale: A preliminary examination of its psychometric properties. *Journal of Clinical Child Psychology*, 30, 376–384.

- The UCLA PTSD Index for DSM-IV (UPID) (Pynoos, et al., 1998) is a revision of the CPTS-RI. It is a 48-item semi-structured interview that assesses a child's exposure to 26 types of traumatic events and assesses DSM-IV PTSD diagnostic criteria. It includes 19 items to assess the 17 symptoms of PTSD as well as 2 associated symptoms (guilt and fear of event recurring). This scale can be obtained by email Asteinberg@mednet.ucla.edu.

  Pynoos, R., Rodriguez, N., Steinberg, A., Stuber, M., & Frederick, C. (1998). UCLA PTSD Index for DSM-IV. Rodriguez, N., Steinberg, A., & Pynoos, R. S. (2001). The Child Posttraumatic Stress Reaction Index, Revision 2.

APPENDIX VII

Developing the Methodology: the First Phase of the Project (1997 to 2002)

In developing the outcome measurement methodology the collaborative:

- Obtained public and private funding for the project.
- Identified key stakeholders for inclusion in the project.
- Collected and reviewed a compendium of outcome measurement models and service definitions of mission aligned organizations.
- Conducted twelve statewide focus groups with key stakeholders to solicit input.
- Developed outcome questionnaires that can be used to evaluate the effectiveness of counseling and therapy services provided by an agency.
- Developed a service questionnaire for use with all clients, including an optional section for assessing the effectiveness of advocacy and crisis intervention services.
- Developed the methods and procedures to be used in implementation of the questionnaire.
- Consulted with research experts to verify the efficacy of the methodology.
- Completed three field tests.
- Analyzed data for manageability, accuracy, value of the system as designed, and implications for programs and services.
- Collaborated with Great Lakes Behavioral Research Institute to develop software to manage and analyze outcome data collected.
- Tested the software for accuracy and manageability.
- Completed several statewide trainings, and disseminated information via the Pennsylvania Coalition Against Rape and the Pennsylvania Commission on Crime and Delinquency newsletters.

APPENDIX VIII

REFERENCES/CITATIONS

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Duncan, R., Emmerling, A., McManus, D., Rolison, C., Witwer, G. (2002). Outcome Based Evaluation Tools: A Project of the Pennsylvania Coalition Against Rape.

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Connor, K. & Davidson, J. (2001). SPRINT: A brief global assessment of post-traumatic stress disorder. International Clinical Psychopharmacology, 16, 279-284.

Weathers, F., Litz, B., Herman, D., Huska, J., & Keane, T. (October 1993). The PTSD Checklist (PCL): Reliability, Validity, and Diagnostic Utility. Paper presented at the Annual Convention of the International Society for Traumatic Stress Studies, San Antonio, TX.

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LEADERSHIP y ADVOCACy y ACTION

Taking Stock

A Practical Guide to Evaluating Your Own Programs

by
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Sally E. Boyd
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1997

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Development of this manual, *Taking Stock: A Practical Guide to Evaluating Your Own Programs*, was made possible with the support of the DeWitt Wallace-Reader's Digest Fund which sponsors Science Linkages in the Community (SLIC), a national program designed and coordinated by the American Association for the Advancement of Science (AAAS).

Table of Contents

Acknowledgments

Taking Stock was prepared at the request of the American Association for the Advancement of Science (AAAS) for its Science Linkages in the Community (SLIC) initiative. The work was carried out with the financial support of the DeWitt Wallace-Reader's Digest Fund. We gratefully acknowledge the vision and support of these two organizations in the development of this manual and its companion workshop.

For many years, AAAS has worked with national and local community-based organizations to design and deliver enrichment activities for use in out-of-school science programs. Beginning in 1993, the SLIC initiative focused these efforts in three diverse U.S. cities (Chicago, IL; Rapid City, SD; and Rochester, NY). Recognizing that evaluation is essential for quality programming and continued funding, AAAS commissioned Horizon Research, Inc. to develop materials to guide community-based organizations through the evaluation of their informal science activities. However, in the course of writing the manual, it became clear that the need for a fundamental grounding in program evaluation is not limited to organizations that provide out-of-school science activities.

And so, this manual evolved into what we hope is a more broadly useful guide to program evaluation. To the extent that we have succeeded, we owe much to our reviewers, who include members of the SLIC National Planning Council and their colleagues, as well as grantmakers from national and local foundations: DeAnna Beane, Association of Science-Technology Centers; Janet Carter, Bruner Foundation; Stacey Daniels, Kauffman Foundation; Catherine Didion, Association for Women in Science; Hyman Field, National Science Foundation; Sandra Garcia, National Council of La Raza; Maritza Guzman, DeWitt Wallace-Reader's Digest Fund; Barbara Kehrer, Marin Community Foundation; Roger Mitchell, National Science Foundation; Nancy Peter, Academy of Natural Sciences; Annie Storer, American Association of Museums; Ellen Wahl, Education Development Corporation; and Faedra Weiss, Girls, Inc.

Other important "reality checks" were provided by AAAS and SLIC staff, most notably: Betsy Brauer, Rochester SLIC; Yolanda George, AAAS; Gerri Graves, AAAS; Michael Hyatt, Chicago SLIC; and Margie Rosario, Rapid City SLIC.

Finally, we would like to thank Shirley Malcom, head of the AAAS Directorate for Education and Human Resources Programs, who recognized the need for this resource and provided us with the time and space to do it right.

Chapter One

WHY USE THIS MANUAL?

- ➢ Do you want information that will help improve your organization's programs?
- ➢ Are your sponsors asking about the quality and impact of the programs they fund?
- ➢ Are you applying for a grant that requires an evaluation plan?

If you answered "Yes" to any of these questions, then this manual can help. It is a practical guide to ***program evaluation*** written for community-based organizations (***CBOs***). It provides information that you can put to use now to help improve your programs.

This manual focuses on ***internal evaluation***—that is, program evaluation conducted in-house by CBO staff. We have taken this approach for one simple reason: many CBOs cannot afford to hire someone outside the organization to evaluate their programs, but they still need the kinds of information that evaluation can provide.

The information in this manual should better prepare you to design and carry out a program evaluation. And because the field of evaluation is now putting greater emphasis on ***participatory evaluation*** (a middle ground between internal and ***external evaluation)***, you will be able to apply your knowledge either within your own organization or in working with an external evaluator. This manual will also help you recognize when you might need an external evaluator and the advantages of using these services, should your CBO be able to afford them at some point.

Here are some assumptions that we made about you as we wrote this manual:

- ➢ You care about kids and communities.
- ➢ Your organization is committed to providing the best services possible.
- ➢ You have some experience running or participating in a CBO program, so you have an idea of how to get things done.
- ➢ You want to evaluate a program—*not* the people who run it or participate in it.

These shared qualities aside, we realize that CBOs come in all shapes and sizes. Some have full-time staff and annual program budgets exceeding $100,000; others spend less than $5,000 per program and rely almost entirely on volunteers. Community-based organizations also range widely in their ***goals***—from teaching new information or skills, to strengthening families, to enhancing students' educational and career options.

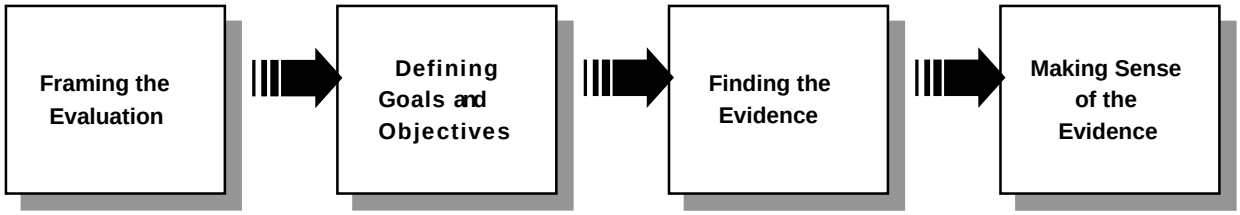
This manual is designed to help a wide variety of organizations, whatever your goals or resources.

What's In This Manual?

Chapters 2–7 include basic information on evaluation concepts and techniques. Ideally, everyone who picks up this manual will read these chapters for some background in program evaluation.

- ➢ Chapter 2 talks about what evaluation can do for your programs and describes two types of evaluation: formative and summative.
- ➢ Chapter 3 discusses the importance of documenting needs and context, and identifies some important first steps in planning your evaluation.
- ➢ In Chapter 4, we distinguish between program goals, objectives, indicators, and outcomes, and their role in evaluation.
- ➢ Chapter 5 talks about using quantitative and qualitative data to evaluate progress and impact.
- ➢ Chapter 6 describes how to collect information to evaluate your programs through document review, observations, interviews, and surveys.
- ➢ Chapter 7 provides tips for organizing, interpreting, and reporting the evaluation data that you collect.

Overview of the Evaluation Process



- Identifying needs
- Documenting context
- Taking stock of available resources
- Designing program strategies

- Choosing goals that are consistent with needs
- Defining objectives
- Generating evaluation questions
- Selecting indicators and outcomes

- Expanding the evaluation plan
- Looking at records and documents
- Observing program activities
- Interviewing people
- Conducting surveys

- Looking for themes
- Interpreting data
- Putting it together
- Reporting your results

The remaining chapters of this manual show how to apply this information, with examples of how evaluations might differ for programs with varying levels of resources. Chapter 8 takes you through a simple evaluation of a small program in a fictional CBO. Chapter 9 describes how the same CBO enlarged the evaluation when the program was expanded. We have also included sample evaluation plans and instruments that can be adapted for use in your own programs.

The appendices include examples of three types of reports that present evaluation information:

- ➢ Appendix A is an example of a *final evaluation report* that describes the impact of the small-scale program described in Chapter 8.
- ➢ Appendix B illustrates a *proposal* for expanding the scope of this program as described in Chapter 9.
- ➢ Appendix C models an *annual progress report* that describes the formative evaluation of the multi-year program described in Chapter 9.

A Glossary of Terms is included at the end of the manual. Throughout the manual, words and terms that are shown in ***bold italics*** are defined in this glossary.

Finally, we have tried to make this manual accessible to a wide range of audiences. As an overview, it takes a relatively traditional approach to evaluation, providing information on fundamental concepts and activities and how these can be applied. However, in practice the field of evaluation is far more complex than we have described it here. Using this guide as a basic introduction, we recommend the following resources to help you expand your knowledge and understanding of program evaluation.

Assess for Success: Needs Assessment and Evaluation Guide, © 1991
Girls Incorporated
30 East 33rd Street
New York, NY 10016

Leadership Is: Evaluation with Power, © 1995
by Sandra Trice Gray
Independent Sector
1828 L Street, NW
Washington, DC 20036

Measuring Program Outcomes: A Practical Approach, © 1996
United Way of America
701 North Fairfax Street
Alexandria, VA 22314

User-Friendly Handbook for Project Evaluation: Science, Mathematics, Engineering and Technology Education
by Floraline Stevens, Frances Lawrenz, Laure Sharp
National Science Foundation
4201 Wilson Blvd.
Arlington, VA 22230

Notes

Chapter Two

WHY EVALUATE?

To evaluate something means literally to look at, and judge, its quality or value. A ***CBO*** might evaluate individual employees, its programs, or the organization as a whole. When you evaluate a person's performance, you try to find out how well she carries out her responsibilities. When you evaluate a program, you want to know how far the program went in achieving its ***goals*** and ***objectives***. And when you evaluate an organization, you ask how well it operates to achieve its larger ***organizational mission***. Evaluation involves the collection of information that helps you to make these judgments fairly.

This manual focuses exclusively on ***program evaluation***. Why is program evaluation so important?

- ➢ First, it generates information that can help you to improve your programs.
- ➢ Second, it can demonstrate to funders and others the impact of your programs.

In the past, evaluation was often used only to measure performance. Based on information gathered in a final, ***summative evaluation***, further funding decisions were made. Programs were continued or discontinued depending on the results of the evaluation.

Luckily, program staff and funders have begun to expand their view of evaluation and appreciate its potential for program improvement. Through ongoing, ***formative evaluation***, you and your sponsors can gain insight into how well your program is performing and what adjustments may be necessary to keep it on track.

More about Formative Evaluation

Formative evaluation can help you determine how your program is doing while it is in progress, or taking form. The information you collect can help you make changes in your program and correct problems before it's too late! Formative evaluation can also help you identify issues of interest that you might not have thought about when planning your program. And, it can help shape and refine your ***data collection*** activities.

Formative Evaluation
(Provides information as a program takes form)

- ☐ Monitors progress toward objectives
- ☐ Provides information to improve programs
- ☐ Helps identify issues of interest
- ☐ Helps refine data collection activities
- ☐ Helps clarify program strengths and limitations

Information from a variety of sources (such as participants, instructors, and parents) can tell you how a program is progressing. For example: Do students like the program? Are staff and participants satisfied with the activities? What changes are needed to improve the program?

The people involved with your programs should be consulted during the evaluation planning stage, and as often as your resources permit during program implementation. Let participants know that their opinions are important, and provide them with opportunities to share their views. With their input, you can improve your programs and increase the likelihood that you will achieve positive results. Even programs that have been successful for a long period of time benefit from suggestions and comments. This formative evaluation feedback can help good programs become even better.

Pinpointing Problem Areas: Getting Formative Feedback

Youth Action Today! was in the third year of providing three-day summer camps for middle school students and their high school mentors. Interest in the camp had steadily increased among sixth and seventh graders, with enrollment rising each year. But pre-registration this spring showed fewer eighth graders were signing up. Thinking fast, program staff met with several small groups of eighth graders, who had attended the camp when they were younger, to see if they knew what the problem was. Students told the staff that word was out that camp activities were "babyish" and that the camp wasn't "cool" enough for older kids. With this feedback, pro- gram staff revamped the eighth grade activities to pro- vide more opportunities for interacting with the high school mentors. In addition, they engaged in a publicity campaign through eighth grade teachers and parents to talk about how the camp would be different this year and more appealing. Their efforts paid off as eighth grade registration increased for the day camp.

More about Summative Evaluation

Summative evaluation differs from formative evaluation in two important ways—purpose and timing. Ongoing, formative evaluation helps monitor progress as programs are occurring. Summative evaluation occurs when you are *summing* up what you have achieved. This can occur at the end of the program, or at appropriate "break points" during the implementation of an ongoing or multi-year program.

Planning for Summative Evaluation

What are you trying to achieve? What do you want your participants to know or be able to do when they have finished your program (that is, what are your ***goals*** and ***objectives***)?

How will you know whether or not you have achieved what you intended? What evidence will convince you? What evidence will convince your funder?

Summative evaluation helps you determine if you achieved what you and your sponsor set out to do. To understand what your program achieves, however, you have to know where you began. This is why it helps to collect ***baseline information*** before, or very soon after, a program begins. Baseline questions might include:

- How serious is a particular problem or need among children who will participate in your program?
- What behaviors, interests, or skills do the children have at the start of the program?

The amount of baseline information you collect will depend on your level of resources. For example, you may be limited to asking participants about their attitudes or behaviors. Or you may have the resources to gain a fuller picture by also asking parents and teachers about participants' needs, interests, and skills.

Collecting summative information allows you to find out how well the program achieved what it set out to do. Have children's skills or interest levels increased because of the program? What parts of the program appear to have contributed most (or least) to the participants' success? If you did not achieve what you intended, how do you account for this? What should you do differently next time?

Summative Evaluation (Provides information for summing up at the end of a program)	
Baseline Information Participant skills, behaviors, and attitudes *before* the program	**Summative Information** Participant skills, behaviors, and attitudes *after* the program

In this chapter, we have distinguished between formative and summative evaluation in terms of tracking progress and gauging impact. Both kinds of information are important for improving programs, for determining whether programs are successful, and for illustrating the success of programs to others.

While it is important to grasp the difference between formative and summative evaluation, it is equally important to think of these activities as part of an on-going evaluation process, not as distinct categories. Data collected while the program is in progress can be used in the summative evaluation to gauge impact. Similarly, information collected at the end of a program can be used in a formative way for designing an improved or expanded program or new programs with similar goals.

Why Evaluate?	
To generate information that can help you to improve your programs by: ➢ Monitoring progress toward program objectives ➢ Identifying issues of importance to program participants ➢ Refining data collection activities	**To demonstrate the impact of your programs to funders and other potential supporters by:** ➢ Assessing progress toward program goals ➢ Documenting the quality of your programs and describing the effects on participants ➢ Quantifying the amount of change experienced by program participants

Now that we have discussed the main reasons for doing evaluation, we can begin to explore the program design and evaluation process. The first step, identifying needs and documenting context, is described in Chapter 3.

Notes

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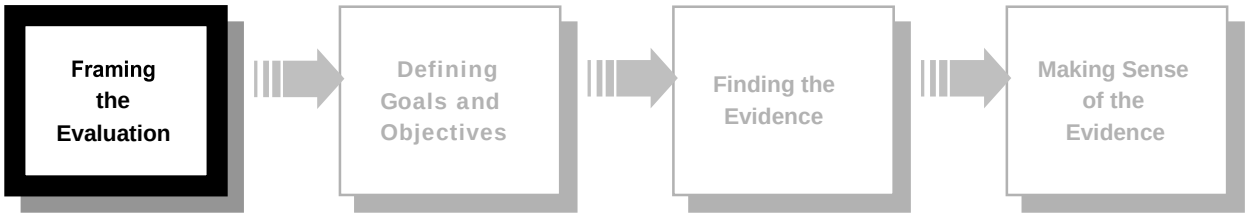
Chapter Three

GETTING STARTED: FRAMING THE EVALUATION
Documenting Context and Needs



- Identifying needs
- Documenting context
- Taking stock of available resources
- Designing program strategies

Evaluation planning should begin at the same time you are thinking about the design of your program. But how do you get started? What do you need to think about in the early stages of program and evaluation planning?

You start the process by clarifying what needs you are trying to address, who your audience will be, and the setting, or context, in which your program will operate.

Early Program and Evaluation Planning

- ➢ What needs are you trying to address?
- ➢ How are these needs best identified?
- ➢ Who is your targeted audience?
- ➢ What factors will influence levels of participation and program success?

Setting the Stage for Evaluation: Documenting Context and Needs

Documentation is an important piece of the evaluation puzzle. It involves describing (rather than assessing) conditions, events, or people to help gain a better understanding of the context in which a program occurs. For example, what are the socioeconomic and demographic characteristics of the community and the targeted audience? How might these factors, and others, affect how you implement your program?

Knowing the finer details of context is also crucial for program and evaluation design. For example, lack of transportation may deter students from staying after school for a tutoring program,

which in turn will influence program success. In a case like this, program planning would include working with school administrators to arrange for a later bus departure, or rescheduling sessions earlier in the day.

Initial documentation activities often focus on the identification of needs, or ***needs assessment.*** Information gathered *before* a program is planned or implemented can help staff to identify needs, identify appropriate target populations for program services, and customize their program design to meet specific needs. Collecting this kind of information can also help you justify your program to your community and to potential funders.

There are many ways to document needs. You can attend community and church meetings to learn about the concerns of neighborhood residents. You can informally ***survey*** human services personnel to find out what needs they see in your community. And you can conduct ***interviews*** or ***focus groups*** with parents, teachers, or students in your community. Identifying and documenting the needs identified by people who live and/or work in your community helps to lay the groundwork for program and evaluation design.

Thinking Like an Evaluator

As an experienced program designer, you know what questions to consider next:

- What strategies will enable me to address the needs I've identified?
- What resources do I have to work with—including funds, personnel (paid and volunteer), and in-kind contributions of facilities and equipment?
- Given the level of resources available to me, which of the possible strategies can I implement well?

Needs Assessment and Baseline Data

There's an important connection between ***summative evaluation*** and the documentation of context and needs. When we described summative evaluation in Chapter Two, we talked about the importance of comparing ***baseline data*** —information gathered prior to program implementation—with data collected at various breakpoints during, or in the final phase of, a program. Data collected for ***needs assessment*** purposes may also be used as baseline data.

Once you have collected data which adequately describes the context and needs of your target population at the beginning of your program, you can plan to collect the same kinds of descriptive information at the end of your program. One way to evaluate the effectiveness or impact of your program is then to compare baseline and summative data. What has changed as a result of your efforts?

Now, in order to design a good evaluation plan, you need to start thinking like an evaluator. In order to do that, you must translate the needs you've identified into realistic ***goals*** and ***objectives***. This is the subject of Chapter Four.

Notes

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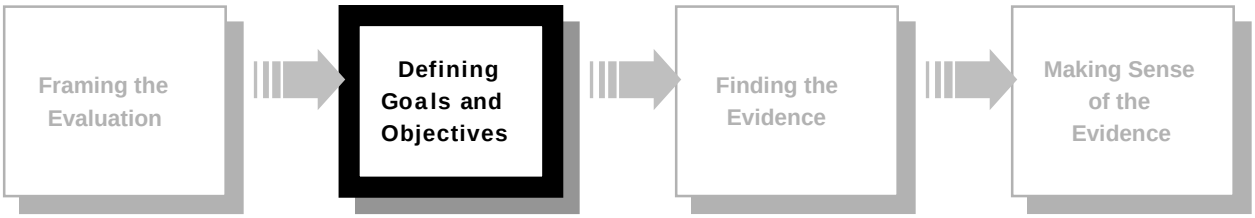
Chapter Four

WHAT ARE YOU TRYING TO DO?
Defining Goals and Objectives



- Choosing goals that are consistent with needs
- Defining objectives
- Generating evaluation questions
- Selecting indicators and outcomes

One of the most important evaluation questions you can ask is, "What do I expect to accomplish through this program?" Another way to phrase this is:

"What are my goals and objectives?"

The answer to this question will influence how you design your program *and* your evaluation.

If you were to look up the words "goal" and "objective" in the dictionary, you might find them used to define each other. But in program design and evaluation, the terms goal and objective are used for different things. A ***goal*** is what you hope to accomplish when your program is completed—it is broader than an objective. An ***objective***, on the other hand, refers to a more specific event or action that has to occur before you can achieve your goal.

Given the complexity of the problems that ***CBO*** programs typically address, it is important to be realistic about which part(s) of a long-term goal or problem you can successfully tackle through a single program.

What is Realistic? Breaking Down Goals

CBO program goals are sometimes as broad and ambitious as the organization's mission, or reason for existing. For example, your organization's mission may be to prepare the youth of your community for future employment. There are many ways that you might accomplish this mission—through educational programs, leadership development programs, or job skills programs. Community members or potential participants may have ideas about appropriate strategies. But how do you decide on a plan for a specific program? One way to identify possible

objectives is to think about your goal as a problem to be solved. As you break the problem down, you can see that there are many possible objectives that must be achieved in order to truly accomplish your goals.

For example, given that your mission is to prepare youth for future employment, you might choose to pursue the following goal:

"Prepare youth to enter science- and mathematics-related fields"

What kinds of experiences would help to prepare children for careers in these fields? Here are some ideas:

- Elementary school students need exposure to good science and mathematics enrichment activities in order to develop their interest in these subjects and to enhance what they learn in school.
- Middle school students need to spend time with role models or mentors who can advise them on appropriate ways to prepare for a specific field and provide them with some meaningful experiences in that field.
- Middle and high school students need to experience high-quality tutoring in key areas, such as Algebra and Chemistry, which are useful in many science- and mathematics-related fields.
- High school students need access to appropriate guidance services to help them identify post-secondary programs that suit their needs and interests in science and mathematics.

Being Realistic: Separating Goals from Objectives

Let's say the **goal** of your program is to reduce the school drop-out rate. This goal could be addressed in many different ways. Based on your experience and the resources available to you, you and your colleagues decide that a realistic **objective** for this program is to provide mentors for middle and high school students who are at risk of school failure.

You believe that achieving your objective (providing students with positive, one-on-one relationships with caring peers or adults) will decrease participants' tendency to engage in self-destructive behaviors, and will stimulate their interest in school—first steps toward addressing your long-term goal of reducing the drop-out rate. With your objective in mind, you design program activities that you feel will support positive mentoring relationships.

The objectives of your career preparation program will then be to provide one or more of these experiences or services to the youth you serve. It is important to remember, however, that these objectives represent just a few of the options a CBO might use to address this particular goal, and that other objectives might be equally valid. In other words, there is no finite number of "correct" objectives to meet a selected goal.

Relationship between mission, goal, and objectives

Working Out An Evaluation Plan

Now that you have identified your goals and objectives, you can begin framing ***formative evaluation*** questions in terms of progress toward your objectives and ***summative evaluation*** questions in terms of impact on your goals.

Using the example of the program to prepare youth for future employment in science- and mathematics-related fields, your objectives are (1) to provide elementary age students with high quality science and mathematics activities outside of school, (2) to develop their interest in science and mathematics, and (3) to build on the science and mathematics that these students are learning in school. What evaluation questions will help you determine if you are making progress toward these three objectives? Using a chart like the one that follows might help you visualize how the evaluation design will take shape.

Developing an Evaluation Plan

Mission: To prepare the youth of our community for future employment

Goal: To prepare youth to enter science- and mathematics-related career fields

Objectives: a) To expose elementary students to good science and mathematics activities
b) To develop students' interest in science and mathematics
c) To enhance the science and mathematics that students learn in school

Sample Formative Questions (related to *objectives*)	Sample Summative Questions (related to *goals*)
➢ What do students think of the mathematics and science activities that we provide? ➢ How do students demonstrate genuine interest in science and mathematics? ➢ How are students using the science and mathematics they learn in school as they participate in our activities?	➢ How do students' interest in science- and mathematics-related careers compare before and after the program? ➢ What steps have students taken on their own to find out more about science- and mathematics-related careers?

You will undoubtedly come up with many evaluation questions as you try to develop a similar plan for your own programs. Some of your questions will be very specific, like "Did students appear to be interested in the nature hike?" Other questions will be more general, like the ones in the preceding box. Whatever your questions are, grouping them in terms of your goals and objectives will help you to organize your thoughts and to identify gaps in your evaluation plan.

How Will You Know When You Get There? Measuring Progress and Impact

Thinking through your evaluation questions in terms of the goals and objectives you have defined provides the foundation for your evaluation plan. The next step is equally important—deciding what kinds of evidence will convince you and your funders that your program is a success. What do you expect to see, hear, or measure if your program is successful at achieving your objectives and ultimately your goals?

In the formative evaluation stage, while a program is in progress, we look for ***intermediate indicators***—what you expect to see if you are progressing toward your objectives. In the early career preparation program described above, intermediate indicators might include:

- ➢ Parents reporting that the students talk enthusiastically about program activities while at home.
- ➢ Students asking questions that indicate they are linking science and mathematics concepts with their everyday lives.

- ➢ Science and mathematics teachers reporting that students refer to program experiences during classroom discussions.

In the summative stage of the evaluation, when the program is completed, we look for evidence of ***final program outcomes***. These are the changes you expect to see if your program has actually achieved its *goals*. Once again using the early career preparation program as the example, you might expect outcomes such as the following:

- ➢ When asked to list jobs that interest them, more students mention a science- or mathematics-related field after the program than when asked this question at the beginning of the program.
- ➢ Over the course of the program, at least half of the participants checkout library books related to science and mathematics professions.

Relationship between mission, goals, objectives, indicators and outcomes

The figure above illustrates the interrelationships between organizational mission, program goals, objectives, indicators, and outcomes. In Chapter Five, we briefly set aside our discussion of the evaluation process in order to explore in more depth the different kinds of information that can be used to define indicators and outcomes.

Notes

Chapter Five

FINDING THE RIGHT MIX
Using Quantitative and Qualitative Data

How will you know whether you are achieving your ***objectives*** and making progress toward your ***goals***? What counts as evidence of progress and impact? Though simplifying a bit, it's convenient to think of measuring progress and impact in terms of quantitative and qualitative data.

What are Quantitative Data?

Information that is measured and expressed with numbers can provide ***quantitative data***. For example, attendance records can show the number of persons who participate over a period of time; ***surveys*** can show the percent of participants who respond to a question in a certain way. These quantitative data can be used in a variety of ways. To name just a few, they can be presented as numbers or percents, as ranges or averages, and in tables or graphs. They can also be used to compare different groups of participants—girls and boys, students of different socioeconomic or ethnic backgrounds, or students in your program with non-participants.

To illustrate different ways to present quantitative data, let's go back to the mentoring/dropout prevention program that we first described in the box on page 16. In this example, the 15 middle school students (7 girls and 8 boys) and 25 high school student participants (10 girls and 15 boys) were asked to fill out a ***questionnaire*** at the end of the school year. The following tables and graphs illustrate several ways to present the same questionnaire results.

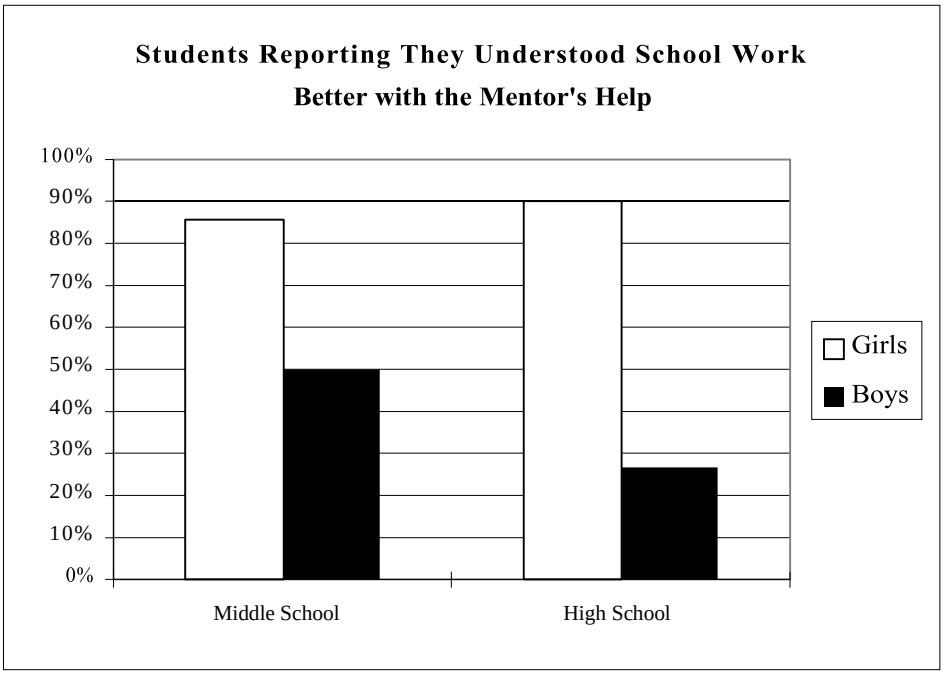
As *numbers*, combining the results for all of the program participants:

End-of-Year Survey	
Response on Questionnaire	Number responding Agree/Strongly Agree
I look forward to meetings with my mentor.	38
I think my mentor cares about me personally.	38
I understand my school work better when my mentor helps me.	23
Total Number of Participants	40

As *percentages*, separating middle school from high school:

End-of-Year Survey		
	Percentage responding Agree/Strongly Agree	
Response on Questionnaire	Middle School	High School
I look forward to meetings with my mentor.	100	92
I think my mentor cares about me personally.	87	100
I understand my school work better when my mentor helps me.	67	52
Total Number of Participants	15	25

You might also choose to present some of the information graphically to help make a point that might be difficult to see in a table. Here, the graph shows that the boys responded quite differently from the girls to one specific question:



Notice how each of these examples has highlighted a different aspect or detail in the questionnaire results. We went from looking at the results for all participants, to comparing results for middle and high school participants, and finally comparing results for boys and girls at the middle and high school levels.

What are Qualitative Data?

Evaluators also look at progress and impact in terms of ***qualitative data***, where changes are more often expressed in words rather than numbers. Qualitative data are usually collected by document review, observations, and interviews. ***Open-ended questions*** on surveys can also generate qualitative data.

Qualitative data can provide rich descriptions about program activities, context, and participants' behaviors. For example, we can assess the impact of the mentoring/dropout prevention program on students' relationships with their mentors by *describing* how well the student-mentor pairs interact before and after the program.

Example of Qualitative Data Observations of Program Activities	
Student behaviors during the *first* week of a program	**Student behaviors during the *last* week of a program**
At a "Get Acquainted" bowling party, student/mentor pairs grouped themselves into two pairs per alley. In some cases, the youths spent most of the time talking together, not mingling with the adults. In two cases, the youths left the bowling area to play video games. Several adults appeared hesitant to break into the youthful conversations; in most cases, the adults sat and conversed separately. Several of the youths bowled a game or two with their mentor, but appeared uncomfortable with the adult, and uneasy about approaching other youths who were engaged in conversations. These students seemed bored and distracted.	At a "Welcome Summer" picnic, students and mentors appeared quite comfortable with each other. Most students chose to sit near their mentors at picnic tables. All the students appeared at ease talking with their mentors, and in many cases, talking to other adults sitting nearby. No one appeared bored or hesitant to join in conversation. After eating, mixed groups of adults and students played volleyball and softball, with everyone actively participating. Interactions were relaxed and enthusiastic. Students and mentors appeared to enjoy the opportunity to be together.

Qualitative data can also be expressed in numbers. For example, interview responses can be tallied to report the number of participants who responded in a particular way. Similarly, in the example above, the observer could report the number of students in the entire group who were actively engaged in the activity.

Seeing Quantitative and Qualitative Data as Indicators and Outcomes

To further illustrate quantitative and qualitative data, let's return to the mentoring program discussed earlier. The goal of the program is to reduce the school drop-out rate. The objective is to provide positive role models and mentors for at-risk middle and high school students.

Formative Evaluation: While your program is underway, how will you know that you are building mentoring relationships that are having a positive impact on students' behavior?

> The number of students who engage in weekly activities with their mentors is one possible ***quantitative, intermediate indicator***. Using this information, you might reason that steady or increased participation means that students enjoy the activities and find the new relationships rewarding.

Fewer disciplinary reports with participating students mid-way through the program might also suggest progress.

A change in students' behavior, as reported through teacher interviews, is a possible ***qualitative, intermediate indicator***. Teachers might note that participating students are less hostile and more motivated since the program began. These qualitative data might suggest a change in students' attitudes toward themselves and others in authority.

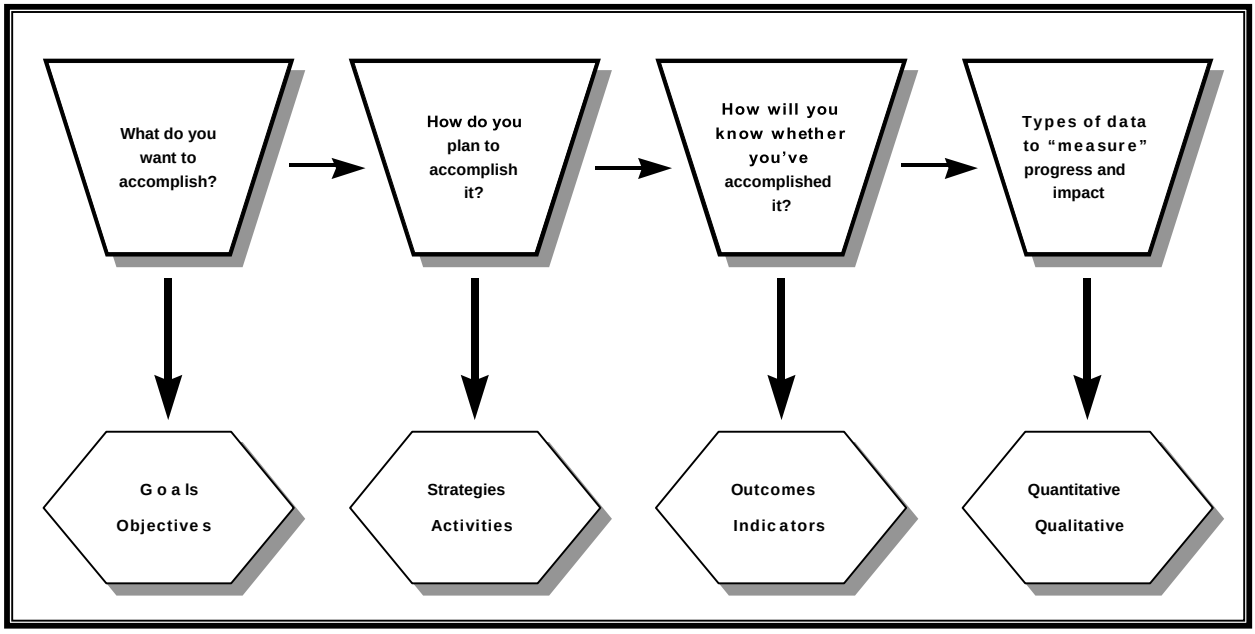
Summative evaluation: How will you know that building positive mentoring relationships has helped produce behavior conducive to students staying in school?

As baseline data, you compiled data on the number of disciplinary reports and suspensions among your participants before the program began. Your summative data—the same data for participants at the end of each year of your program—might show a leveling off or decline in these numbers. This would be a ***quantitative, final program outcome***.

Your observations or parents' and teachers' descriptions of students' behavior, both before and after the program, can provide summative qualitative data. A description of behavior in and out of school that provides evidence of more interest and motivation is a possible ***qualitative, final program outcome***.

Program to Reduce the Drop-out Rate		
	Quantitative Outcomes	**Qualitative Outcomes**
Intermediate Indicators	*Number* of students who engage in activities with mentors stays the same or increases over course of program.	*Quality* of students' interactions with others shows improvement during program.
Final Outcomes	*Number* of suspensions/discipline reports decreases among participants by program's end.	*Quality* of students' interactions in and out of school consistently improves by program's end.

The following figure summarizes where we are now in the evaluation design process. In the next chapter, we resume our discussion of the evaluation process by focusing on methods for collecting quantitative and qualitative data.



A Final Word About Quantitative and Qualitative Data

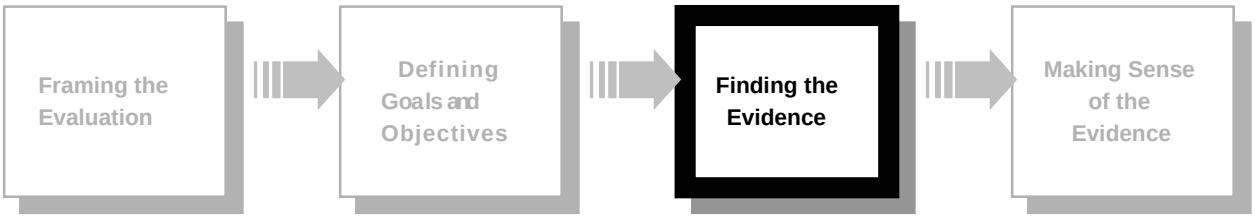
Collecting both quantitative and qualitative data in your ***formative*** and ***summative evaluation*** is important, but is not always possible. For example, many positive outcomes do not have tests or scales associated with them, so a number cannot be assigned to measure progress or success. In these cases, qualitative data may prove more useful, since they allow you to describe outcomes with words. Qualitative data can also be highly useful for clarifying what you think is important, and for discovering new issues that you might have overlooked in your initial evaluation design.

On the other hand, collecting and using qualitative data is often time-consuming and labor-intensive. As a general rule, you will want to use the measures (quantitative or qualitative) that are most feasible in terms of your skills and resources, and most convincing to you and your sponsors.

Notes

Chapter Six

FINDING THE EVIDENCE
Strategies for Data Collection



- Expanding the evaluation plan
- Looking at records and documents
- Observing program activities
- Interviewing people
- Conducting surveys

So far, you have defined ***goals*** and ***objectives*** for your program, and you have thought about the kind of evidence you need to measure progress and impact. You would like to collect some baseline data to compare with the summative data you collect at the end of the program. And you know that you want to collect both ***quantitative*** and ***qualitative data*** as evidence for your ***intermediate indicators*** and ***final program outcomes***. But how do you actually get the information that you need?

Measuring progress and impact basically means collecting and interpreting information. Before you decide how to collect this information, it is important to have a clear idea of what you are trying to learn. While it may be tempting to try and capture every facet of change occurring among youth in your program, being clear on the purpose of your evaluation can help keep ***data collection*** more manageable. For example, if you are trying to measure problem-solving abilities, your ***questionnaire*** does not need to ask students about their attitudes towards mathematics.

Be clear about what you want to find out. Sticking to these areas of interest and avoiding unnecessary data collection will keep your evaluation focused.

At this stage in designing your evaluation, think about your program activities, possible sources of information (e.g., students, parents, and teachers) about how well these activities are working, and different ways to collect information from each of these sources.

There are four basic ways to collect evaluation data: ***document review***, ***observations***, ***interviews***, and ***surveys***. Using a combination of these methods will help you to check your findings. And your evaluation will be more convincing if you can refer to more than one information source and method of data collection (such as interviewing students *and* surveying parents) to support your statements or conclusions.

What Records and Documents Can Tell You

Written documents and records can reveal things about people's behavior and about the context in which your program occurs. Such records may already exist somewhere or you may create customized records to meet your evaluation needs. In either case, records and documents can provide you with some fairly reliable information about program participants, and about the evolution of a particular issue or program over time.

Creating your own records can be a cheap and easy way to collect information and to make sure that you get the information you want about your participants and the impact of your program.

Examples of Records and Documents

Existing Records/Documents	Created Records/Documents
➢ School attendance records	➢ Program attendance sheets
➢ Report cards	➢ Participant information sheets
➢ Extracurricular activity records	➢ Library checkout lists
➢ Arrest records	➢ Participant journals or portfolios

How might a ***CBO*** use specially-created forms? Simple forms completed on the first day of the program can provide vital information about participants, including name, race or ethnicity, gender, and age. This ***demographic information*** is important to determine if the program served the intended target audience (for example, middle school girls).

An attendance sheet is another easily-created form that can help measure program success; information from these forms may indicate steady or growing participation, suggesting program popularity. A program aimed at improving attitudes toward science and mathematics might devise a form to keep track of the number of science/mathematics-related library books checked out by program participants. An increase in the number of books checked out may indicate growing interest in and appreciation for science and mathematics.

Existing records can also provide useful evaluation information. For example, school records of student participation in extracurricular activities may indicate increased motivation and interest. But be aware that you may not always get permission to look at the documents that interest you. Access may require the cooperation of people outside your organization, and getting permission can often be tricky. This is often a problem with report cards. Singling out and checking program participants' records (from the hundreds on file at a school) can also be time-consuming.

Be Creative!

You can sometimes be quite creative in using records to suit your needs. For example, researchers studying the impact of a new elementary school music program consulted the school nurse's records of "emergency" student visits before, during, and after the new program was implemented. They found that visits decreased during the program, and used this information to support their contention that students enjoyed the new program better than the previous one.

Given these obstacles, you might be able to get the same information with a more ingenious strategy. While access to report cards through the schools may be difficult to attain, it might be relatively simple to get parental permission for students to bring in their report cards, and to encourage participants to do so with small incentives such as inexpensive or donated prizes. In general, however, because accessibility varies tremendously, it is a good idea to inquire about the availability of certain records *before* you decide to rely on them in your evaluation.

Considering Different Types of Records

	Advantages	Disadvantages
Existing Records	➢ May provide good information about student behaviors	➢ May be difficult to access ➢ Require permission of others ➢ Time-consuming to match with participants
Created Records	➢ Can be customized to suit the program ➢ Simple forms require little expertise to create or use	➢ Require accurate and regular record-keeping by staff

Creating records or using existing documents can be fairly straightforward. In addition, the analysis of records may simply involve tallying the results. But records and documents provide only a piece of the evaluation picture. They are indirect measures; that is, they only *suggest* possible conclusions because they tend to be related to certain kinds of attitudes and behaviors. For example, increased attendance at CBO programs suggests that the popularity of the program is growing. However, higher attendance rates could also mean that children are using the program

to avoid doing something else that they like even less. It is always best to supplement the picture with other kinds of direct evidence. This may include letting participants tell you whether or not they like the program or observing them to see if they appear to be engaged and enjoying themselves.

Why Watch? What Observations Can Tell You

There is no substitute for taking a firsthand look at your program. Observing children engaged in activities or sitting in on staff meetings can provide useful information for answering both ***formative*** and ***summative evaluation*** questions. By observing, you also can see what is or is not working, how the program is developing, and the appropriateness of activities for participants. In short, observations can yield a wealth of information about your program.

What skills do observers need?

The most important qualities required are the ability to take in what is seen, heard, and felt in an event, and to report those impressions and details clearly in writing. Someone with good attention and writing skills is more likely to assemble a useful observation report than someone who struggles with these tasks.

As an observer, it is essential to have a clear idea of what you are looking for. Within these guidelines, however, it is also important to just *look* before you begin *looking for* something, and that means leaving behind any preconceived notions about what you think you might see. Your observation guidelines may be very general at the beginning of the program, but will narrow in focus over time as you decide what evidence is most crucial for your evaluation.

Think about your ***objectives*** and desired outcomes. What behaviors would support your claim that the program has changed students' motivation, attitudes, or skills? With observations, "actions speak louder than words." For example, while students might *say* they like science better because of a program, it is even more convincing when an observer reports that students are actually asking more or better questions about science-related topics. Similarly, it is easy for participants to say their self-esteem has increased. But seeing differences in the way a student dresses or interacts with others can support statements about the program's influence on students' self-image. Tasks that are designed to gauge changes in student's behavior or skills, and that are completed by participants during an observation session, can also provide excellent evaluation data.

Most observers write notes while they are watching, describing what participants and staff say or do during the observed event. For example, students working in a small group might talk excitedly while working out the solution to a problem. Recording their comments can provide valuable testimonial to the benefits of cooperative learning. Audiotapes, videotapes, or photographs

may prove useful in capturing the essence of observed events, providing that you have permission from participants to use these tools.

While you are observing, be attentive and open to discovering behaviors, both verbal and nonverbal, that suggest the presence or lack of student motivation. Interactions between children, between instructors and children, and between children and the materials are all available to the observer's eye.

Who Should Observe?

Activities can be observed by someone involved with the program or by someone without a role in the activity. An "outsider" gathers details during the event, while a participant-observer who is part of the process (for example, an assistant instructor) writes down observations afterwards. Outsiders can be more objective, but insiders have the advantage of really knowing the issues and the ability to provide immediate feedback. For example, program staff may wonder how students with reading difficulties are faring in the program's laboratory projects. The program director could ask teachers and assistants to pay particular attention to this issue and report on their observations at the next staff meeting.

Despite their strengths, observations alone are not sufficient evidence for convincing others that a program has caused lasting change. For instance, observations of students working with each other during a twenty-minute activity do not necessarily mean that students are more inclined to work cooperatively in general. Again, it is always important to look for several sources of evidence that support whatever changes you think have occurred in participants.

Observing With an Evaluator's Eye

Imagine you are sitting in the back of a room where ten students are taking turns reading aloud from a book about a science-related topic. The instructor takes frequent breaks to ask questions and stimulate discussion. If you are looking for indicators of student interest in science, you will consider:

- How many students are participating in the discussion? What are they saying?
- How do students look? Are they distracted or bored, or are they listening with interest?
- How much personal experience do the students bring into their responses?
- How excited do they seem about the subject? What do they say?

What's the Word on the Street? Conducting Interviews

Interviewing participants, program staff, parents, classroom teachers, and others is a great way to get information about the impact of your program. As with observations, being clear and focused about the information you want is critical. There are many questions that can be asked; the evaluator's challenge is to ask just the half dozen or so that best meet the needs of the evaluation.

It is also important to get a range of perspectives. For example, interviewing only staff members about program impact presents only one point of view and can result in a ***biased*** interpretation of program outcomes; getting students' and parents' views can give you a more complete picture of what your program did or did not accomplish.

Interviews offer a wide range of formats—they can be formal or informal, structured or unstructured, individual or in groups, in-person or by telephone. Given the limited resources that most CBOs have, structured interviews that follow a prepared set of questions may work best. An interview guide, or ***protocol***, can be quite simple. In cases where it is important to do so, a protocol is helpful in making sure that each person is asked to respond to the same questions.

If you are working with inexperienced interviewers, short, specific, and very structured interview guidelines can help ensure that you get the information you want. In addition to this ***formal interview*** format, some ***informal interviews*** may occur as well. For example, you might ask a few students what they think about an activity while you are observing the group. These spontaneous comments can yield excellent insights and information for formative and summative evaluation purposes.

Interviewing Children

Students sometimes act reserved with an adult interviewer and may require a certain amount of "probing" to get at key issues or to get a better understanding of what they mean. For example:

Interview question:
"What did you like best about the program?"
Student: *"Everything was great."*
Probe #1: *"What one thing stood out?"*
Student: *"The food was really good."*
Probe #2: *"What about with the program activities?"*
Student: *"Well, I really liked working in groups."*
Probe #3: *"How come?"*
Student: *"It just made you feel like everybody was working together, and like you weren't alone, and you could feel good about what you did in the group."*

In this example, it took three ***probes*** to find out what the student really liked best and why. This is the kind of information you want, so be prepared to follow up until you get an answer to your question.

Since interviews require people to reveal their thoughts, it is important to keep in mind a good fit between interviewer and participants. For example, having an instructor interview students about how they liked the class may not yield reliable results because children may feel the need to give a positive response. In this case, someone not associated with program delivery would be a better choice. Assuring respondents of individual confidentiality—and respecting that confidentiality—can also help ensure that people are candid with their answers.

Interviewers should be objective, non-threatening, knowledgeable about the program, and be able to communicate and listen well.

Group interviews, or ***focus groups***, are a good way to talk to more people in a shorter amount of time. It takes a skilled interviewer to keep the group on track, however, and to make sure that everyone gets involved in the discussion. Restricting a group to 8–10 people is a good idea, as is limiting the people in your group to those who have similar experiences—such as teachers only or students only.

To capture the important points that emerge from an interview, interviewers usually take notes and/or tape record (if the person or group is willing). In either case, it's important to try to get the exact words people use about key points. These ***direct quotes*** can provide powerful data about program impact. Summaries of what people say are also useful for illustrating program impact in evaluation reports.

Interviewing people can be time-consuming and labor-intensive, but the rich detail that comes from interviews can make it all worthwhile. Interviews can provide in-depth information about behaviors, attitudes, values, knowledge, and skills—before, during, and after a program. Interviews can also help clarify and expand what you learn through document review and direct observations. And because interviews can provide such rich data, it is possible to get enough detailed information about a program by interviewing a ***sample*** or subset of participants, instead of *all* participants.

Tips for Interviewing

- ☐ Make the interview setting as friendly and as comfortable as possible.
- ☐ Use your own words to sound more natural and conversational, even as you use an interview guide with set questions.
- ☐ Be patient. Allow people to think and answer in their own time.
- ☐ Try not to give verbal or facial clues to people's responses. By doing so, you might lead their answer or make them think they said something wrong.
- ☐ At the end of the interview, give people a chance to add miscellaneous comments or ask you any questions they might have.

Making Numbers Count: Conducting Surveys

A survey is a method of collecting information—by mail, by phone, or in person. Surveying involves a series of steps, including selecting a sample, collecting the information, and following up with non-respondents. A questionnaire is the instrument (written questions) used to collect information as part of a survey.

Responses to multiple-choice items on questionnaires can be tallied to provide numbers and percentages that are powerful quantitative evaluation data. While people can be surveyed by mail or phone, community-based organizations might more frequently choose to have participants' complete a written questionnaire in person during program events. With a captive audience, you will likely get a better ***response rate***, which can yield more accurate information about the group as a whole.

Questionnaires can be especially useful in evaluation if the same set of questions is asked at the beginning of a program (for ***baseline information***) and again at the end of the program (to measure impact).

For programs with a large number of participants, surveying a sample of the group may be more cost-effective than surveying everyone in the program. However, you need to be careful to choose a sample that is representative of the entire group. For example, if attendance at a particular event is low, then surveying only those participants who come to the event may lead to biased results. Everyone who attended may have thoroughly enjoyed the activity, while the rest of the people who were invited chose not to attend because the activity did not seem very interesting or worthwhile. Talking to non-participants will help you to more accurately evaluate your program activities.

Surveys can include several kinds of questions. ***Closed-ended questions*** resemble items on a multiple-choice test; they provide a selection of possible answers from which to choose. People who complete the questionnaire are asked to select the answer that best matches their beliefs or feelings. In the following questionnaire, items 1 and 4 are examples of closed-ended questions. Question 1 gives the participant five options for describing his or her reaction to the program. Question 4 provides the participant with several options each for describing their gender, grade level, and race/ethnicity. Notice that the answers to question 4 provide important contextual or demographic information about the participants.

Open-ended questions, on the other hand, provide no answer categories. Rather, they allow participants to respond to a question in their own words. For example, question 3 asks participants to write out specific suggestions for future programs. Notice that question 3 is carefully worded to discourage a simple "yes" or "no" answer.

Family Science and Math Nights

[Excerpt from Participant Survey]

Please discuss these questions within your family and mark answers agreed upon by the family.

1. Using the following scale, how would you rate the activities you experienced this evening on the whole? *(Circle one response.)*

1 = Really Boring
2 = Boring
3 = No Opinion
4 = Fun
5 = A Lot of Fun

2. How many *Science and Math Nights* have you attended? _____

3. What suggestions do you have for making future *Science and Math Nights* better?

4. Which word or phrase in each column best describes you?

Gender	Grade Level	Race
_____Girl	_____1st–5th grade	_____African American
	_____6th–8th grade	_____Hispanic
_____Boy	_____9th–12th grade	_____White
		_____Native American
		_____Asian/Pacific Islander
		_____Other _____

Developing good surveys requires a certain level of expertise that some community-based organizations may lack. This does not mean that using questionnaires in your evaluation is out of reach. Here are some tips you can use to develop a questionnaire or adapt one that someone else has created for a similar purpose.

Tips for Developing Questionnaires
Wording Matters!

How you word your questions can influence the response you get. Be precise in your language to help the respondent understand what information you are requesting. For example, an open-ended question that asks participants how many *Science and Math Nights* they have attended might yield a variety of responses such as, "a lot," "four," "can't remember," or " most of them." In this case, to help jog memories and get more accurate information, it might be better to provide the dates of the sessions and the major activity that occurred, and ask respondents to check which ones they attended.

With questionnaire items, it's also important to avoid leading the respondent in a particular direction with your questions or answer categories. For example, a closed-ended item with mostly positive answer choices ("Okay," " Fun," "Great") does not give participants suitable options for expressing a negative opinion.

- ➢ Keep your questionnaire short, ideally no more than a page or two. Remember, someone will have to tally or read and analyze all of those responses.
- ➢ Keep it simple, with short questions and clear answer categories.
- ➢ Make it easy to use—participants will be more likely to complete it.
- ➢ Make it anonymous, and participants will probably be more honest.
- ➢ Use language appropriate for the audience. The younger the student, the simpler the questions and answer categories need to be.

A Final Word about Data Collection

There are always tradeoffs to consider when selecting data collection methods for your evaluation. Some tradeoffs involve time and the level of effort needed to collect and analyze certain kinds of data. For example, conducting individual interviews takes longer than interviewing a group of people all at once, but potentially sensitive questions should not be asked in a group setting. Interviews in general require more staff time than having participants fill out a survey. On the analysis side, counting closed-ended responses to a question generally takes less time than reading the same number of open-ended responses and drawing out the major themes to be summarized.

Another tradeoff involves using program staff to conduct evaluation activities as opposed to hiring someone from outside of your organization. Hiring an external evaluator obviously involves some expenditure—which you are trying to avoid by using this manual! However, there are at least two good reasons to consider using an external evaluator. First, participants are not always comfortable saying critical things about a program to the people who are directly involved

in it. And second, funders often perceive external evaluators as more impartial and objective about programs than are the people who run them. You may be able to deal with these issues by finding a staff member who is not directly involved in your program to interview program participants or recruiting volunteers who have some experience doing interviews and observations.

Additional Pointers for Data Collection

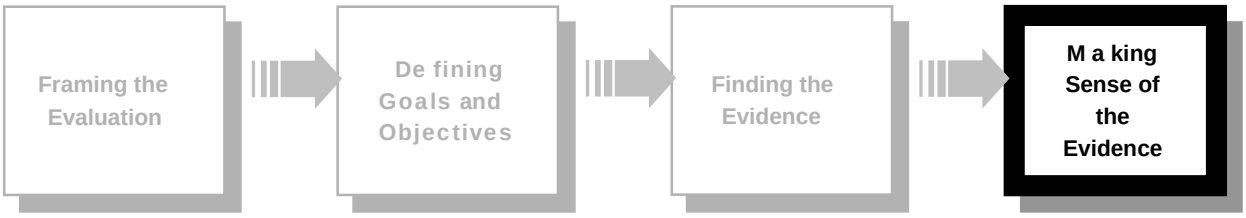
- ☐ Set aside 5–10 percent of staff time for evaluation activities and 5–10 percent of the program budget for additional evaluation expenses.
- ☐ Be realistic and stay focused on the information needed to answer your specific evaluation questions.
- ☐ Look for volunteers with any additional expertise you need.

Now that you have collected all this information, what are you going to do with it? Interpreting and reporting your data is the subject of Chapter 7.

Notes

Chapter Seven

MAKING SENSE OF THE EVIDENCE
Interpreting and Reporting Your Data



- Looking for themes
- Interpreting data
- Putting it together
- Reporting your results

One thing is for certain—all of the formative and summative data that you collect can quickly add up, even for a small program. What does it all tell you? How can you use it to judge your programs? How can you present it to your board, your funders, the community, and others who might have a stake in your efforts?

Looking for Themes

As part of the documentation and ***formative evaluation***, you will have accumulated some important information that can help you make sense of things. Reviewing the data periodically as it accumulates has several advantages: it helps you to begin to identify themes; it makes the analysis process less intimidating than if you wait until all of the data have been collected; and most importantly, it enables you to use the results to improve your program.

Your first step in ***data analysis*** will be to look for recurring themes. As you review data from documents, observations, interviews, and surveys, some ideas will occur more often than others. Learning to recognize these patterns, and the relevancy of this information as it emerges in each of these formats, is crucial to your evaluation. These key themes are what you must capture in your evaluation report.

What is the most important thing to remember when interpreting and reporting your data? The ***intermediate indicators*** and ***final program outcomes*** that you defined at the beginning of your program! Framing your thinking and your results in terms of these can help you to understand and present your data clearly.

Be Flexible

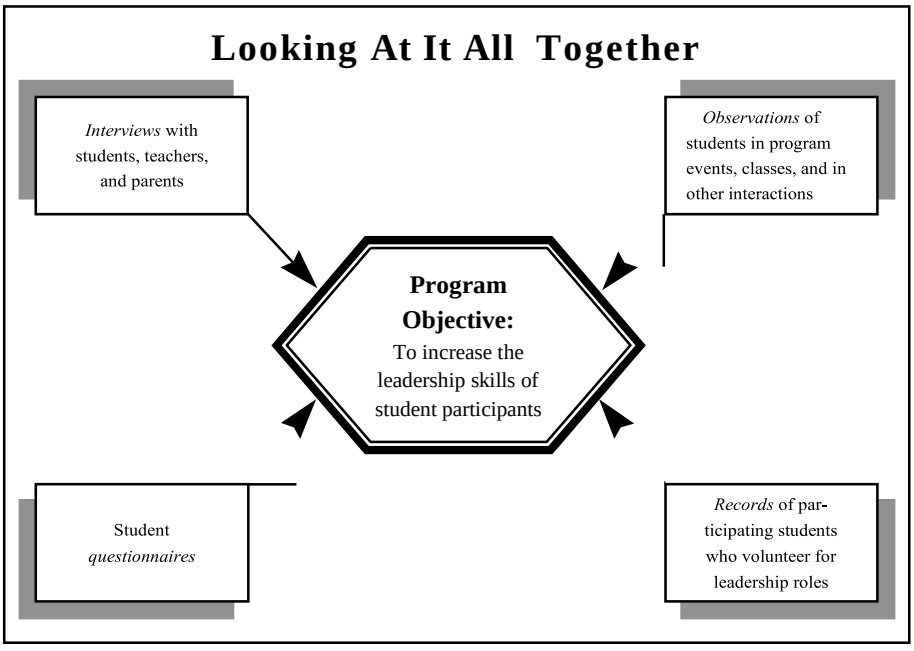
In your review of formative data, you may discover key issues other than the ones you originally thought to look at when you designed your evaluation. It is important to be flexible enough to explore these unexpected issues, within the limits of your resources. Be sure to note new ideas, different patterns or themes, and questions that need further investigation. Interview or observation guides and surveys can be adjusted over time in response to what you learn through the review and interpretation of your formative data.

Learning As You Go

During the summer camps for middle school students and their mentors, Youth Action Today! found that parental support and involvement was particularly strong this year. Unlike previous years, program staff actually had the luxury of selecting volunteers from a pool of over twenty parents who agreed to help. The staff originally planned to survey all parents as part of their evaluation. However, when they noticed the increase in parental support this year, they changed their evaluation plan to include interviews. The staff decided to conduct interviews with a ***sample*** of parents to get more in-depth information on what prompted their involvement in the program this year.

Putting It Together

Once you have taken the trouble to collect data from a variety of sources (students, staff, parents, or others), it is important to look at all of these perspectives together to get a full picture of your program. The various pieces of the evaluation (formative and summative) and each ***data collection*** activity ***(document review, observations, interviews,*** and ***surveys)*** all add up to tell you about the quality and success of your program. Looking at all of this evidence together and considering it in terms of your ***objectives*** will enable you to say with some accuracy whether or not your program achieved what you intended.



The amount of time that you can devote to this process will depend on the level of resources your ***CBO*** has. For example, a small CBO may just do a quick review of interview notes to get the main points; a CBO with extensive resources and staff might do a more in-depth analysis—summarizing each interview in writing, developing charts that compare the responses of different groups of people, and writing up common themes that emerge from the interviews.

Working With What You've Got … Again

In some cases, interpreting the data you collect may require some additional expertise. For example, science or mathematics content may play a central role in some program activities; having knowledge in these areas may help with the analysis of student misconceptions about certain topics.

In a case like this, you might want to discuss your observations or share observation notes with someone who has this expertise and can help shed light on your descriptions of student questions or discussions. (Better yet, have these persons do the observations.) In a larger CBO, there may be individuals on staff who can help. If you do not have this expertise on staff, you might look to your CBO's board members or volunteers who may bring these skills to your organization.

Telling the Story: How to Report Your Evaluation Results

Interpreting your evaluation data for in-house use can be done informally, but making it available and useful to others requires a more polished product. Formal evaluation reports can provide information to your board members, the community, and your funders about the program's progress and success. Portions of these reports can also be a valuable public relations tool. When distributed to newspapers or other media, this information can increase community awareness and support for your organization's programs.

Here are several things you will want to include in your evaluation report:

- ➢ The objectives of your program and your targeted audience
- ➢ What data you collected for your evaluation and how it was collected
- ➢ The evaluation results in terms of program ***goals*** and ***objectives***
- ➢ Plan for using the evaluation to improve the program

In addition to these pieces, you will want to include a description of the context in which your program occurs. This might consist of a brief summary of ***needs assessment*** data, the demographic and socioeconomic characteristics of the community and your program participants, and documentation of the level of impact (such as the number of young people served compared to the number of youth in the community). Your report should also highlight tactics you used to attract your targeted audience, as well as other strategies to ensure that your program was well-implemented.

Presenting your data simply and concisely can help your audience get a clear and accurate picture of your program. For example, it is unlikely that you would include long excerpts from interviews in your report (although these might be included in an appendix). Instead, pick a few powerful, short quotes that really make your point and sprinkle them throughout your summary or analysis of other data. Another strategy is to include a brief description of a particularly effective program activity.

Tips for Telling Your Program's Story

- ☐ Know your audience—a report for a funder will look different from an in-house summary.
- ☐ Leave the jargon at home—be straightforward and clearly state your major findings.
- ☐ Blend the presentation of ***quantitative*** and ***qualitative data***. Quotes from relevant persons interspersed with tables and graphs illustrating quantitative data (numbers or percents) make the report more readable and strengthen your summary of the data.
- ☐ Be honest—your report will be considerably more credible if you note both the strengths and weaknesses of your program.

Blending your qualitative data, such as quotes from interviews or descriptions from observations, with your quantitative data from surveys is a useful way to report your evaluation results. Simple charts, tables, and graphs that show how many students participated, or what percent demonstrated changes after the program, can help illustrate the impact of your program. Take a look at Appendix A for an example of a full evaluation report that uses these strategies.

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Chapter Eight

APPLYING THIS MANUAL
How One CBO Did It

In earlier chapters, we discussed the various pieces that make up ***program evaluation***. Now we are going to pull it all together in a way that lets you see how a ***CBO*** might choose to evaluate a program and what an evaluation looks like—from start to finish. The organization and program are small, and as a result, so is the evaluation. Below is a snapshot of our fictional CBO and program to help you compare it to your own in terms of staff, budget, and other resources.

Trash for Cash

Youth and Communities Alive! (YACA) is a small community-based organization located in an inner-city housing project. With a total operating budget of $50,000-$100,000 a year, YACA's individual program budgets range from $500 to $10,000. Programs typically target low-income African American and Latino youth and are funded by churches and community organizations. Program activities often take place at nearby locations such as the housing project's TV lounge and the play grounds scattered throughout the community. Program staff at YACA include a part-time director, some paid and volunteer assistants, and volunteer program coordinators.

YACA's director, Mrs. Alvarez, recently received funding from a local church for a program de- signed to address two concerns expressed by community members at local meetings—cleaning up the neighborhood and providing constructive activities for youth to serve as an alternative to the street. The program was called "Trash for Cash."

Trash for Cash (TFC) included a number of activities. Most TFC sessions began with a brief lesson taught by Mrs. Alvarez and a volunteer on the importance of recycling or other environmental topics. Over the course of the school year, seven guest speakers from the community made presentations about conservation, waste management, water quality, recycling, and other related issues. Subsequent sessions with program staff reviewed what students had learned in these presentations, and how the information applied to their own lives.

In addition to these lessons, participating youth were given a central role in all of the clean-up and recycling activities. In doing this, YACA staff hoped to develop a sense of neighborhood pride and ownership among the youth. Students organized a weekly community collection of trash and recyclable cans and bottles, and encouraged recycling in their homes. They also kept track of the pounds of recyclables collected, using mathematics skills to weigh and record amounts and measure progress toward their 1,000-pound goal. Students also kept accounting records of incoming money for exchanged recyclables, and outgoing expenses for trash bags, refreshments, and other minor outlays.

Reaching the 1,000-pound goal in recyclable materials entitled participants who attended at least half of the clean-up sessions to a free ticket to an NBA basketball game. The TFC program budget of $2,000 covered staff time for Mrs. Alvarez, supplies, a small honorarium paid to each guest speaker, and the cost of the NBA tickets.

Trash for Cash

Target Audience:	High school students
Main Strategy:	Weekly after-school sessions
No. of Participants:	25
Duration:	One academic year
Cost:	$2,000

Framing the Evaluation

Creating a program to match community needs was the first step for YACA. To do that, Mrs. Alvarez first considered the priorities identified by community members, and the population most targeted for these needs.

Needs Assessment	
Identified Needs:	☐ Constructive youth activities
	☐ Cleaner community environment
Target Population:	☐ High school students

Mrs. Alvarez also consulted her board of directors—a broad spectrum of community representatives, including school and agency staff, parents, and two students. Board discussions about community needs, as well as youth's needs and prospects for the future, helped focus program ***goals*** and ***objectives***. As a result of this dialogue, Mrs. Alvarez added an academic enrichment component to the program which included everyday applications of science and mathematics, and an expanded view of what science is and what scientists do.

Defining Goals and Objectives

YACA pinpointed the major goal and several objectives for the Trash for Cash program.

Goal: Improve youths' future options in the community and in school

Objectives:

1. To develop a sense of ownership and pride in the community among participating youths
2. To expand students' awareness of science and mathematics applications in everyday life
3. To clean up the neighborhood

Recognizing the limitations of her staff and resources, Mrs. Alvarez was determined to keep the evaluation focused. This meant asking formative and summative questions that were specifically designed to provide information on the stated objectives.

Evaluation Questions Matched to Program Objectives

Objectives	Formative Questions	Summative Questions
1. To develop students' sense of ownership and pride in the community	➢ What did YACA do to promote the program and attract students to participate? ➢ To what extent do students show interest in the activities and take initiative for recycling efforts?	➢ What changes have occurred in students' attitudes and level of interest in the community? ➢ To what extent do students exhibit knowledge of the importance of community involvement?
2. To expand students' awareness of science and mathematics applications in everyday life	➢ In after-school TFC sessions, how do students exhibit an understanding of the relevancy of the topics presented? ➢ What connections do students make between discussion topics and their own experiences?	➢ To what extent do students exhibit an understanding of the importance of recycling and other science-related topics, and the relevancy of these issues to themselves and the community?
3. To clean up the neighborhood	➢ How is the neighborhood appearance changing as students' progress toward their clean-up goal?	➢ How do neighborhood areas targeted for clean-up compare before and after the program?

Finding the Evidence

What information would help YACA to answer these questions? Again reflecting back to her level of resources, Mrs. Alvarez thought about her options. In making decisions about ***data collection***, she considered not only her available resources, but also what evidence was adequate for determining if the program achieved its objectives.

➢ **Documentation of program strategies to reach target audience.** To demonstrate that YACA tried to reach a broad spectrum of students, program staff developed and documented outreach strategies used to recruit participants, including school visits, and discussions with students, teachers, parents, and agency staff.

Participant information sheets also gathered information about the age, gender, and race/ethnicity of participants.

- **Attendance sheets.** Mrs. Alvarez considered this essential to determine if the program was meeting attendance goals. If attendance dropped off, this might signal the need for changes in the program or in program logistics. Similarly, attendance sheets could tell staff if particular groups of students (for example, girls or boys) were attending less often so that staff could adapt program strategies accordingly.
- **Student journals *or* student interviews *or* student questionnaires.** Any one of these might help tell Mrs. Alvarez if students liked the program. She decided against interviews because they were too labor-intensive. For the same reason, she decided not to do student journals. She settled on a **short questionnaire** at the end of the program with four questions that asked students what they liked best and least about the program, what they had learned, and how they would rate the program.
- **Observations of after-school sessions.** Mrs. Alvarez thought it was important to try to document changes in student attitudes toward science and their awareness of the relevancy of science. To do this, she recruited two members of her board with teaching experience to observe and report on sessions at the beginning and at the end of the program.
- **Tallying the recyclables.** This was essential for knowing whether or not students were progressing toward their 1,000 pound goal, and presumably, whether or not the neighborhood was getting cleaned up.
- **Before and after pictures of designated "ugly" spots in the community.** Mrs. Alvarez liked this idea a lot, thinking that "a picture is worth a thousand words." She could go out with the students on the first and last day of the after-school sessions to take the pictures. It seemed like a good way to get participants involved first hand, and a quick and easy way to collect data, too.

Interpreting and Reporting the Data

In the end, Mrs. Alvarez was pleased with her simple evaluation. While it did not give her a lot of information about the program directly from the students, the attendance records kept her informed about their level of participation. For example, when attendance slipped in the fall, she asked some of the participants if there was a problem with the program. Discovering that TFC sessions conflicted with some students' tutoring sessions, she adjusted the schedule. With this change in logistics, the program was able to meet its goal for weekly attendance.

Observations by board members revealed some changes in students' level of interest and participation in discussions, with more students actively participating at the end of the program than in earlier observations. In addition, students' comments seemed to demonstrate a greater awareness of the relevancy of science. For example, observers noted that many of the participants voluntarily made connections between the discussion topic and their own personal experiences.

Student questionnaires provided evidence that supported observations. Students reported that they liked working together to improve the neighborhood, had learned about the importance of recycling, and had gained an expanded view of what science is and how it relates to their lives.

Tallying recyclables kept students involved in the process as they watched the group move toward their 1,000-pound goal, and also gave them a chance to use mathematics skills. According to Mrs. Alvarez, the pictures she and her students took were the best part of the evaluation, providing "hard" evidence that the neighborhood was cleaner.

There is one thing that Mrs. Alvarez would have changed in her evaluation design—she would have recruited volunteers to help her tally the survey results. Four questions per questionnaire didn't seem like much, but given all of her other responsibilities, tallying the responses from 25 participants was too much to do. She still thought the survey was important—it was her only source of data that came directly from the students and that provided information on how the program had affected them. In hindsight, she would have lined up several board members as volunteers to assist.

The evaluation of Trash for Cash showed that the program had a positive impact on participating students and the community. With churches emphasizing community involvement and schools highlighting environmental awareness, Mrs. Alvarez was reluctant to say that her program was the sole cause of these changes. However, the evidence collected in the evaluation demonstrated that Trash for Cash had successfully met its objectives and it is likely that the program contributed to the positive outcomes.

How can Mrs. Alvarez best present the evaluation results to showcase the program's success to her board and her funders? Take a look at a final evaluation report for Trash for Cash in Appendix A.

Sample Data Collection Instruments for Trash for Cash

- Participant Information Sheet
- Attendance Sheet
- Student Questionnaire
- Tally Sheet for Recyclables

Participant Information Sheet

Participant Name	Age	Male/ Female	Race/Ethnicity

Attendance Sheet

Date	Participant Name*	Present (√)	Absent (√)

* Once names have been recorded, multiple copies of the attendance sheet can be made to use at each session.

Student Questionnaire

1. How did you like the program? *(Circle one.)*

4 = Great! 3 = Good 2 = Boring 1 = Really Boring!

2. What did you like ***best*** about the program?

3. What did you like ***least*** about the program?

4. What was the most important thing you learned in the program?

Thanks for Filling This Out!

Tally Sheet for Recyclables

Date	Weight of Cans	Weight of Bottles	Amount Received Today	Total-to-Date Received for Recyclables

Notes

Chapter Nine

APPLYING THIS MANUAL IN A BIGGER WAY
Expanding the Evaluation Design

In Chapter Eight, we saw how one ***CBO*** designed an effective evaluation matched to the limited resources and staff available for the program. How might Mrs. Alvarez plan an evaluation for a larger program with more resources? This chapter looks at what she might do differently in her evaluation of an expanded Trash for Cash Program. Below is a description of the new program run by our fictional CBO, Youth and Communities Alive! (YACA). See Appendix B for YACA's proposal to expand the program.

More Trash for Cash

After seeing the positive results in the neighborhood's appearance and observing an increased interest among youth in community improvement, Mrs. Alvarez wrote a proposal to expand the program (see Appendix B). The More Trash for Cash (MTFC) program increased the number of youth served and lasted two years. Youth and Communities Alive! received a total of $20,000 over two years from the United Way and a local foundation for the More Trash for Cash program.

More Trash for Cash included several new features. Mrs. Alvarez increased the amount of science instruction in the after-school sessions. Each session began with hands-on activities that engaged students in thoughtful investigations into various environmental topics. Two high school science teachers were recruited to teach some sessions, as was a professor from a nearby university. With a larger program budget, Alvarez was able to pay the instructors a stipend. In addition, she lined up more guest speakers and arranged for two field trips each year.

The expanded program included a new group of 20 middle school students and 25 high school students each year. Five high school students who had participated in the original program came back as program assistants in the first year; during the second year, five new high school students were recruited to fill these positions. The older students took on leadership roles, including mentoring the new students and helping Mrs. Alvarez and two volunteers with program co-ordination. Each of the student assistants was paid a small stipend for their work. Mrs. Alvarez also hired a program assistant to work 8 hours a week.

Program activities were similar to the original Trash for Cash—during year one, students selected new "ugly" spots for clean-up. Students were given their choice of incentives for reaching a new goal of 1,500 pounds of recyclables each year—NBA basketball game tickets, a ride on a local paddle-wheel river boat, or tickets to a performance by an inner city youth theater group. In addition, during the second year of the program, greater emphasis was placed on community awareness and involvement. Several of the high school students made presentations at community meetings and talked to local businesses about recycling and MTFC's efforts.

More Trash for Cash

Target Audience:	Middle and high school students
Main Strategy:	Weekly after-school sessions
No. of Participants: (each year)	20 middle school students, 25 high school students, and 5 "veteran" high school students
Duration:	Two academic years
Cost:	$20,000

Framing the Evaluation

Mrs. Alvarez was ahead of the game here. From the original Trash for Cash program, she had identified both the needs and the targeted population. However, with the new program, she decided to add middle school students to her target audience.

Needs Assessment	
Identified Needs:	☐ Constructive youth activities
	☐ Cleaner community environment
Target Population:	☐ Middle and high school students

Defining Goals and Objectives

The More Trash for Cash program sought to address the same ***goal*** as the original program—to improve youths' options in the community and in school. Mrs. Alvarez also wanted to keep the same focus on building a sense of ownership in the community and on the clean-up efforts. However, she wanted to expand the academic enrichment component to emphasize skills and knowledge in science. In addition, she added a fourth objective related to community involvement to increase the likelihood that the program would be sustained. With these changes, the ***objectives*** for the More Trash for Cash program looked like this:

1. To develop a sense of ownership and pride in the community among participating youth
2. To develop students' science skills and knowledge, and their awareness of science and mathematics applications in everyday life
3. To clean up the neighborhood
4. To increase community awareness and involvement in clean-up efforts

Mrs. Alvarez used her evaluation design from the original program as a basis for the More Trash for Cash evaluation. For the new program objectives, she developed a set of evaluation questions that would provide both formative and summative information.

Expanding the Evaluation Design

Expanded Objectives	Evaluation Questions
To develop students' science skills and knowledge, and their awareness of science and mathematics applications in everyday life	➢ What opportunities are students given to increase their knowledge and skills in science? ➢ How effective are hands-on activities in engaging students? ➢ How do students demonstrate greater understanding of scientific topics and issues, and the relevancy of these topics? ➢ What changes occur in students' skills (observing, measuring, recording, hypothesizing, drawing conclusions) over the course of the program?
To increase community awareness and involvement in clean-up efforts	➢ What strategies are used to increase awareness? ➢ How aware are parents and community members of clean-up efforts? ➢ How do parents, businesses, and community members support clean-up efforts? ➢ What evidence suggests that clean-up efforts will persist beyond the program?

The next step for Mrs. Alvarez was to define ***intermediate indicators*** and ***final program outcomes***. What would she accept as proof that the program was of high quality and that the objectives had been achieved, and how could these outcomes be stated explicitly?

Indicators and Outcomes for the More Trash for Cash Program

Objectives

1. **To develop a sense of ownership and pride in the community among participating youth**
2. **To develop students' science skills and knowledge, and their awareness of science and mathematics applications in everyday life**
3. **To clean up the neighborhood**
4. **To increase community awareness and involvement in clean-up efforts**

Intermediate Indicators	➢ Number of students who attend after-school sessions and collect trash stays the same or increases over course of program. (Obj. 1) ➢ Students demonstrate greater leadership in activities during the year: take initiative in organizing/doing activities. (Obj. 1) ➢ Number of students who actively participate in discussions, link science with personal experiences increases during the year. (Obj. 2) ➢ Students exhibit greater understanding of science-related topics by asking more high level questions; demonstrate improvements in skills through hands-on science activities. (Obj. 2) ➢ Pounds of recyclables collected increases during school year. (Obj. 3) ➢ Amount of trash in designated "ugly" spots in the community decreases during the year. (Obj. 3) ➢ Community expresses awareness of clean-up at neighborhood meetings; number of businesses that actively support recycling increases. (Obj. 4)
Final Outcomes	➢ Seventy-five percent of the students attend at least half of the weekly sessions. (Obj. 1) ➢ At least three-quarters of the students' express awareness of the importance of community involvement. (Obj. 1) ➢ At least three-quarters of the students express an understanding of the relevancy of science, and demonstrate improved skills and attitudes toward science. (Obj. 2) ➢ At least 1,500 pounds of recyclables are collected by end of each school year. (Obj. 3) ➢ Neighborhood "ugly" spots are cleaned up by end of each year. (Obj. 3) ➢ Community actively supports clean-up; number of businesses involved in recycling increases by 50 percent by end of program. (Obj. 4)

Finding the Evidence

Mrs. Alvarez wanted to get a better feel for the ***data collection*** activities to make sure that her strategies would yield information about the chosen indicators and outcomes and that she was being realistic in her plans. It was one thing to list everything they would do to collect information; it would be more difficult to pin down when these activities would occur and how often. Mrs. Alvarez again wanted to be sure to collect both ***qualitative*** and ***quantitative data***. She also knew that she would need this information each year of the program to provide data about each group of student participants.

> In planning the data collection activities, Mrs. Alvarez immediately fell into the "starting big" trap. She thought about conducting student ***focus groups*** twice each month to see how students liked the program. She thought monthly student ***questionnaires*** could also help gauge interest in the program, as well as impact. Survey forms could be short and simple and provide regular feedback to staff. Even so, she realized, it would be a lot to read and tally every month. And someone would have to facilitate student discussion groups and report the information.
>
> Mrs. Alvarez knew she had to cut back. Instead of the frequent questionnaires and focus groups, she decided to ask instructors to set aside 10–15 minutes of class time every other month to let students talk about the program. The class could be separated into several smaller groups to allow better participation. Students would talk about the program among themselves; one student would be designated as the recorder to report the major themes from each group in writing. The high school program assistants could help facilitate the group discussions.
>
> Mrs. Alvarez liked this strategy because it avoided the issue of students telling instructors what they did or didn't like, and enabled them to talk about their progress or where they needed help. Rotating the role of recorder each month would provide students with an additional opportunity for participation and leadership. To help focus their discussions, Mrs. Alvarez would develop a guide for them to write down their responses.

For each of her outcomes, Mrs. Alvarez went through this process. How can we collect the information? Who will do it? What will it involve? How can it be streamlined to reduce the burden on both staff and participants?

In thinking about all of this, Alvarez realized that each data collection activity involved not only collecting the data, but also preliminary and follow-up work as well. For example:

- ➢ She would have to develop questionnaires, distribute them, make sure they were completed and returned, and tally the results.
- ➢ Volunteers who did ***observations*** would need a simple guide to tell them what to look for.

➢ Student discussion groups would need a guide as well.

All of this quickly added up to a lot of work—an added incentive to streamline data collection activities. After some hard thinking, Alvarez came up with a data collection plan that she thought was manageable, but one that would also provide useful formative information and convincing summative data.

Refining the Data Collection Plan

Data Collection Activity	Schedule
Before and after photographs of neighborhood	At beginning and at end of each year of the program
Attendance records	Weekly
Tally of recyclables	Weekly
Observations of after-school sessions; informal interviews with staff and students as part of observations	Once per semester
Student group discussions	Twice per semester
Participant survey	At the end of each year of the program
Documentation of student presentations to businesses and community groups; observations of community meetings	As they occur
Community survey (optional)	At the end of the second year of the program

Mrs. Alvarez planned to look at community awareness at neighborhood meetings as one way to gauge the impact of student presentations on recycling. If awareness was high, she would try to support her observations with a survey of community members at the end of the second year of the program.

At this point, Mrs. Alvarez realized she had a lot of pieces of paper floating around with different ideas for the evaluation. All of these had helped her to plan the evaluation, but now she wanted to see it all together—objectives, evaluation questions, indicators, outcomes, and data collection activities. What she came up with helped her to see the big picture, and to make sure she was answering the right questions. She thought of it as her evaluation road map.

The Road Map: More Trash for Cash Evaluation Design

Objectives	Evaluation Questions	Intermediate Indicators	Final Outcomes
1. To develop a sense of ownership and pride in the community among participating youth	a) What did YACA do to promote the program and attract students to participate? b) To what extent do students show interest in the activities and take initiative for recycling efforts? c) What changes have occurred in students' attitudes and level of interest in the community? d) To what extent do students exhibit knowledge of the importance of community involvement?	➢ Number of students who attend after-school sessions and collect trash stays the same or increases over course of program. ➢ In observations, students demonstrate greater leadership in activities during the year—take initiative in organizing/doing activities.	➢ Seventy-five percent of the students attend at least half of the weekly sessions. ➢ On surveys, at least three-quarters of the students express awareness of the importance of community involvement.
2. To develop students' science skills and knowledge, and their awareness of science and mathematics applications in everyday life	a) What opportunities are students given to increase their knowledge and skills in science? b) How effective are hands-on activities in engaging students? c) To what extent do students demonstrate greater understanding of scientific topics and issues, and the relevancy of these topics? d) What changes occur in students' skills (observing, measuring, recording, hypothesizing, drawing conclusions) over the course of the program? e) What connections do students make between discussion topics and their own experiences?	➢ Number of students who actively participate in discussions, link science with personal experiences increases during the year. ➢ In group discussions and observations, students exhibit greater understanding of science-related topics by asking more high level questions; demonstrate improvements in skills through hands-on science activities.	➢ On surveys, at least three-quarters of the students express an understanding of the relevancy of science. ➢ In observations, at least three quarters of students demonstrate improved skills and attitudes toward science.

The Road Map: More Trash for Cash Evaluation Design			
Objectives	**Evaluation Questions**	**Intermediate Indicators**	**Final Outcomes**
3. To clean up the neighborhood	a) How is the neighborhood appearance changing as students' progress toward their clean-up goal? b) How do neighborhood areas targeted for clean-up compare before and after the program?	➢ Weekly tallies show that pounds of recyclables collected increases during school year. ➢ Informal interviews with students reveal amount of trash in designated "ugly" spots decreases during the year.	➢ Goal of 1,500 pounds reached; one hundred percent of the students achieve goal of free tickets. ➢ Before and after photographs of neighborhood show differences.
4. To increase community awareness and involvement in clean-up efforts	a) What strategies are used to increase awareness? b) How aware are parents and community members of clean-up efforts? c) To what extent do parents, businesses, and community members support clean-up efforts? d) What evidence suggests that clean-up efforts will persist beyond the program?	➢ In informal interviews and observations at community meetings, parents and others express awareness of program. ➢ Number of businesses that actively support recycling increases.	➢ On community survey, at least 50 percent of community members express awareness of and support for recycling. ➢ Number of businesses involved in recycling increases by 50 percent by end of program.

Interpreting and Reporting the Data

How did the evaluation turn out? Let's take a look at the information gathered, how it was interpreted to measure progress and impact, and what changes program staff made to improve the program, based on the evaluation data.

Objective 1

To develop a sense of ownership and pride in the community among participating youth

Mrs. Alvarez considered the level of student participation each week as one indicator of program success. During the first year, weekly attendance records revealed that participation decreased from September to October. Student discussion groups held in October were a timely way to get some information about what students liked and disliked about the program, and their suggestions for improvement.

Mrs. Alvarez learned from the students who were still attending that the absentees had tutoring activities scheduled on Thursdays. Once she changed the collection day to Wednesdays, attendance improved. Forms filled out in student discussion groups in December, February, and April indicated that participants liked the program more and more as the year progressed—they expressed excitement about getting closer to their 1,500-pound goal and about the neighborhood's "new look."

Student surveys at the end of each program year gave participants an opportunity to talk about how the program had affected them. One question ("What did you like best about the program?") elicited comments relating to the positive experiences provided by the program. Over half the participants said that cleaning up their neighborhood had made them "feel good." Students also liked being part of a group and working together toward a common goal. Some said this was the first time they had ever "been a leader." When asked about the most important thing they learned, students wrote about the value of working together to accomplish something. Finally, students liked the recognition they received which made them feel important, and in the words of one student, feeling "like I have something I can give to the community."

Objective 2

To develop students' science skills and knowledge, and their awareness of science and mathematics applications in everyday life

Mrs. Alvarez learned from student discussion groups that some of the participants were having difficulty with hands-on activities that required mathematics skills. To remedy this, she decided to

have students work in teams of three, and mixed students with higher and lower mathematics skills. Data from student discussion groups revealed that this solution helped many of the students improve their skills.

Observations by Mrs. Alvarez and a community volunteer once a semester also provided opportunities for observing student interest and skills, and for talking informally with participants. In her observation notes, Mrs. Alvarez repeatedly cited examples of students observing, measuring, recording, and drawing conclusions, and of students helping one another with these tasks. Alvarez also noted in her observations changes in students who appeared to be "mathematics-shy" at the beginning of the year, but who now participated fully in the activities. Other students' enthusiasm and participation had remained steady.

At least once a month, instructors took some class time to discuss with students what they were learning about the environment, including the sources of pollution and the challenges involved in recycling. Students noted that although they understood most of the scientific concepts discussed in after-school sessions, a few of the speakers had "talked over their head." This was useful information for lining up future speakers and making sure they were briefed on speaking at a level that was appropriate for an adolescent audience.

Classroom discussions became more lively during the year as students took more interest in the program and the topics discussed by guest speakers. Data from student discussion groups supported observations of high levels of student interest in science-related topics, and an increase in the number of students who related topics to their personal experiences. Finally, on questionnaires almost two-thirds of the students said that the science activities were their favorite program activity; slightly more than two-thirds said that the most important thing they had learned was that, working together, their actions could make a difference in the community.

Objective 3

To clean up the neighborhood

Each year of the program, five areas in the neighborhood were identified for clean-up. Mrs. Alvarez decided that taking photographs of these targeted sites at the beginning of the school year would provide good baseline data for the summative evaluation. Both years, the before and after pictures showed that a great deal of progress had been made toward cleaning up the neighborhood.

Weekly tally sheets recorded by students and checked by instructors kept participants and staff aware of how the program was progressing toward its goal of 1,500 pounds of recyclables. Year-end results revealed that this goal was achieved each year, and tickets for the community events were awarded to all of the students.

Objective 4

To increase community awareness and involvement in clean-up efforts

YACA documented its MTFC community outreach strategies, including the number of presentations made by students to community groups and businesses. Observations of neighborhood meetings and informal interviews with parents and community members at these meetings revealed that people noticed some changes in the way the community looked, even though some were unaware of the MTFC program.

Based on the high level of awareness demonstrated by persons attending community meetings during the first year of the program, Mrs. Alvarez decided to go ahead with the survey of community members. Students conducted a door-to-door survey in March of the second year of the program. Using a guide designed by Mrs. Alvarez, 25 student teams surveyed six households each for a total of 150 community members. Two volunteers helped tally the results. The surveys revealed that the majority of community members surveyed had noticed the change in community appearance and would be willing to participate in a recycling program.

Telling the More Trash for Cash Story: Presenting the Evaluation Results

The evaluation of More Trash for Cash showed that the program had a positive impact on the neighborhood, the participating students, and the community. A progress report for the first year of More Trash for Cash can be found in Appendix C.

Sample Data Collection Instruments for More Trash for Cash

- ➢ Student Group Discussion Guide
- ➢ Session Observation Guide
- ➢ Survey for Community Members

(See Chapter Eight for the following instruments)

- ➢ Participant Information Sheet
- ➢ Attendance Sheet
- ➢ Student Questionnaire
- ➢ Tally Sheet for Recyclables

Student Group Discussion Guide

Please talk about the following questions and decide as a group on the most appropriate answer. The group "recorder" should write in your responses.

1. How do you like the More Trash for Cash Program? (Circle one.)

   4 = Great! 3 = Good 2 = Boring 1 = Really Boring!

2. What do you like best about the program?

3. What is the most important thing you have learned in the program so far?

4. What suggestions do you have for making the program better?

Thanks for Filling This Out!

Session Observation Guide

1. Are students:
   interested?
   enthusiastic?
   bored?
   distracted?

2. What kinds of questions do students ask?

3. Do students demonstrate an understanding of the topics?

4. How do students work together?

Survey for Community Members

1. a) Have you noticed any changes in how the community looks?

____Yes ____No

b) If yes, what has been the most noticeable difference?

2. a) Would you be willing to help save recyclables for a community recycling program?

____Yes ____No

b) How would you be willing to help? Check all that apply.

___Will save bottles and cans
___Will help with clean-up efforts
___Will volunteer for program sessions
___Will make presentations
___Other (please explain):

3. Have you heard about a program called "More Trash for Cash"? If yes, what can you tell me about it? (If they haven't heard about the program, you can describe it to them.)

Thanks for Filling This Out!

Notes

Notes

Appendix A

FINAL EVALUATION REPORT

FINAL EVALUATION REPORT

"Trash For Cash" Final Report
Written by Maria Alvarez Director
of Youth and Communities Alive!

Submitted to the Central United Methodist Church

"The Trash for Cash program really helped me come out of myself. I didn't know I could be a leader, but now I know I can."
16-year-old female participant

Youth and Communities Alive! (YACA) is a small community-based organization dedicated to serving low-income minority youth. Last year, YACA received $2,000 from the Central United Methodist Church to run the Trash for Cash (TFC) program. The program targeted high school students and lasted one academic year. TFC had three main objectives:

1. To develop a sense of ownership and pride in the community among participating youths
2. To expand students' awareness of science and mathematics applications in everyday life
3. To clean up the neighborhood

We wanted to reach a broad spectrum of students, especially those who might not participate in an after-school program. To recruit participants, we made presentations in the schools, and met with students, teachers, parents, and agency staff to get referrals. We wanted to try to get both African American and Latino youth from the neighborhood. In all we had 14 girls and 11 boys. Thirteen were African American, 8 were Latino, and 4 were white.

A total of 25 high school students participated in the TFC program, which included weekly collection of trash in the community during after-school sessions. Students collected recyclables and kept track of the number of pounds of recyclables that they turned in for cash at the local recycling center. Their goal was 1,000 pounds of recyclables, which would make them eligible for tickets to an NBA game.

Most TFC sessions began with a brief lesson about the importance of recycling or other environmental topics. Over the course of the school year, seven guest speakers from the community visited and made presentations about recycling, waste management for the city, water treatment,

and other related issues.

We had two questions that we wanted the evaluation to answer:

- ➢ What changes have occurred in the students' interest in the community and their awareness of the relevancy of science and mathematics?
- ➢ To what extent did the program result in a cleaner neighborhood?

Keeping track of attendance helped us determine student interest in program activities. Student attendance at our weekly after-school sessions was generally high throughout the year, especially after the meeting day was changed to enable those with a conflict to come. We were pleased that the average weekly attendance was 18 students. By the end of the school year, all 25 students had participated in at least half of the weekly sessions. Three students had participated in every weekly session throughout the entire school year! Their continued participation in the program indicated to us that students were interested in the program's activities.

The brief lessons that started most TFC sessions focused on environmental topics and seemed to interest most of the students. Some said that this was the first time they really understood why recycling was important to the community and not just a hassle. In addition to learning about science-related topics, students used practical mathematical skills to tally and weigh the recyclables they collected. By the end of the year, students who had had difficulty with these tasks were actively participating in the activities.

At the end of the TFC program, we asked students to fill out questionnaires telling us what they liked best and what they had learned. From the responses on this survey, we think the program had a positive effect on the students. Three-quarters of the students wrote that they learned you could work together to accomplish a goal. Some students mentioned that they learned to use new skills. Almost half said they had learned how science plays a part in everyday life.

What Students Said They Liked Best About the Trash for Cash Program

Response on Questionnaire	Percentage
Getting recognition	48
Working together	40
Making a contribution to the community	28
Achieving their goal and getting free NBA tickets	28
Total number of participants	25

Many students said they especially liked getting recognition from the community for their efforts—it made them feel important. In the words of one student, "I feel like I have something I can give to the community." Students also liked working together and helping to improve the

community. Over half the participants said that cleaning up their neighborhood made them feel good.

To see if we had an impact on the community, we took pictures of five areas in the neighborhood at the beginning of the school year and again in the spring. These pictures were posted on the wall of the YACA center for staff, participants, and community members to see, and to help raise awareness about the program.

The photographs taken after the program showed that the places where our students worked were much cleaner than before. The students were very excited when the community paper, *The Central City Weekly*, published our before and after pictures of the Adams Street playground. This publicity brought the students a great deal of pride in what they were doing.

In May, we achieved our goal of collecting 1,000 pounds of recyclables. We were very pleased that all of our students were eligible for free tickets to the NBA game (because they all attended at least half of the weekly TFC sessions). We had our basketball night on May 25 and everyone had a lot of fun. We used money collected from recycling for a pizza party before going to the game.

We believe that our program accomplished what it set out to do—to clean up the neighborhood, increase students' community involvement, and expand their awareness of the relevancy of science and mathematics. As one student said, "TFC has been a great thing for me and for this neighborhood."

Trash for Cash Program
Final Budget

Budget Item	Budget	Spent
Salary for Maria Alvarez	$ 825	$ 925
Tickets to NBA Game ($30 x 25 participants)	800	750
Supplies*	250	150
Honoraria for guest speakers ($25 x 7 speakers)	125	175
TOTAL	$2,000	$2,000

*Note that some supplies, snacks, and a pizza party were paid for with the money earned from recycling. This enabled YACA to pay honoraria to 7 guest speakers rather than the 5 originally budgeted for.

Appendix B

PROPOSAL FOR EXPANDING A PROGRAM

PROPOSAL FOR EXPANDING A PROGRAM

"More Trash For Cash" Program Proposal
Written by Maria Alvarez Director
of Youth and Communities Alive!
Submitted to the Central City United Way and the Tri-Cities Community Foundation

Youth and Communities Alive! (YACA) is a small community-based organization dedicated to serving low-income minority youth. Last year, YACA received a $2,000 grant from the Central United Methodist Church for a new program called "Trash for Cash" (TFC). In its first year, TFC had a great deal of success in achieving its objectives of cleaning up the neighborhood, developing students' sense of pride in the community, and increasing their awareness of the relevancy of science and math. In the words of one participant:

> *"The Trash for Cash program really helped me come out of myself. I didn't know I could be a leader, but now I know I can."*
>
> **16-year-old female participant**

We very much hope to build on our successes and continue TFC. However, based on our experience last year, we believe the program would have a much greater impact on our community if program activities were expanded to include more science instruction, more guest speakers, and field trips. We also see the importance of including middle school students in this program and continuing to include high school students to serve as positive role models for the younger children. We are applying to new sponsors because the Central United Methodist Church does not have funds available for an expanded program.

Trash for Cash: A Success Story

Trash for Cash (TFC) targeted high school students and lasted one academic year. The program had three main objectives:

1. To develop a sense of ownership and pride in the community among participating youths
2. To expand students' awareness of science and mathematics applications in everyday life
3. To clean up the neighborhood

We wanted to reach a broad spectrum of students, especially those who might not usually participate in an after-school program. To recruit participants, we made presentations in the schools,

and met with students, teachers, parents, and agency staff to get referrals. We wanted to try to get both African American and Latino youth from the neighborhood. In all we had 14 girls and 11 boys. Thirteen were African American, 8 were Latino, and 4 were white.

Most TFC sessions began with a brief lesson about the reasons for recycling and conservation. Seven guest speakers made presentations about various topics related to the environment. In addition, students were given primary responsibility for organizing weekly community clean-ups and keeping track of the recyclables collected. Achieving the 1,000-pound goal set for the year entitled students to tickets to an NBA game.

To see if TFC achieved its objectives, we looked at students' level of interest and participation in program activities, and their awareness of the relevancy of science in their own lives. Attendance sheets, observations, and student surveys helped us get this information. We also looked at changes in the community "ugly" spots chosen for our clean-up efforts, using before and after photographs and weekly tallies of recyclables.

We achieved our attendance goal of 75 percent of the participants attending at least one-half of the weekly sessions. Observations by board members revealed changes in students' level of interest and participation in discussions, with more students actively participating at the end of the program than in earlier observations. In addition, students' comments seemed to demonstrate a greater awareness of the relevancy of science. For example, observers noted that many of the participants voluntarily made connections between the discussion topic and their own personal experiences. Student questionnaires provided evidence that supported observations. Students reported that they liked working together to improve the neighborhood, had learned about the importance of recycling, and had gained an expanded view of what science is and how it relates to their lives. Some students said this was the first time they really understood why recycling was important.

Students successfully met their goal of 1,000 pounds of recyclables, and all received tickets to an NBA game. The photographs we took at the end of the year offered real proof that our program made a difference—the areas were much cleaner, and the students could see the results of their work.

Building on Success: "More Trash for Cash"

We propose to build on the TFC success story by continuing and improving the program based on what we learned last year. The expanded two-year program is called "More Trash for Cash." We plan to put more emphasis on academic achievement, with higher quality science experiences to a larger number and wider range of students than the original TFC program. We will continue to develop the students' sense of pride and ownership in the community through weekly after-school community clean-up efforts, and in the process, improve the appearance of the neighborhood. In addition, we hope to increase community awareness of environmental issues and recycling. We plan to involve parents in clean-up efforts and drum up support for recycling among neighborhood businesses and community members. High school students will make presentations about "More Trash for Cash" and recycling at various community meetings. Our success in the area of public awareness will have a lasting impact on this community.

Each year of the program, we will work toward collecting at least 1,500 pounds in recyclables. When this goal is reached, participants who have attended at least half of the weekly sessions will be eligible to receive their choice of tickets to an NBA basketball game, a ride on a paddle-wheel river boat, or tickets to a performance by the Central Youth Theater.

The "More Trash for Cash" program will include improved science instruction by enlisting the help of science educators. A real understanding of environmental issues will be gained through meaningful hands-on science activities. Joyce Edwards, a biology teacher from Franklin High School, and Park Central Middle School teacher, Ed Masterson, have each agreed to provide bi-weekly environmental science activities during the school year.

In addition, Dr. Andrea Tybola, an environmental science professor at Western State College, has agreed to offer her expertise to "More Trash for Cash." She will work with the two teachers to coordinate the science lessons offered throughout the year. Dr. Tybola also has extensive contacts in the environmental community, and will help us to bring in high quality guest speakers including a colleague from Western State's Civil Engineering Department who will speak to the students about waste water treatment, and a colleague with the park service who will discuss the effects of pollution on the city's parks. Dr. Tybola's influence will also help us coordinate meaningful field trips to sites including the city's waste water treatment plant and the Orange Island Biological Research Park. These environmental education experiences will be invaluable to our students and will prepare them to share their knowledge with other community members.

"More Trash for Cash" will also build leadership skills among high school students. A small cadre of participants from last year's TLC program will return to serve as program assistants for "More Trash for Cash." These five students will assist instructors as necessary and will help younger students with science activities. During the program's second year, high school participants from year one will be selected to fill these roles. Each year, we expect to work with 30 high school students (including the five program assistants). The older students will serve as positive role models for the 20 middle school students that we expect will participate each year in "More Trash for Cash."

Monitoring Progress and Evaluating Impact

In order to keep the program on track and to learn about the impact of "More Trash for Cash," we have designed an evaluation that will provide both formative and summative data. The following questions will guide the evaluation:

- ➢ What changes occur in students' interest in community involvement, their awareness of real life applications of science and mathematics, and their knowledge and skills in science?
- ➢ To what extent did the program result in a cleaner neighborhood?
- ➢ To what extent is the community aware and supportive of clean-up efforts?

Like last year, we will monitor attendance at the weekly sessions of "More Trash for Cash." We will also continue to tally the amount of recyclables collected, and take before and after pictures

of selected neighborhood areas targeted for clean-up. All participants will be asked to fill out a brief survey at the end of the program to answer questions about what they liked best and what was the most important thing they learned during the program.

In addition to these activities, we will set aside 15 minutes twice each semester for the students to discuss in small groups what they think about the program. Students will record the major issues that come up in these discussions; we will use this information for formative evaluation purposes and make changes to the program as necessary. Observations of program activities and informal interviews with participants once per semester will enrich our understanding of the impact of the program on the participants.

We plan to document the impact of "More Trash for Cash" on the community by attending meetings of various community organizations, keeping track of the number of businesses actively involved in recycling, and possibly conducting a community survey at the end of the second year of the program.

Conclusion

"More Trash for Cash" will offer quality weekly science experiences for our neighborhood's middle and high school students—exciting, constructive activities that provide an alternative to the many negative influences in this neighborhood. The YACA staff feel confident that we will be successful at implementing this expanded program. We have been running enrichment programs for the children in our community for the past ten years. More specifically, we have already had success at running the "Trash for Cash Program" and we learned from that experience. We know what works and what doesn't work, and we know what our community needs. The "More Trash for Cash" program proposed here will expand on the ideas that we have already seen work with students in this community. The students will benefit immensely from this program, learning science and mathematics skills that will help them throughout their lives, and teaching them the importance of protecting the environment and recycling. In addition, this program will enable the participants to share their positive experiences and their environmental knowledge with others, to the benefit of the entire community.

More Trash for Cash Program **Proposed Year One Budget**	
Budget Item	Estimated Cost
Salaries Program Director: $1,500 Part-Time Program Assistant: $750 High School Students: 5 @ $200 each	$ 3,250
Awards: Tickets to Community Events ($30 x 50 participants)	1,500
Stipends for Instructors Teachers: 2 @ $500 each College Professor @ $1,000	2,000
Field Trips (3)*	1,500
Supplies*	1,000
Honoraria for guest speakers ($50 x 15 speakers)	750
TOTAL	$10,000

* Note that we expect funds received for recyclables collected by students during the program will cover additional expenses related to field trips and supplies.

Appendix C

ANNUAL PROGRESS REPORT

ANNUAL PROGRESS REPORT

"More Trash For Cash" Year One Report

Written by Maria Alvarez Director
of Youth and Communities Alive!
Submitted to the Central City United Way and the Tri-Cities Community Foundation

"I never liked science in school. The More Trash for Cash program showed me how fun science really is. Plus we got to go to neat places that I had never seen before. Now I plan to study hard and be a biologist when I grow up."

12-year-old male participant

"I've always been kind of shy, I guess. Who would have thought I could be a leader? But with the More Trash for Cash group I have made presentations to the PTA and the Ministers' Alliance. It's fun and it's a good cause, because we are making the neighborhood better."

17-year-old female participant

Youth and Communities Alive! (YACA) is a small community-based organization dedicated to serving low-income minority youth. YACA received $7,000 from the Central City United Way and $3,000 from the Tri-Cities Community Foundation for the first year of the "More Trash for Cash" (MTFC) program. The program is expected to continue at the same funding level for an- other year. This report summarizes changes made to the program based on formative evaluation data, and describes the impact of the program evident after year one.

MTFC Program Activities

A total of 30 high school students and 20 middle school students participated in the MTFC program this past year. Participants included 28 girls and 22 boys; 32 were African American, 12 were Latino, and 6 were white.

Each MTFC session began with hands-on activities that engaged students in thoughtful investigations into various environmental topics. High school and middle school students participated in different (but usually related) activities appropriate for their grade levels, although on several occasions, we mixed the two levels. Activities were planned and presented by our science instruction team comprised of high school teacher Joyce Edwards and middle school teacher Ed Masterson, and coordinated by Western State College faculty member, Dr. Andrea Tybola. Activities included weekly collection of trash in the community during after-school sessions. Students collected recyclables and kept track of the number of pounds of recyclables that they

turned in at a community recycling center. A goal of 1,500 pounds of recyclables was set for the year.

In addition to these weekly activities, twice each month guest speakers talked to our students about topics ranging from backyard bird feeders to global warming. All together, 15 community speakers visited during MTFC sessions. Most presentations were brief and tied in with hands-on activities in order to keep interest levels high.

Two field trips were held this year. In September, we visited the waste water treatment plant in East Bay. In late April, we hiked through the Orange Island Biological Research Park where Dr. Evan Felden explained various environmental studies underway and the children participated in water sampling and testing activities.

After achieving our goal of collecting 1,500 pounds of recyclables, we allowed the children to select the community event that they wanted to attend. This year's MTFC culminated with these exciting events, when each of our 50 participants attended either the NBA basketball game, the Central Youth Theater dance performance, or took a ride on the River Queen paddle wheel boat.

The Evaluation Design

MTFC has four main objectives that are addressed in the evaluation design:

1. To develop a sense of ownership and pride in the community among participating youth
2. To develop students' science skills and knowledge, and their awareness of science and mathematics applications in everyday life
3. To clean up the neighborhood
4. To increase community awareness and involvement in clean-up efforts

The evaluation activities for the year were guided by three major questions.

- ➢ What changes occur in students' interest in community involvement, their awareness of real life applications of science and mathematics, and their knowledge and skills in science?
- ➢ To what extent did the program result in a cleaner neighborhood?
- ➢ To what extent is the community aware and supportive of clean-up efforts?

We answered the first question by keeping track of attendance, providing participants with opportunities to talk about the program several times during the year, and with a year-end questionnaire. Observations of program activities were conducted several times during the year. To monitor our progress in cleaning up the neighborhood, we took before and after photographs at several neighborhood sites and kept a weekly tally of the amount of recyclables collected by the participants. To gauge community support for the MTFC clean-up, program staff attended

meetings of neighborhood organizations, conducted informal interviews with parents and other community members, and documented the number of presentations made by our students to community groups and the number of businesses actively recycling.

Changes in the Community

We took photographs of several sites in the neighborhood at the beginning of the school year. These were places that needed our children! All of these photographs showed a great deal of trash. For example, the 2nd Street bridge overpass was piled four feet high in one corner with miscellaneous trash including hubcaps, newspapers, and even a refrigerator door. The Jackson Reservoir photo showed Styrofoam cups washed up on the shore and lots of soda cans.

Our students went out in the neighborhood and cleaned it up. Each week, we would divide up into five clean-up crews and get out there and pick up trash! We averaged forty trash bags full of non-recyclable trash cleaned up from our community each week. We kept recyclables separate so that we could tally them and take them to the recycling center. Our MTFC students picked up an average of 62 pounds of recyclables every week. The week after New Year's, we collected a record 157 pounds of recyclables!

We believe that MTFC is having a positive impact on this community. Many people see our clean-up crews out working and congratulate the children on their efforts. Our "after" photos show how good our neighborhood can look with just a little muscle power. We posted all the before and after photos on the wall of the YACA center for staff, participants, and community members to see, and to help raise awareness about the program. The *Community Weekly* ran a story about the MTFC students and included before and after photos. The children really got a boost from this publicity.

Our high school students made five presentations to different community groups and businesses. Our observations at community meetings show that people are starting to notice that the neighborhood looks better. However, at this point, adult members of the community are not themselves participating in the clean-up efforts.

Changes in Students

Our evaluation information shows that MTFC has had a great effect on the students that participate. Attendance has been high, although what weekly participation in MTFC sessions dropped between September and October. During a student discussion group in October, we learned that our scheduled Thursday sessions conflicted with other extracurricular activities—particularly for the high school students. We changed our meeting time to Wednesday afternoons and found that attendance improved.

After we changed the meeting time, student attendance at weekly after-school sessions remained generally high through the rest of the academic year. We averaged 37 attendees per weekly session, with even higher attendance (42 on average) on days with guest speakers. In fact, some participants brought siblings and friends to MTFC sessions, so there were often even more children

involved than the numbers indicated in this report (we did not include the unregistered attendees in our evaluation). We encouraged this, because the more children participating in the neighborhood clean-ups, the better.

The continued high level of participation in the program indicated to us that the students were interested in our activities. At the end of the school year, 48 of the 50 registered participants had stayed with the program and each had participated in at least half of the weekly sessions. Twenty-two students attended at least 23 of the 27 weekly MTFC sessions.

We think the program had a positive effect on the students. When asked what they had learned, two-thirds of the students wrote that they learned you could work together to accomplish a goal. Others mentioned that they saw science "in action," learned to use new skills, learned interesting things from guest speakers, and became more aware of their neighborhood's trash problem. Ninety percent of the students rated the MTFC program as "Great!" Said one student:

> *"I couldn't believe that we would clean up Bailey Avenue one week and then I went by there the next day and there was already more garbage on the street. I just couldn't believe it. I tell everybody I'm with not to litter."*
>
> **12-year-old female participant**

What Students Said Was the Most Important Thing They Learned from the More Trash for Cash Program	
Response on Questionnaire	Percentage of Responses
Learned that working together, you can make a difference	69
Learned or improved math/science skills	54
Learned interesting things from speakers	48
Became more aware of the neighborhood's trash problem	29
Total number of participants responding	48

Observations of MTFC sessions in October and May showed that participating children made great strides in developing skills used for scientific investigation. Early in the school year, only a few of the students were actively involved in observing, measuring, recording, and drawing conclusions. By the end of the year, the majority were contributing to these efforts.

Early in the year, we learned from student discussion groups that many of the younger children were frustrated with some of the tasks that required mathematics skills. The program staff discussed these problems and we decided to have the students work together in teams. Each team included students with different levels of mathematics skills and at least one high school student

assistant. This solved the problem, as evidenced by student comments later in the school year. Said one participant:

> *"I didn't know how to multiply big numbers before. But Janeesha helped me learn how. Now I help our team do our tally every week because I know I'm going to go to that basketball game!"*
>
> **11-year-old male participant**

By the end of the school year, most of the students seemed quite confident in their ability to do these everyday mathematical tasks; those who had been "math-shy" at the beginning now actively participated. Middle school students seemed especially intrigued by the activities focusing on weight and volume. Said one participant:

> *"I couldn't understand at first how we could collect a whole bag full of plastic milk jugs and it only weighed two pounds! A whole bag that I could hardly carry by myself!! And then Charles showed off because his little bag of aluminum cans weighed 2.2 pounds! It took a while to understand that!"*
>
> **11-year-old female participant**

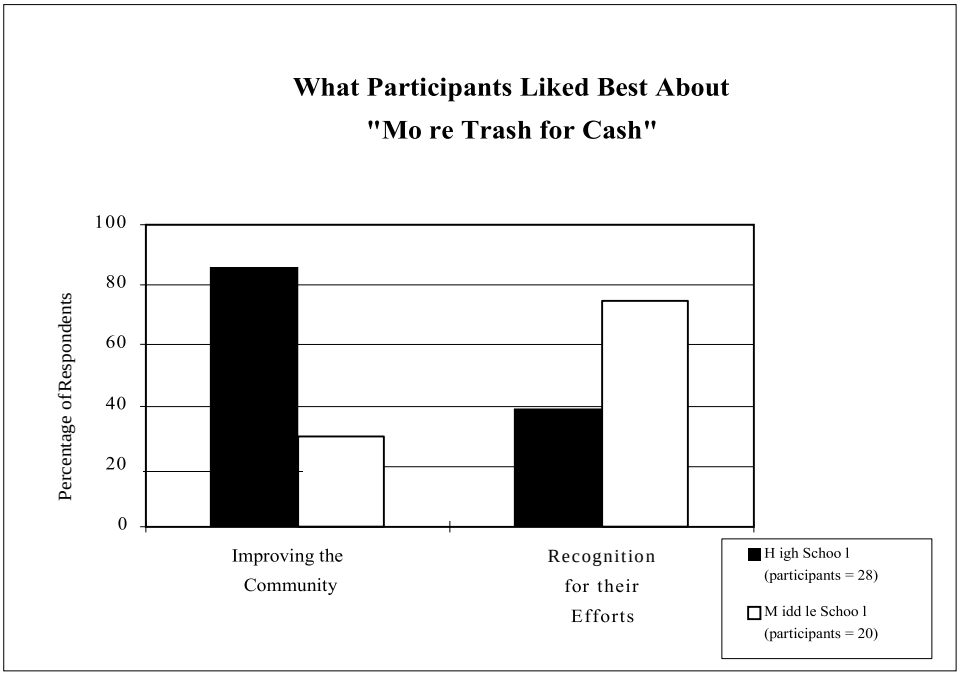
On several occasions, we mixed middle and high school students in work groups. It was a good way for the students to help each other with hands-on science activities. We found that mixing the groups enhanced everyone's experience. The younger children loved working with the big kids, and the high school students enjoyed the excitement of the younger ones. According to one high school student:

> *"I didn't really want to deal with the little kids at first. But I actually found that they were cool to work with and really funny."*
>
> **15-year-old female participant**

The MTFC hands-on science activities that kicked off each weekly session were a great hit with all the students. For most of these children, MTFC was their first brush with "real" science—the first time they saw that science really mattered in their daily lives. The guest speakers and field trips complemented and reinforced the concepts we investigated in the activities. On the questionnaire at the end of the school year, 50 percent of the students said that they liked the field trips best of all the program activities.

We feel that the participants gained a real understanding of the importance of recycling and the human impact on the environment. During observations and informal student interviews, students frequently commented on various environmental issues that they were newly aware of, and discussed different ways that they could personally help clean up the planet.

When asked what they liked best about the program, most high school students mentioned the satisfaction they gained from improving their community and "making a difference." In contrast, a majority of the younger participants enjoyed the recognition that they gained from the program—the NBA tickets, the newspaper story, and having their efforts displayed at the YACA Center.



Where Do We Go From Here?

We believe that the MTFC program is making progress toward our objectives—to develop students' interest in community involvement, their awareness of real life applications of science and math, and their knowledge and skills in science; to clean up the neighborhood; and to increase community awareness about clean-up efforts. We plan to continue weekly neighborhood clean-up efforts. We know from surveys and informal interviews that the students are enjoying the clean-up activities, the hands-on science activities, and the field trips and guest speakers. We plan to do similar MTFC activities next year.

One area that was not as successful as we had hoped was getting the community actively involved. We are going to work harder to make the community aware of environmental issues, recycling, and the efforts of the MTFC students. During a student discussion group this past May, several high school students commented that they really wanted to make others in the community more aware of MTFC efforts. These students have an action plan for getting the word out. They will work together to put on more presentations for community groups to spread the word about MTFC and drum up more support for the program. We think these activities will also enhance our students' leadership abilities as they take an active role in talking to adults in the community about the importance of environmental action.

Many of our students have been "spreading the word" about recycling with their families and friends, but we want to organize more family activities to get parents truly involved. We hope to schedule some community clean-up days on weekends and post flyers so that community members know they are welcome to join in.

To gauge community awareness and support for MTFC efforts, we plan to conduct a door-to-door neighborhood survey during the second year of the program. We plan to ask community members if they have noticed changes in the neighborhood, if they would like to participate in the clean-up, and if they have heard of MTFC.

We think expanding awareness of MTFC in our community will have a huge impact on this neighborhood. The students will gain self-confidence from making presentations and being leaders in these activities, community members will become more aware of environmental issues, and the neighborhood itself will be improved if more people participate in recycling and clean-up activities. We hope that by spreading the word throughout the community, the MTFC program will have a lasting impact on this neighborhood.

More Trash for Cash Program
Year One Budget

Budget Item	Budget	Spent
Salaries Program Director: $1,500 Part-time Program Assistant: $750 High School Students: 5 @ $200	$ 3,250	$ 3,250
Awards: Tickets to Community Events	1,500	1,250
Stipends for Instructors Teachers: 2 @ $500 each College Professor @ $1,000	2,000	2,000
Field Trips (3)*	1,500	1,500
Supplies*	1,000	1,250
Honoraria for guest speakers ($50 x 15 speakers)	750	750
TOTAL	$10,000	$10,000

* Note that some supplies and additional field trip expenses were paid for with funds received for recyclables collected by students during the program.

GLOSSARY OF TERMS

Evaluators do not always agree about how to use evaluation terms. This can lead to some confusion when you are first exploring the field. Some terms, like questionnaire and sample, are very specific and therefore are used consistently from one evaluator to another. Other terms, like formative and summative evaluation, can vary in subtle ways. We have simplified our use of these terms in order to give you an easy introduction to the key concepts of evaluation.

You will undoubtedly come across other definitions or uses of some terms when you read other sources and talk to other evaluators. For the time being, however, here is a summary of how we have used key evaluation terms in this manual.

baseline information Documentation of people, conditions, or events before a program begins. Provides evaluator with data to compare to information collected during and at the end of a program to gauge impact.

biased Influenced in a particular direction. Evaluation data may be biased if it presents only a single point of view, as opposed to a variety of perspectives (e.g., participants, staff, community members). Similarly, asking only the most active participants to rate a program may bias the results and prevents you from learning why less active participants choose not to take part in program activities.

CBO Community-based organization. This manual is written primarily for CBOs that offer science and mathematics programs for young people.

closed-ended question Survey questions that provide respondents with a selection of possible answers (agree/disagree/no opinion; yes/no/don't know) and ask them to select the answer that best matches their beliefs or feelings. Responses can be tallied to provide quantitative data.

data analysis The systematic examination and interpretation of information gathered through various data collection strategies, including document review, observations, interviews, and surveys. For most CBO program evaluations, data analysis is best focused around program objectives, intermediate indicators, and final outcomes.

data collection The accumulation of information for evaluation through document review, observations, interviews, surveys, or other strategies.

demographic information Descriptive data that includes race/ethnicity, gender, age, grade level, socioeconomic status,

and similar kinds of information. Can help in the analysis of program impact on different groups of participants, and in proving that you reached the audience your program targeted.

direct quote Words, sentences or paragraphs taken directly from a person or group, through observations, interviews, or surveys. These excerpts use the respondent's exact words as opposed to paraphrasing or summarizing.

document review The examination of records or documents that reveal information about the context in which a program occurs, about people's behavior, and about other conditions or events. Evaluators can make use of existing records (e.g., report cards) or develop forms especially for the evaluation (e.g., participant journals, attendance sheets).

external evaluation Activities undertaken by a person or group outside the organization to determine the success of a program.

final program outcome Changes you expect to see, hear, or measure which can tell you if your program achieves the goals for which it was designed.

focus group An interview conducted with a small group of people. We find that focus groups often work best when participation is limited to 8–10 people. A focus group enables the evaluator to get in-depth information from a group of people in a short amount of time.

formal interview A conversation in which the evaluator obtains information from a respondent or group of respondents by asking a set of specific questions.

formative evaluation Data collection activities and analysis that occur over the course of program implementation. A process used to determine whether or not a program is working: What progress is being made toward program objectives? How do we use feedback information to improve the program, refine data collection activities, and identify problems or issues of importance that were not evident before a program began?

goal The end—what CBOs hope programs will accomplish in the long-run.

informal interview A spontaneous conversation between evaluator and respondent. The interviewer uses no guidelines or protocol; questions are guided by the context of the situation.

intermediate indicator The kinds of progress you expect to see if your program is moving toward achieving its objectives.

internal evaluation An examination of program activities conducted in-house by CBO staff.

interview A conversation in which the evaluator obtains information from a respondent or group of respondents. Interviews can be formal or informal; structured, semi-structured, or unstructured; individual or in focus groups; in person or by telephone.

needs assessment Information collected before a program is planned or implemented to help staff identify needs and target audiences, and to develop appropriate strategies. Sometimes referred to as front-end evaluation.

objective A means to achieving a goal; what CBOs hope their program will achieve.

observation In-person, firsthand examination of program participants and activities.

open-ended question Survey and interview questions that allow people to respond in their own words. No answer categories are provided on the questionnaire or in the interview protocol. Questions are worded to discourage simple "yes" or "no" answers.

organizational mission The reason why a CBO exists. Program goals are often closely related to an organization's mission.

participatory evaluation The involvement of program staff in the design and implementation of an evaluation conducted by a person or group external to the organization.

probe Follow-up questions asked during an interview to help get at key issues and clarify what the respondent means. Probes may be included in the interview guide or protocol to help obtain the information needed for the evaluation.

program evaluation Data collection and analysis which enables program staff to improve program activities while they are in progress and to measure the degree to which a program ultimately achieves its goals.

protocol A set of questions used as a guide for conducting observations or interviews to help ensure that the appropriate information is collected from each respondent.

qualitative data Information typically gathered through document review, observations, and interviews. Often expressed in words as opposed to numbers, although some qualitative data may lend itself to tallying and numerical presentation.

quantitative data Information measured and expressed with numbers, typically gathered though surveys. Can be presented in a variety of ways, including numbers or percents, ranges or averages, tables, and graphs.

questionnaire The written instrument used to collect information as part of a survey. Can include closed- and open-ended questions, and questions that obtain demographic information about the respondent.

response rate The number of people who respond to a questionnaire, as compared with the number of people who received the questionnaire. Evaluators often follow-up with non-respondents to raise the response rate and obtain more accurate results.

sample A subset (of people, documents, or things) that is similar in characteristics to the larger group from which it is selected. In evaluating large programs, CBOs might interview a sample of participants or review a sample of meeting notes instead of interviewing all participants or reading all meeting minutes.

summative evaluation Data collection activities and analysis which help determine how successful a program has been at achieving its goals. These activities generally occur toward the end of a program, or at appropriate breakpoints in multi-year or ongoing programs.

survey A method of collecting information by mail, phone, or in person. Surveys involve a series of steps including selecting a sample, collecting information, following up with non-respondents, then organizing and analyzing data.

INDEX OF KEY CONCEPTS

Grant Programs Monitoring Tool

Virginia Department of Criminal Justice Services

Division of Programs and Services

Overview

Monitoring is the process of reviewing, with staff of a grant-funded project, the project's implementation, activities, performance and expenditures to determine if it is operating as proposed in the approved grant application and in accordance with grant requirements, conditions, as well as any applicable regulatory requirements, and to identify any technical assistance needs of the grant recipient. Monitoring may include review of the fiscal and programmatic aspects of a grant-funded project. The term "monitoring" is used to describe both the broad overall system of reviewing and tracking the use of federal and state funds, and the more specific day-to-day review processes to assure that a particular sub-grantee is in compliance with federal or state rules and regulations, and is meeting the goals and objectives of the grant.

Please note this tool is designed to be printed and used during the site visit along with additional materials including documents to support program activities. DCJS staff will provide staff with a list of documents that will be reviewed prior to the visit. Obtaining and reviewing documentation that supports program activities and expenditures is a requirement of conducting an on-site visit. Documentation consists of any hard copy or electronic documents, including invoices, policies and procedures, logs, timesheets, etc., that provide evidence that an activity or expenditure reported by the grantee actually occurred. The length of a site visit varies and is based on many factors, including the number and complexity of awards being monitored, the nature of the program(s), and the analysis of variables that inhibit a grant program from being in compliance and auditable according to all appropriate federal and state grant provisions. DCJS advises that most site visits can be completed, on average, between three to five hours. The grant monitor will then have 90 days from the end of the site visit to complete site visit documentation, including post-site visit letters.

Instructions:

Section I. General Information

Site Visit Information: A single Monitoring Tool may be used for the review of multiple grants under a grant program or grantee, or for a specific grant. If multiple grants are being reviewed in one site visit, all grants must be listed in Section I below under "Grant Information."

Grantee: _____ Site Visit Date: _____
Grant Monitor: _____ Staff Present: _____

Grant Information: List each grant being reviewed during this on-site monitoring

Grant Number	Program	Project Period	Award Amount

Section II. Interview

Record the names and titles of those attending the site visit as well as the date of the meeting in the table below.

Grantee Name	Title	Date

Interview Notes:

Section III. Administrative Review

The administrative review consists of File Review and Personnel Review. If documentation is missing or an issue is found in any grant under review, the grant number and issue should be noted under "Issues Found and Documentation Collected/Supporting Notes," including issues that require further documentation.

Administrative/ File Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if Applicable	Issues Found/ Documentation Collected/ Supporting Notes
1. Are grantee's files complete and is all info current?	☐	☐	☐	☐	Review grantee's award files for current grant year and past 3 grant years to ensure they have the following documents if applicable: ☐ Signed award document ☐ Special conditions ☐ Progress Reports ☐ Financial Reports ☐ Approved Application (Budget, narratives, and other required documentation) ☐ Budget Amendment(s)	
2. Is property being inventoried/ maintained if applicable?	☐	☐	☐	☐	Review record of inventory and observe the actual inventory. ☐ Purchase Orders ☐ Invoices, serial #s and/or proof of purchase ☐ Liquidation Policy	
If the approved award budget includes salary and fringe benefit costs, ensure that adequate payroll and time and attendance records are maintained. Review payroll and time and attendance records for each grant for the last three to six pay periods and determine if these documents adequately support the costs for salaries and fringe benefits charged to the grant. These records should clearly identify the specific project or programs worked on by each grant funded employee.						
3. Are key personnel performing duties as originally proposed?	☐	☐	☐	☐	Through discussion, observations and review of documentation, verify key personnel identified in the project are actually working on the project and that any changes have been approved. Verify you have reviewed and conducted the following activities: ☐ Grant application ☐ Interview key personnel ☐ Civil Rights Training/Compliance ☐ Confidentiality Policy ☐ Release of Information	

Administrative/ File Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if Applicable	Issues Found/ Documentation Collected/ Supporting Notes
4. Are actual hours worked accurately recorded on timesheets?	☐	☐	☐	☐	Have the grantee provide time sheets from the most recent 3-6 pay periods for its grant funded employees. The time sheets should report 100% of the employee's time and actual hours worked on the award project. If the employee is funded by multiple sources, time sheets should reflect distribution of time. Timesheets should be signed (either in writing or electronically) by the employee and/or supervisor.	
5. Are personnel charges in line with what was proposed in the approved budget?	☐	☐	☐	☐	Review personnel timesheets to ensure that charges related to staffing are in line with the proposed budget using the following documents: ☐ Personnel timesheets ☐ Approved budget ☐ Overtime approval documentation	
6. Does the grantee maintain documents supporting approved/awarded expenditures?	☐	☐	☐	☐	Have the grantee provide cumulative budget to actual amounts for each approved budget category, as of the most recent quarter end. This will be in the form of a general ledger or in some cases a manual spreadsheet. Review the most recent auditor certification of fiscal responsibility letter.	

Administrative Notes:

The following questions are developed to guide the financial review of the grant project:

Administrative Financial Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if Applicable	Issues Found/ Documentation Collected/ Supporting Notes
7. Is the grantee able to track budget to actual expenditure amounts per approved budget category or spending plan?	☐	☐	☐	☐	Have the grantee provide cumulative budget to actual amounts for each approved budget category, as of the most recent quarter end. This will be in the form of a ledger or in some cases, manual spreadsheet.	

Administrative Financial Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if Applicable	Issues Found/ Documentation Collected/ Supporting Notes
8. Does the grantee maintain documents supporting detailed expenditures made within each grant budget cost category?	☐	☐	☐	☐	Select a sample of expenditures for several quarterly periods and review supporting documentation. Request that grantee provide proper documentation for each expenditure in the form of purchase invoice, vendor receipt, payroll register, time card, dates of training, description of training, etc.	
9. Do the grantee expenditures seem reasonable and allowable?	☐	☐	☐	☐	Request a sample of expenditures by budget category and review to determine if they are allowable and reasonable.	
10. If the grant has a required match, is the grantee using case or in-kind funding? If in-kind, ask grantee for supporting documents.	☐	☐	☐	☐	If the grantee is using cash match, the grantee would be able to account for this in their accounting records. If in-kind match, documentation may include such things as a sign-in sheet that tracks volunteer hours, office space, and/or equipment space donated.	

Financial Review Notes:

Section IV. Programmatic Review

Programmatic monitoring includes reviewing the content and substance of the grant program. It also involves a qualitative and quantitative review to determine whether grant activities are consistent with the grant implementation plan and the grant goals and objectives stated in the original application. Programmatic monitoring also involves assessing technical assistance (TA) needs and assessing the implementation of projects and/or suggesting any necessary modifications.

In general, grantees should be able to provide documentation for performance measures reported and for major activities conducted, such as training offered or groups held, that support the program's goals and objectives. In such instances, a log of attendees and date/location of training or group should be obtained. On occasion, grants may contain a special condition requiring that the grantee fulfill a requirement, such as attending training. In such cases, grantees should also provide documentation that the requirement was fulfilled, if not already documented in GMIS.

Administrative Financial Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if Applicable	Issues Found/ Documentation Collected/ Supporting Notes
11. Is the project site where one or more activities/ deliverables are being performed? If no, note where activities are being performed	☐	☐	☐	☐		
12. Can the grantee identify the performance measures they are required to collect?	☐	☐	☐	☐	For each service/activity described in submitted progress reports, the grantee must provide evidence that supports the information reported.	
13. As a result of your observations or discussions with grantee, are you able to validate that project goals and objectives (activities) being implemented as planned? Please note delays in implementation and reasons cited by grantee	☐	☐	☐	☐	Examples of evidence could be logs of services provided with date, location, and recipients noted, sign in sheets for training or focus groups, list of taskforce or steering committee members, etc. For each performance measure, the grantee must provide evidence that supports the information reported.	
14. Did you observe or were you made aware of changes in the grant project? If so, were these changes allowable? Did the grantee follow procedures to request the change?	☐	☐	☐	☐		

Administrative Financial Review	Yes	No	TA Provided	N/A	Documentation/Procedures to Review, if Applicable	Issues Found/ Documentation Collected/ Supporting Notes
15. Can the grantee explain how their performance measurement data is collected? What type of data is collected, who provides the data who collects it how often, where is it stored (On other words, what is the grantee's system for collecting and reporting data?) Can you verify that the reported performance data is valid and collected properly?	☐	☐	☐	☐	Check that grantee has an adequate method for collecting performance measurement data. Adequacy can be assessed by checking to see that consistent procedures are used, whether they are based on a proven model, and whether safeguards are in place to protect performance data integrity (i.e. back up of data is the responsibility of the grantee).	

Programmatic Review Notes:

Section V. Promising Practices

Briefly describe any innovative programs, initiatives or activities considered to be successful models for others to follow. Include any documentation if so desired.

Final Recommendation(s):

Grant Monitoring Risk Assessment

As the Grant Monitoring Policy dictates, “A risk assessment is completed by the Grant Monitor before the grant award period begins and/or annually to inform the monitoring plan for the following fiscal year. Grant Monitors will complete a risk assessment using the Grant Monitoring Risk Assessment Tool which meets the required elements in 2 CFR 200.331 (b), to evaluate each sub-grantee’s risk of noncompliance with federal statutes, regulations, and the terms and conditions of the award to determine the appropriate level and schedule of sub-grantee monitoring.

The risk assessment takes into consideration the following financial and programmatic factors:

1. Total dollar amount of grant award
2. Timeliness of financial reporting to DCJS
3. Results of a Single-Audit
4. When a site-visit was last conducted
5. Timeliness of programmatic progress reporting to DCJS
6. Turnover of DCJS-funded key staff
7. Duration of sub-grantees grant experience.
8. Other issues of noncompliance and recurring or unresolved issues

A weighted numeric value is assigned to each factor, with higher numbers indicating higher risk. Based on the total risk score, sub-grantees will be placed in the risk categories of high, moderate, or low. A score of six or lower is low risk. A score of seven to thirteen is medium risk. A score of 14 or greater is high risk.

A sub-grantee's risk level may be adjusted to a higher level based on additional information that DCJS is aware of, including results of other grant monitoring from partner agencies, financial instability, results from previous site visits, recurring or unresolved issues, concerns about internal controls, and financial management issues. These concerns should be documented on the Grant Monitoring Risk Assessment Tool. A completed copy of the risk assessment will be kept in the sub-grantee’s file.”

Risk Assessments should be completed for every grant award, before the start of a new fiscal year, on year-to-date information for the current fiscal year. The date the assessment was completed and the score should be entered into the Monitoring Plan excel spreadsheet. New sub-grantees will need to complete the New Sub-Grantee Questionnaire before they receive an award. The Grant Monitor should monitor the completion of the questionnaire.

The Grant Monitor will use the risk assessment scores, and other information, to develop a Monitoring Plan. The plan will determine which programs receive an on-site monitoring visit during the fiscal year (July-June). Programs receiving a High Risk score will be monitored annually until they meet compliance. Moderate and Low risk scores will be monitored every two years as required by federal regulations. The scores will also be used to determine if additional technical assistance or monitoring is needed to help the program come into compliance. If issues arise that cause the sub-grantee’s risk level to be reclassified, the Grant Monitor will modify the monitoring plans to reflect the new risk level and to ensure proper accountability and compliance with program requirements and achievement of performance goals.

High Risk Sub-grantees - Monitoring Requirements

For sub-grantees determined to be high risk, DCJS staff will:

1. Conduct an on-site monitoring visit annually.
2. Conduct a fiscal desk review annually of at least 20 randomly selected individual expenditure lines.
3. Provide on-site training and technical assistance.

Moderate Risk Sub-grantees - Monitoring Requirements

For sub-grantees determined to be medium risk, DCJS staff will:

1. Conduct an on-site monitoring visit every two years.
2. Conduct a fiscal desk review annually of at least 10 randomly selected individual expenditure lines.
3. Provide resources for training and technical assistance.

Low Risk Sub-grantees - Monitoring Requirements

For sub-grantees determined to be low risk, DCJS staff will:

1. Conduct an on-site monitoring visit every two years or as the grant program requires.
2. Conduct a fiscal desk review annually of at least 5 randomly selected individual expenditure lines.

DCJS Victims Services Programmatic Monitoring

DCJS Monitoring Policy

The Department of Criminal Justice Services (DCJS) Grant Monitoring Plan ensures that sub-grantees are in compliance with all grant conditions.

DCJS develops a risk-based monitoring plan, conducts fiscal and programmatic monitoring on all sub-grantees, and enhanced monitoring of sub-grantees determined to be medium and high risk.

Grant Monitors and the Grants Administration Staff are responsible for monitoring the activities of sub-grantees to ensure that awards are used for authorized purposes and in compliance with 2 C.F.R. §§ 200.303 and 200.331, and other federal statutes, regulations, and the terms and conditions of the awards.

Risk Assessment

DCJS develops a risk-based monitoring plan, conducts fiscal and programmatic monitoring on all sub-grantees, and enhanced monitoring of sub-grantees determined to be medium and high risk.

Grant Monitors will conduct on-site monitoring visits and desk reviews of sub-grantees with the level and frequency based on the results of annual risk assessments.

- For subgrantees determined to be high risk, visits will be conducted ***annually***
- For subgrantees determined to be moderate risk, visits will be conducted ***every 2 years***
- For subgrantees determined to be low risk, visits will be conducted ***every 2 years***

Monitoring Practices

In coordination with Grants Administration, the DCJS Victims Services Monitoring Team:

- Performs pre-award risk assessment to determine the fitness of sub-grantees to receive new grant funds, or perform a risk assessment.
- Reviews quarterly financial and programmatic reports
- Ensures that sub-grantees take appropriate action on all deficiencies pertaining to the grant award detected through audits, on-site monitoring visits, desk reviews, and other monitoring activities.
- Conducts trainings and/or provide technical assistance for sub-grantees to help administer the grant.
- Evaluates any newly revealed information that may affect sub-grantees' risk score and modify the monitoring plan as necessary.
- Coordinates with the DCJS Grants Management Section for the issuance of management decisions for audit findings relating to DCJS grant funding.
- Conducts on-site monitoring visits of sub-grantees to ensure financial and programmatic compliance.

DCJS Victims Services Programmatic Monitoring

(Continued)

On-Site Monitoring Procedures

Notification

The DCJS Grant Monitor will send a formal notification letter at least 30 calendar days before the visit to confirm dates and scope of review; provide details of documentation needed for the review; specify expected timeframe for the review; and ensure key officials (project director, project administrator, and finance officer, and grant-funded staff) are available during the visit.

File Review & Preparation

The Grant Monitor will review all documentation in the sub-grantees file, including the grant application, Statement of Grant Award, special conditions, financial and progress reports, drawdown history (payments made to the sub-grantee), and copies of recent audit reports.

Supporting Documentation, Data Gathering, and Analysis

During the review, the Grant Monitor will complete the Sub-grantee Monitoring Tool and address noted concerns with the sub-grantee.

The Grant Monitor will track each step followed during the review process, document conversations with sub-grantee staff and key grant officials, and inspect the progress of the project/program.

DCJS advises that most site visits can be completed, on average, between three to five hours. The grant monitor will then have 90 days from the end of the site visit to complete site visit documentation, including post-site visit letters.

(****See the Items for Review Checklist for required grant documentation***)

Exit Conference

At the end of the on-site monitoring visit, the Grant Monitor will meet with key officials to present the tentative findings noted from the financial review.

The exit conference should review preliminary results of the site visit and provide an opportunity for the sub-grantee to discuss any disputed findings.

Post Visit Letter

After the on-site monitoring visit, the Grant Monitor will issue a Post-Review Letter to the sub-grantee within 60 calendar days documenting recommendations for corrective action and requiring the submission of a corrective action plan within 45 calendar days by the sub-grantee.

Corrective Action Plan Review

The Grant Monitor will monitor all corrective action taken. If any findings were not corrected, or were partially corrected, provide the sub-grantee with the timeframe for each resolution.

DCJS Victims Services Programmatic Monitoring

(Continued)

Closure of the Visit

If adequate documentation is received to resolve each finding, the Grant Monitor will send a closure letter to close the site visit.

Fiscal Desk Review

The Grant Monitor/Grants Administration staff may request from the sub-grantee the completed "Administrative Financial Review" section of the Sub-grantee Monitoring Tool with documents and analyze the responses for items that may represent non-compliance.

For more information on the fiscal desk review process, please contact the Grants Compliance Supervisor, Mark Fero, mark.fero@dcjs.virginia.gov or (804) 225-2782.

Indirect Costs Instructions

Defining Indirect Costs

Indirect costs are costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. Indirect costs are those that benefit more than one activity and are common or joint purpose costs. For example, costs of an office manager/receptionist position that answers general phone calls, greets clients, etc. are considered indirect costs.

According to §2 CFR Part 200.56, indirect costs are defined as:

> *Those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.*

The salaries of administrative and clerical staff should generally be treated as indirect costs. Salaries of administrative/clerical staff may be appropriate to include **as direct costs ONLY if ALL** of the following conditions are met:

1. Administrative or clerical services are integral to a project or activity;
2. Individuals involved can be specifically identified with the project or activity;
3. Such costs are explicitly included in the budget or have the prior written approval of the awarding agency; and
4. The costs are not also recovered as indirect costs.

Requesting Indirect Costs

Requesting indirect costs is optional. You do not have to request indirect costs, but if you choose to, it is allowable.

To calculate indirect costs, **you must first determine the Modified Total Direct Costs (MTDC)** amount of your budget. Indirect costs that can be requested are **not based on the entire project budget**, but on the MTDC amount.

You have two options when requesting Indirect Costs: using a formal **Indirect Cost Rate Agreement (ICRA)** or using a **"De Minimis" rate**. These two options are outlined below.

I. Indirect Cost Rate Agreement (ICRA)

- This is a formal rate agreement that an organization has applied for and received from the federal cognizant agency (DCJS does not approve ICRAs)
- Organizations will have a letter or other documentation that lists the federally-negotiated rate
- The rate in the ICRA must be accepted, unless otherwise specified by federal awarding agency
- Can request the percentage (as outlined in the ICRA) of the Modified Total Direct Costs (MTDC) of their budget for indirect costs

II. "De Minimis" Rate

- This can be used by organizations that have never had a federally-approved Indirect Cost Rate Agreement
- Can use a rate of up to 10% of the Modified Total Direct Costs (MTDC) of their budget for indirect costs

Use the "MTDC Worksheet" to calculate your MTDC amount. The Worksheet will also calculate the amount of indirect costs that you can request.

If Indirect Costs are requested, you must submit two additional documents with your grant application:

1. **MTDC Worksheet (Excel document)**
   AND
2. **Certification of De Minimis Indirect Cost Rate form**
   OR
   A copy of your agency's Indirect Cost Rate Agreement letter/documentation

You are not required to describe or itemize what is included in the indirect costs.

Additional Indirect Costs Reporting Requirements

For organizations that request and receive Indirect Costs, the **MTDC Worksheet must be completed each quarter, based on actual expenses**.

The actual MTDC amount will determine the amount of Indirect Costs to be reimbursed for that quarter. In other words, the amount of Indirect Costs reimbursed should/will vary from quarter to quarter. The amount of Indirect Costs requested for reimbursement each quarter cannot simply be the total for the year divided by four; the amount must be based on actual MTDC amounts.

The MTDC Worksheet should be uploaded to GMIS each quarter.

Property Records

For all items purchased with grant funds, you must maintain property records which include all of the following information:

- Description of the property
- Serial number or other identification number
- Source of the property
- Identification of the title holder
- Acquisition date
- Cost of the property
- Percentage of Federal participation in the cost of the property
- Location of the property
- Use and condition of the property
- Disposition information (see below)

When disposing of items purchased with grant funds that have a fair market value of less than $5,000:

- You may use it for other activities without reimbursement to DCJS or the Federal government.
- You may sell the property and retain the proceeds.
- You may surplus or otherwise dispose of the property.
- You must maintain a record of the disposition, including the date of disposal and sale price (if applicable).

The Code of Federal Regulations related to property is also available here:

https://www.law.cornell.edu/cfr/text/2/200.313

Please let your Grant Monitor know if you have any questions

Budget Amendment Requests

As stated in the award conditions, any changes to your approved budget MUST be approved by your DCJS grant monitor in advance of funds being obligated and/or expended**!**

There are two ways that budgets can be changed: A budget amendment and an in-line budget adjustment.

Budget Amendment

A budget amendment allows grantees to move a portion of the approved budget from one category to another. No more than two (2) budget amendments will be permitted during the grant period. Budget amendments must be requested online using GMIS; it is helpful to email your grant monitor with your plans to submit a budget amendment prior to GMIS submission. Budget amendments must be submitted no later than 45 days prior to the end of the grant period, as noted in the special conditions of your award package. The budget amendment request must make it clear:

- Why the change is being requested
- Where the funds are being moved *from*
- Where the funds are being moved *to*

All proposed changes must be itemized and appropriately justified. The budget amendment narrative template (real name of form) may be used to submit this information to your monitor. Once the form is completed it can be uploaded into GMIS to accompany the budget amendment request. Please double check all figures and ensure that the narrative aligns with the proposed budget amendment in GMIS. See additional VOCA budget guidance for more tips in drafting a budget amendment request.

Review/Approval

Once a grantee submits a request in GMIS, the agency's Finance Officer must give initial approval. Afterward, GMIS will alert the assigned grant monitor that a budget amendment has been submitted and needs to be reviewed. Once the grant monitor approves the request, Grants Administration will receive it for final review and approval. Grantees should be advised that this process can take up to 21 days to be completed.

If the request doesn't meet the requirements listed above, the grant monitor can deny it in GMIS, provide details on the reasons why the request was denied and ask the grantee to contact the grant monitor for further guidance. Upon denying the request, the Finance Officer will be notified to make further revisions. After the grant monitor approves the revised request, Grants Administration will receive it for final review and approval.

In-Line Budget Adjustments

In-Line Budget Adjustments allow grantees to move money within one (1) budget category. In-line adjustments can be reviewed anytime during the year, but must be approved by your grant monitor prior to the end of the fiscal year and prior to funds being expended.

To submit a request for an in-line adjustment, grantees should send an email to the grant monitor that explains:

- Why the change is being requested
- Where the funds are being moved from
- Where the funds are being moved to

Once the adjustment has been approved, the grantee should retain documentation of the budget adjustment for their records.

General Guidance for VOCA-funded Budgets and Budget Amendments/Adjustments

Please note that the following general guidance is provided in an effort to assist with the budget amendment process. The Grant Guidelines for your program can be referenced for more detailed information on each budget category. Your grant monitor has the discretion to exercise their judgment in the approval of costs. In addition, the VOCA Rule (add link) should always be referenced when there are questions of allowability. All cost in your budget must be **Allowable, Reasonable**, **Necessary** and **Allocable.**

Allowable

VOCA has 8 expressly unallowable costs:

1) Lobbying
2) Research and Studies
3) Active Investigation and the Prosecution of Criminal Activities
4) Fundraising
5) Capital Expenses (including construction)
6) Compensation for Victims of Crime (except where specifically allowed elsewhere in the VOCA Rule)
7) Medical Care (except where specifically allowed elsewhere in the VOCA Rule)
8) Salaries and Expenses of Management (except where specifically allowed elsewhere in the VOCA Rule)

Please see the VOCA rule for more information about these unallowable costs.

Outside of these unallowable costs, there are a wide variety of direct services that are allowable under VOCA. Direct services are efforts that:

1) Respond to the emotional, psychological, or physical needs of crime victims
2) Assist victims to stabilize their lives after victimization
3) Assist victims to understand and participate in the criminal justice system
4) Restore a measure of security and safety for the victim

The VOCA rules lists examples of these types of services. When you are considering costs, the focus should always be on enhancing direct services to victims or increasing victim security and safety.

Costs must occur in the current fiscal year in order to be considered for approval.

Reasonable

Requested costs must be reasonable. The Department of Justice Financial Guide defines reasonable as those costs that a prudent person would have incurred under similar circumstances.

In order to determine if a cost is reasonable, all requested budget line items must be itemized. Your grant monitor should be able to easily understand how you arrived at or estimated the requested cost.

Necessary

Requested costs must be necessary to the operation of the program and delivery of services for crime victims. The justification for each requested cost should make the necessity of the item clear.

Allocable

Requested costs must be allocable. A cost is allocable if the goods or services involved are assignable to that Federal award. The justification should make it clear that costs are allocable (e.g. stating that a computer purchased with grant funds will be used 100% of the time by a grant funded staff person). If a cost is not readily assignable to a specific project but is necessary to the operation of the organization/project, it might be an indirect cost. Please see your grant monitor or the grant guidelines for more information about indirect costs.

Additional Resources

DOJ Financial Guide
https://ojp.gov/financialguide/doj/pdfs/DOJ_FinancialGuide.pdf

VOCA Rule
https://www.govinfo.gov/content/pkg/FR-2016-07-08/pdf/2016-16085.pdf