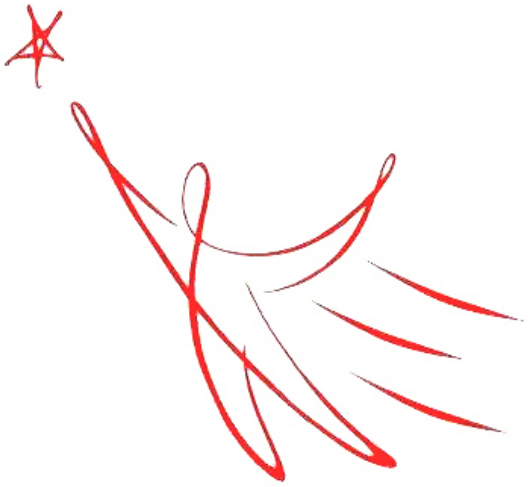

New York State's

21st Century Community Learning Centers

Evaluation Manual

Prepared by

Research Works, Inc.
For the New York State Education Department
September 2011; Edited June 2013

Preface

This manual addresses two functions of evaluation. First, it provides clarification of the measurement and reporting compliance requirements of both the New York State and Federal Education Departments. Second, it outlines a set of utilization focused evaluation strategies. These strategies address the role of evaluation in the support of both program quality improvement and achievement of program impacts. By addressing both functions, this manual is designed to support and inform all stages of the work of local evaluators, beginning with their initial interaction with the grant's application proposal and ending with their final report of impacts and effects. We hope evaluators find this manual both useful and informative.

The 21st Century Community Learning Centers program is a federally funded program. The program funds are allocated by Congress to the United States Department of Education (USDOE) Education for distribution. The funds are distributed by the USDOE to each state through their central education agency for local allocation and management oversight. Because this is federal money, the individual state educational agencies (The New York State Education Department in New York) are required to meet certain criteria established by the federal government, including the reporting of information that can only be obtained through their local programs. Additional evaluative information is also required for reporting on the program at the state level. Finally, local programs report to their parent institution or organization, often using evaluative information collected solely for local use. This manual is intended primarily for use in local program evaluations by 21st Century Community Learning Center (CCLC) local program level evaluators. It has been prepared by Research Works, Inc. (RWI) for the New York State Education Department (NYSED).

Research Works, Inc. (RWI) was the state evaluation contractor in New York between October 2006 and October 2011. Based on an initial comprehensive state evaluation early in that period, the company recommended to the State managers of the program that New York require external evaluators for every program. The State managers agreed with this recommendation and beginning with programs funded in 2008 all 21st Century Community Learning Centers Programs in New York State hired external evaluators. State requirements for local evaluations have been evolving over the intervening years through a combination of state requests for local data based information from programs and growing use of evaluation information for program improvement purposes by some local program managers.

As a final product of the 2006-2011 RWI State evaluation contract, state managers requested a document clearly setting out the state's local evaluation reporting requirements. Therefore, this manual begins with the NYSED Local Program Evaluation Framework, required to be followed beginning with the 2013-2014 program year. The Framework in table format along with a Framework Timeline are presented together as a summary reference guide of local evaluation activity milestones. The required evaluation activities that make up the NYSED Framework are explained in detail following the table and timeline in the first four sections of this manual. These sections and their appendices also include some explanatory information on points in the evaluation process, included for those needing more detail, excerpted from existing RWI evaluation training materials as noted in the text. Section Five discusses how the quality and rigor of local evaluation is critical to the accuracy of the compliance reporting and accountability measurement of the State and Federal evaluations of this program. Finally, the local level evaluation requirements presented here establish an evaluation process that links program management and program evaluation. While compliance reporting and accountability measurement are important, use of evaluative information for program support and quality improvement are equally critical in the short-term, and perhaps more important in the longer term.

This manual presents a required NYSED Local Program Evaluation Framework for utilization focused evaluations at the local level, while encouraging individualized evaluation processes suited to individual local programs and their contexts.

Note to the Users of this Manual: This manual will be modified over the course of its use. The purpose of this Evaluation Manual is to aid in the ability of New York State 21st Century Community Learning Center programs to achieve high quality programming aligned to the federal, state and local objectives. This alignment should improve the academic achievement and social emotional development of children attending these programs. There is, however, no way to know if that is the case unless clear, rigorous, and focused evaluative information is collected.

Two further points regarding the required use of the NYSED Framework and the purpose of this manual to support that use. First, this manual is not meant to be a sole source on evaluation's principles and practices for local evaluators. It has been written to support local evaluator's use of the NYSED Framework. Second, it has always been the intention of the manual's authors to solicit feedback on their experience using it from its local evaluation users. So, as the first required use of the NYSED Framework begins, the RWI State Evaluation Project Director will approach a group of

local evaluators to work with RWI to monitor the manual's use and to consider the most efficient way to address any identified needs of local evaluators. This may take any of a number of different forms, for example, adding additional information to the manual; or RWI providing targeted support to individual evaluators through various in-service modes.

Any evaluators or project director with questions about this manual and its required data collection mechanisms are encouraged to contact the New York State 21st Century Community Learning Center Evaluation Project Director.

Research Works, Inc. and The New York State Education Department would like to thank the following reviewers for their thoughtful consideration and helpful advice during the preparation of this manual:

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Research Works, Inc. and The New York State Education Department would also like to thank the NYSAN Evaluator Workgroup for their careful review of the manual.

American Evaluation Association Guiding

Principles For Evaluators

The following was taken from the American Evaluation Association website on July 25th, 2013 at 4pm from the following URL: http://www.eval.org/p/cm/ld/fid=51

Revisions reflected herein ratified by the AEA membership, July 2004

Preface: Assumptions Concerning Development of Principles

A. Evaluation is a profession composed of persons with varying interests, potentially encompassing but not limited to the evaluation of programs, products, personnel, policy, performance, proposals, technology, research, theory, and even of evaluation itself. These principles are broadly intended to cover all kinds of evaluation. For external evaluations of public programs, they nearly always apply. However, it is impossible to write guiding principles that neatly fit every context in which evaluators work, and some evaluators will work in contexts in which following a guideline cannot be done for good reason. The Guiding Principles are not intended to constrain such evaluators when this is the case. However, such exceptions should be made for good reason (e.g., legal prohibitions against releasing information to stakeholders), and evaluators who find themselves in such contexts should consult colleagues about how to proceed.

B. Based on differences in training, experience, and work settings, the profession of evaluation encompasses diverse perceptions about the primary purpose of evaluation. These include but are not limited to the following: bettering products, personnel, programs, organizations, governments, consumers and the public interest; contributing to informed decision making and more enlightened change; precipitating needed change; empowering all stakeholders by collecting data from them and engaging them in the evaluation process; and experiencing the excitement of new insights. Despite that diversity, the common ground is that evaluators aspire to construct and provide the best possible information that might bear on the value of whatever is being evaluated. The principles are intended to foster that primary aim.

C. The principles are intended to guide the professional practice of evaluators, and to inform evaluation clients and the general public about the principles they can expect to be upheld by professional evaluators. Of course, no statement of principles can anticipate all situations that arise in the practice of evaluation. However, principles are not just guidelines for reaction when something goes wrong or when a dilemma is found. Rather, principles should proactively guide the behaviors of professionals in everyday practice.

D. The purpose of documenting guiding principles is to foster continuing development of the profession of evaluation, and the socialization of its members. The principles are meant to stimulate discussion about the proper practice and use of evaluation among members of the profession, sponsors of evaluation, and others interested in evaluation.

E. The five principles proposed in this document are not independent, but overlap in many ways. Conversely, sometimes these principles will conflict, so that evaluators will have to choose among them. At such times evaluators must use their own values and knowledge of the setting to determine the appropriate response. Whenever a course of action is unclear, evaluators should solicit the advice of fellow evaluators about how to resolve the problem before deciding how to proceed.

F. These principles are intended to supercede any previous work on standards, principles, or ethics adopted by AEA or its two predecessor organizations, the Evaluation Research Society and the Evaluation Network. These principles are the official position of AEA on these matters.

G. These principles are not intended to replace standards supported by evaluators or by the other disciplines in which evaluators participate.

H. Each principle is illustrated by a number of statements to amplify the meaning of the overarching principle, and to provide guidance for its application. These illustrations are not meant to include all possible applications of that principle, nor to be viewed as rules that provide the basis for sanctioning violators.

I. These principles were developed in the context of Western cultures, particularly the United States, and so may reflect the experiences of that context. The relevance of these principles may vary across other cultures, and across subcultures within the United States.

J. These principles are part of an evolving process of self-examination by the profession, and should be revisited on a regular basis. Mechanisms might include officially-sponsored reviews of principles at annual meetings, and other forums for harvesting experience with the principles and their application. On a regular basis, but at least every five years, these principles ought to be examined for possible review and revision. In order to maintain association-wide awareness and relevance, all AEA members are encouraged to participate in this process.

The Principles

A. Systematic Inquiry: Evaluators conduct systematic, data-based inquiries.

1. To ensure the accuracy and credibility of the evaluative information they produce, evaluators should adhere to the highest technical standards appropriate to the methods they use.

2. Evaluators should explore with the client the shortcomings and strengths both of the various evaluation questions and the various approaches that might be used for answering those questions.

3. Evaluators should communicate their methods and approaches accurately and in sufficient detail to allow others to understand, interpret and critique their work. They should make clear the limitations of an evaluation and its results. Evaluators should discuss in a contextually appropriate way those values, assumptions, theories, methods, results, and analyses significantly

affecting the interpretation of the evaluative findings. These statements apply to all aspects of the evaluation, from its initial conceptualization to the eventual use of findings.

B. Competence: Evaluators provide competent performance to stakeholders.

1. Evaluators should possess (or ensure that the evaluation team possesses) the education, abilities, skills and experience appropriate to undertake the tasks proposed in the evaluation.

2. To ensure recognition, accurate interpretation and respect for diversity, evaluators should ensure that the members of the evaluation team collectively demonstrate cultural competence. Cultural competence would be reflected in evaluators seeking awareness of their own culturally-based assumptions, their understanding of the worldviews of culturally-different participants and stakeholders in the evaluation, and the use of appropriate evaluation strategies and skills in working with culturally different groups. Diversity may be in terms of race, ethnicity, gender, religion, socio-economics, or other factors pertinent to the evaluation context.

3. Evaluators should practice within the limits of their professional training and competence, and should decline to conduct evaluations that fall substantially outside those limits. When declining the commission or request is not feasible or appropriate, evaluators should make clear any significant limitations on the evaluation that might result. Evaluators should make every effort to gain the competence directly or through the assistance of others who possess the required expertise.

4. Evaluators should continually seek to maintain and improve their competencies, in order to provide the highest level of performance in their evaluations. This continuing professional development might include formal coursework and workshops, self-study, evaluations of one's own practice, and working with other evaluators to learn from their skills and expertise.

C. Integrity/Honesty: Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process.

1. Evaluators should negotiate honestly with clients and relevant stakeholders concerning the costs, tasks to be undertaken, limitations of methodology, scope of results likely to be obtained, and uses of data resulting from a specific evaluation. It is primarily the evaluator's responsibility to initiate discussion and clarification of these matters, not the client's.

2. Before accepting an evaluation assignment, evaluators should disclose any roles or relationships they have that might pose a conflict of interest (or appearance of a conflict) with their role as an evaluator. If they proceed with the evaluation, the conflict(s) should be clearly articulated in reports of the evaluation results.

3. Evaluators should record all changes made in the originally negotiated project plans, and the reasons why the changes were made. If those changes would significantly affect the scope and likely results of the evaluation, the evaluator should inform the client and other important stakeholders in a timely fashion (barring good reason to the contrary, before proceeding with further work) of the changes and their likely impact.

4. Evaluators should be explicit about their own, their clients', and other stakeholders' interests and values concerning the conduct and outcomes of an evaluation.

5. Evaluators should not misrepresent their procedures, data or findings. Within reasonable limits, they should attempt to prevent or correct misuse of their work by others.

6. If evaluators determine that certain procedures or activities are likely to produce misleading evaluative information or conclusions, they have the responsibility to communicate their concerns and the reasons for them. If discussions with the client do not resolve these concerns, the evaluator should decline to conduct the evaluation. If declining the assignment is unfeasible or inappropriate, the evaluator should consult colleagues or relevant stakeholders about other proper ways to proceed. (Options might include discussions at a higher level, a dissenting cover letter or appendix, or refusal to sign the final document.)

7. Evaluators should disclose all sources of financial support for an evaluation, and the source of the request for the evaluation.

D. Respect for People: Evaluators respect the security, dignity and self-worth of respondents, program participants, clients, and other evaluation stakeholders.

1. Evaluators should seek a comprehensive understanding of the important contextual elements of the evaluation. Contextual factors that may influence the results of a study include geographic location, timing, political and social climate, economic conditions, and other relevant activities in progress at the same time.

2. Evaluators should abide by current professional ethics, standards, and regulations regarding risks, harms, and burdens that might befall those participating in the evaluation; regarding informed consent for participation in evaluation; and regarding informing participants and clients about the scope and limits of confidentiality.

3. Because justified negative or critical conclusions from an evaluation must be explicitly stated, evaluations sometimes produce results that harm client or stakeholder interests. Under this circumstance, evaluators should seek to maximize the benefits and reduce any unnecessary harms that might occur, provided this will not compromise the integrity of the evaluation findings. Evaluators should carefully judge when the benefits from doing the evaluation or in performing certain evaluation procedures should be foregone because of the risks or harms. To the extent possible, these issues should be anticipated during the negotiation of the evaluation.

4. Knowing that evaluations may negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its results in a way that clearly respects the stakeholders' dignity and self-worth.

5. Where feasible, evaluators should attempt to foster social equity in evaluation, so that those who give to the evaluation may benefit in return. For example, evaluators should seek to ensure that those who bear the burdens of contributing data and incurring any risks do so willingly, and that they have full knowledge of and opportunity to obtain any benefits of the evaluation.

Program participants should be informed that their eligibility to receive services does not hinge on their participation in the evaluation.

6. Evaluators have the responsibility to understand and respect differences among participants, such as differences in their culture, religion, gender, disability, age, sexual orientation and ethnicity, and to account for potential implications of these differences when planning, conducting, analyzing, and reporting evaluations.

E. Responsibilities for General and Public Welfare: Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

1. When planning and reporting evaluations, evaluators should include relevant perspectives and interests of the full range of stakeholders.

2. Evaluators should consider not only the immediate operations and outcomes of whatever is being evaluated, but also its broad assumptions, implications and potential side effects.

3. Freedom of information is essential in a democracy. Evaluators should allow all relevant stakeholders access to evaluative information in forms that respect people and honor promises of confidentiality. Evaluators should actively disseminate information to stakeholders as resources allow. Communications that are tailored to a given stakeholder should include all results that may bear on interests of that stakeholder and refer to any other tailored communications to other stakeholders. In all cases, evaluators should strive to present results clearly and simply so that clients and other stakeholders can easily understand the evaluation process and results.

4. Evaluators should maintain a balance between client needs and other needs. Evaluators necessarily have a special relationship with the client who funds or requests the evaluation. By virtue of that relationship, evaluators must strive to meet legitimate client needs whenever it is feasible and appropriate to do so. However, that relationship can also place evaluators in difficult dilemmas when client interests conflict with other interests, or when client interests conflict with the obligation of evaluators for systematic inquiry, competence, integrity, and respect for people. In these cases, evaluators should explicitly identify and discuss the conflicts with the client and relevant stakeholders, resolve them when possible, determine whether continued work on the evaluation is advisable if the conflicts cannot be resolved, and make clear any significant limitations on the evaluation that might result if the conflict is not resolved.

5. Evaluators have obligations that encompass the public interest and good. These obligations are especially important when evaluators are supported by publicly-generated funds; but clear threats to the public good should never be ignored in any evaluation. Because the public interest and good are rarely the same as the interests of any particular group (including those of the client or funder), evaluators will usually have to go beyond analysis of particular stakeholder interests and consider the welfare of society as a whole.

William Shadish, Memphis State University (Chair)
Dianna Newman, University of Albany/SUNY

Mary Ann Scheirer, Private Practice
Chris Wye, National Academy of Public Administration

The AEA Board specifically instructed the Task Force to develop general guiding principles rather than specific standards of practice. Their report, issued in 1994, summarized the Task Force's response to the charge.

Resulting Principles. Given the diversity of interests and employment settings represented on the Task Force, it is noteworthy that Task Force members reached substantial agreement about the following five principles. The order of these principles does not imply priority among them; priority will vary by situation and evaluator role.

A. Systematic Inquiry: Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.

B. Competence: Evaluators provide competent performance to stakeholders.

C. Integrity/Honesty: Evaluators ensure the honesty and integrity of the entire evaluation process.

D. **Respect for People:** Evaluators respect the security, dignity and self-worth of the respondents, program participants, clients, and other stakeholders with whom they interact.

E. **Responsibilities for General and Public Welfare:** Evaluators articulate and take into account the diversity of interests and values that may be related to the general and public welfare.

The 2002 Ethics Committee members were:

Doris Redfield, Appalachia Educational Laboratory (Chair)
Deborah Bonnet, Lumina Foundation for Education
Katherine Ryan, University of Illinois at Urbana-Champaign
Anna Madison, University of Massachusetts, Boston

In 2003 the membership was expanded for the duration of the revision process:

Deborah Bonnet, Lumina Foundation for Education (Chair)
Doris Redfield, Appalachia Educational Laboratory
Katherine Ryan, University of Illinois at Urbana-Champaign
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Table of Contents

Preface i

Introduction ***1***

New York State Local Program Evaluation Framework 1

Program Design and Evaluation Processes 2

NYSED Local Program Evaluation Framework – At a Glance 4

Quick Summary Annual Timeline for NYSED Local Program Evaluation Framework 7

Section One ***8***

Evaluation at Three Levels of the System **8**

Introduction 9

Distribution and Use of Locally Collected Data: 21st Century Community Learning Center Programs in New York 9

Background: The Federal Level Evaluation **9**

Government Performance and Results Act (GPRA) Measures and the Profile and Performance Information Collection System (PPICS) 10

Note: Federal Compliance Data Collection Requirements **10**

Background: State Level Evaluation **12**

Note: New York State Data Collection and Reporting to Measure Student Outcomes **13**

Compliance Reporting Summary **14**

Federal and State Compliance Reporting – Whose Responsibility? 14

Federal Compliance: 14

State Compliance: 14

Section Two ***16***

The Evaluability Process **16**

The Three Stage Evaluability Process Function 16

Stage 1 - Initial Stage in the Evaluability Process 17

Stage 2 – Follow-up Stage in the Evaluability Process 17

Stage 3 – Completion and Submission of the Evaluability Process Checklist 18

The Purpose of the Evaluability Process Checklist 18

Background Information: Evaluability Process **22**

Identifying the Program Theory 22

Creating a Program Logic Model Based on the Program Theory 22

Use of Logic Models in NY Local Program Evaluation Framework* 23

Section Three ***25***

NYSED Local Evaluation Framework's Implementation and Outcome Evaluation Processes **25**

Implementation or Process Evaluation 25

Developing Indicators and Measures for Local Program Objectives 26

Site Visits - Implementation Evaluation Data Sources 29
Fidelity of Implementation 29
Point of Service Quality 29
Other Implementation Evaluation Data Sources 30

Outcome Evaluation Data Sources 31
*A Note About Attendance by Activity Data 33
Moving from Output to Outcome to Impact: A Sequence of Program Effect 33
Analytic Strength of Data Elements by Program Analysis Function 34
A Note About a 'Program Day' 35

Short-term Student Outcomes Survey (SSOS) 35

Section Four 37

Communicating Findings for Optimum Utilization 37
Quarterly Advisory Meetings 37
Formal Reporting on Local Evaluations 38

A Final Word 39

Appendices 1

Appendix 1 2

Excerpt from Title IV Part B Federal Legislation 2

Appendix 2 4

New York State's 21st Century Community Learning Centers Objectives and Sub-Objectives 4

Appendix 3 5

Clarification of Terms - Goals, Objectives, Program and Performance-based Framework. 5

Performance-based Program Design – The Logic Model 6

Appendix 4 8

The Logic Model Process Deconstructed 8
Start with the Implementation Objectives (I/O) 8
Then Identify the Activities to Achieve this I/O 9
Then Get to Results 9
Understanding Indicators and Evaluation Measures of Effect 11
In Conclusion 12

Appendix 5 14

Use of the Student Outcomes Survey 14

Appendix 6 16

Student Outcomes Survey, Parental Consent Forms, Student Agreement Forms and Administration Instructions 16

Appendix 7 ..... *27*

Program Design Template Example Program **27**

Appendix 8 ..... *33*

Program Design Template (Blank for reproduction) **33**

Glossary *1*

Introduction

New York State Local Program Evaluation Framework

Program evaluation is a resource intense activity that can provide program managers with a great deal of information about how well their programs are operating (Juvenile Justice Evaluation Center, Office of Juvenile Justice and Delinquincy, 2003). The 21st Century Community Learning Centers Program is managed at the federal, State and local levels with evaluators operating at each level to provide managers with data-based information. There is an established federal evaluator of the program as a national initiative, and a State evaluation as a statewide initiative in New York which has been operating since October 2006. However, prior to 2008, grantees in New York State were not required to use a local evaluator. Although in 2008, a local external evaluator became a requirement, there were no clear guidelines for program directors and evaluators as to roles and responsibilities regarding the local evaluation and the collection of data to satisfy state and federal reporting requirements. Beginning with the 2013-2014 program year the New York State Education Department instituted a set of local evaluation requirements that form the **NYSED Local Evaluation Framework**. The required local program evaluation components as established by the NYSED managers were put into place to support the provision of local evaluative services that will contribute to continuous program improvement. The requirements are explicated in this document along with supporting information and references to explanatory materials that can be found in the manual's appendices. These evaluation requirements are intended to support high quality programming which in turn helps to ensure a high probability of support of positive student academic, social-emotional and behavioral outcomes.

Evaluation is a term that is widely used, especially since performance based accountability and its measurement has become a critical part of all endeavors in the public sector. The term is actually a general reference to a set of individual processes that can be used together or independently, depending on their purpose. The **NYSED Local Evaluation Framework** links together three of these evaluation processes: **evaluability; implementation evaluation; and impact (or outcome) evaluation**.

- **Evaluability:** Once funding is awarded, programs must get their "big idea" and its measurement out of the narrative and into operation. This is the first critical point to ensuring program success, and the first formal point at which the program design and its evaluation are linked. Two of the activities identified in this manual during the evaluability process, identification of the program theory and development of a program logic model, are designed to do just that. The second reason to use the evaluability process is to ensure an efficient use of evaluation resources through the coordination of initial program roll-out with evaluation activities, <u>especially in the first program year</u>. These two purposes combine to make **evaluability** an evaluation planning tool used, prior to beginning an evaluation, to determine if a program is ready for evaluation.

- **Evaluation Literature around Evaluability:**
    - In their book *What Counts as Credible Evidence in Applied Research and Evaluation Practice? (2009)*- Stewart I. Donaldson, Christina A. Christie, and Melvine M. Mark, note that although there are different approaches taken to evaluation it is important to first uncover any constraints. They, like many of the evaluation literature recommend using the evaluability assessment. As they state, evaluability is-"an evaluation planning tool designed to judge the readiness of a program for rigorous evaluation. Among its features are an assessment of program readiness (examination of the logic of the program as designed and implemented, the stakeholder agreement with the logic, and the program stability and potential for impact) and evaluation capacity (requisite capacity for measurement and other conditions, such as appropriate control groups) to conduct a study that is feasible, appropriate, and has the requisite rigor to guide discussion…..evaluability assessment directly unearths and confronts any political tensions and constraints that may exist that need to be eliminated before an evaluation can produce actionable evidence" (p. 115).
    - Wholey (1978) notes that "evaluation is unlikely to be useful unless certain 'evaluation planning standards' are satisfied: (1) Program objectives are well defined, (2) casual links between program activities and objectives are plausible and testable, and (3) intended uses of evaluation information are well defined" (p.53).

- **Implementation evaluation** measures program operation: the procedures and the decisions made during program development; how the program operates – the services it delivers and the functions it carries out. Within implementation evaluation evaluators can include measures of *fidelity* of implementation to the program as designed.
- **Impact evaluation** identifies the results of a program's efforts, answering the question: What difference did the program make? Practically it is the establishment of whether or not the program was successful in addressing the need it was designed to mitigate.

These three evaluation processes are inter-related. They have been linked in the New York State Framework first because in order for either implementation or impact/outcome evaluation to be successful, it is important that the program is ready for evaluation in the first place which is measured through an evaluability assessment. (Juvenile Justice Evaluation Center, Office of Juvenile Justice and Delinquincy, 2003) Then through the data collected in the implementation evaluation and its use in the predictor set for the impact evaluation.

Program Design and Evaluation Processes

There is a clear functional relationship between well designed and thought out evaluation and a program's progression **FROM DESIGN TO IMPLEMENTATION TO OUTCOME**. This tightly coupled relationship can be used as a mechanism in innovative program management and improvement, with

functions ranging from providing managers with a clear understanding of 'what evaluation has to do with program success' to the use of the same or similar tools to identify program processes and to troubleshoot inefficient or ineffective program function. (Research Works, 2009, *Functional Evaluation Guidelines*)This functional relationship begins with the initial development of the program's application for funding.

When program partners come together to write an application for funding, they are encouraged by the Request for Proposals (RFP) to ask themselves a series of questions, generally summarized here. As this is an evaluation manual, the readers will recognize that they are clearly evaluation questions:

1. What is the need we have that we believe this grant will help us to address?
2. What change to the level, degree or circumstances of that need are we hoping to make?
3. What will we use the grant's support to do that will address identified need(s)
4. What makes us think it will work?
5. What results are we trying to achieve?
6. And finally: how will we know we are moving toward affecting that result in the short, interim and long term?

In the grant application, the answers to these questions become the program design on which the evaluation design is based, both of which are embedded in the program narrative. The stages of evaluation activity present in this manual will walk you through the measured relationship between program operations and results using the activities of the three evaluation processes in this manual.

NYSED Local Program Evaluation Framework – At a Glance

This table is provided as a reference outlining New York State's Requirements for Local Program Evaluations beginning in 2013-2014.

What	Descriptor	When	By Whom	For Whom/For What Purpose
Stage 1 Evaluability Process (First required advisory meeting)	Evaluator to meet with key program stakeholders to review program theory, create/revisit the program logic model and get consensus/review the indicators and measures that will be used in the evaluation.	*To occur by August 31st annually.	Program Director/Program Evaluator	-For grantee program managers and program stakeholders for consensus of understanding. -For evaluator to determine program Evaluability and if necessary, evaluator to work with program staff to tie together any loose ends.
Stage 2 Evaluability Process (First required site visit)	First required site visit to check on program timeline, program handbook (i.e. employee handbook) and program data collection procedures and to observe program implementation fidelity.	To occur 30-60 days following program start-up date annually. *This will typically take place in November or December each year.	Program Evaluator	-For grantee program managers and site staff to be informed of program status regarding readiness to be evaluated. -For evaluator to determine the program's readiness to be evaluated.
Stage 3 Evaluability Process (Checklist Submission by Project Director)	Evaluability Process Checklist guides the evaluator through Stages 1 and 2 in the process. It is to be completed by the Program Evaluator and submitted by the Project Director of the program to the NYSED annually.	Annually, within 2 weeks following completion of Stage 2. *This should be submitted by December 31st each year.	Program Evaluator/Project Director	-For NYSED managers to identify possible technical assistance needs of grantees. This should be considered a formative assessment.

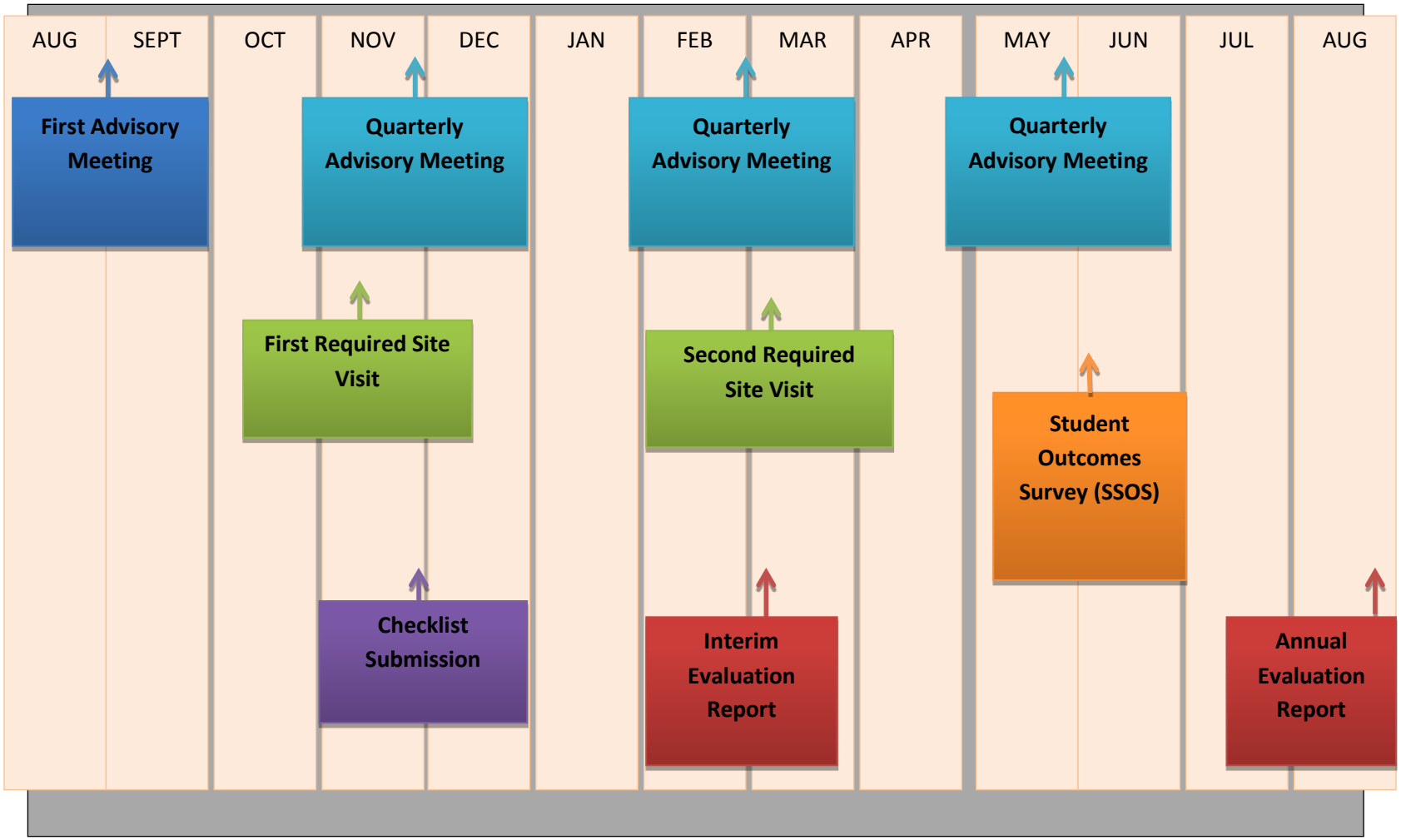
What	Descriptor	When	By Whom	For Whom/For What Purpose
Interim Evaluation Report	**Report on:** -Fidelity of implementation and other implementation issues. - Progress toward objectives -Recommendations for program improvement.	Provided to program managers in February or March annually.	Program Evaluator	-For grantee program managers to be aware of evaluation findings and recommendations for mid-course corrections. -Reports may be collected from a sample of programs by the State manager to review with the Statewide Evaluator.
Evaluator to Attend Quarterly Advisory Meetings	-Evaluator is required to attend and report on evaluation activities at mandatory program advisory meetings. -Evaluator is present during meetings as an external evaluator to collect data on perceived strength of partnerships and community collaboration.	1st Quarterly meeting - (Stage 1 Evaluability Process) annually by August 31st.* 2nd Q meeting – November/December 3rd Q meeting – February/March 4th Q meeting – May/June	Program Administrator/ Program Evaluator	-For grantee program managers to receive updates on evaluation. - For evaluator to collect information regarding strength of partnerships and community collaboration. - For NYSED managers to be aware of collaboration data if meeting dates and roll-call of participants is requested.
Point of Service Quality Review (Second required site visit)	-Point of Service Quality Review using the Out of School Time (OST) observation instrument developed by Policy Studies Associates or another approved instrument.	-To be completed during second half of program year.	Program Evaluator	- For grantee program managers to receive evaluator observation information, both formally and informally. - Samples may be collected by NYSED to inform technical assistance needs of programs.

What	Descriptor	When	By Whom	For Whom/For What Purpose
Short-Term Student Outcomes Survey (SSOS) for a stratified sample of programs annually or similar student survey of choice for others not part of stratified sample	-To measure short term youth development outcomes on participants from a stratified sample of programs annually. -Grantees that are not selected as part of the stratified sample should use a student survey of choice.	- To be administered 1- 30 days prior to the end of programming each year. - SSOS surveys to be administered and submitted online if available or pencil and paper surveys to be completed and submitted to the Statewide Evaluator for analysis by June 30th annually.	Program Evaluator	- Survey data from a stratified sample of programs annually will be used to inform the statewide evaluation. Local program managers and evaluators will also be provided with program level survey data analysis by the Statewide Evaluator for local evaluation use. -Surveys administered by local program evaluators of non-sample programs will use survey data to inform local program evaluations.
Annual Evaluation Report	**To include:** -Site Visit # 2 findings -Data analysis and interpretation including methodologies used -Progress toward meeting program's implementation and outcome objectives -Suggestions and recommendations for following year. If last year of funding, implications for future program planning.	Annual, due August 31st.	Program Evaluator/Project Director	- For grantee program managers to be informed of their program successes and areas where improvement is needed. - NYSED will collect all year end reports from the Project Director for each program. -NYSED will use these reports to indicate technical assistance needs for 21st CCLC programs.**

**Funding award dates can vary in the first year of funding which could result in the NYSED manager setting revised completion dates for Stages 1, 2, and 3 of the Evaluability process for Year 1 only.*

***The State Evaluators (RWI) will work with the state to indicate what needs to be reported on the 'Annual Evaluation Report'. In doing so, a template will be appended to this manual by the beginning of January, 2014.*

Quick Summary Annual Timeline for NYSED Local Program Evaluation Framework



Section One

Evaluation at Three Levels of the System

Introduction

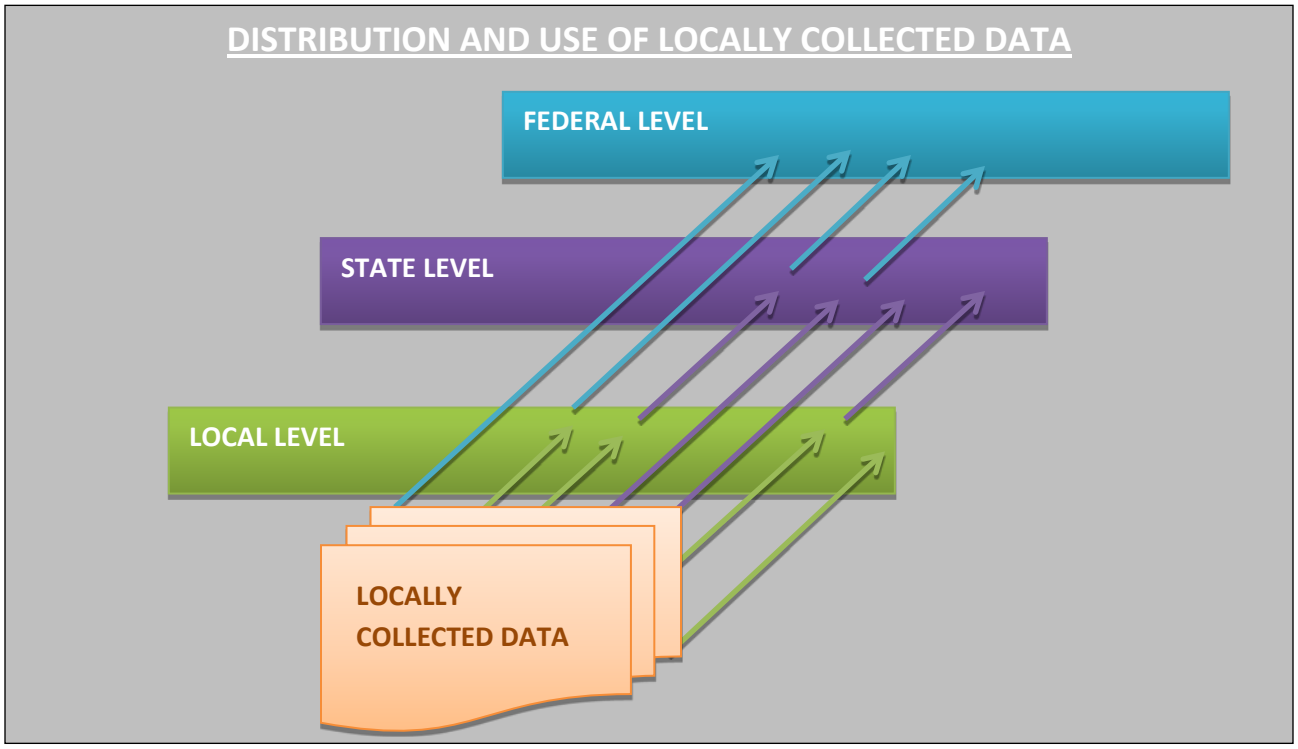
The evaluation of every 21st CCLC program is taking place on three levels simultaneously. In addition to local program evaluations there is also the federal evaluation and the State evaluation, all of which have data collection and reporting requirements. As part of the federal evaluation of this program, grantees are required to report data about their programs, including performance data on their participants following each program year in the Profile and Performance Information Collection System (PPICS) online interface in what is called the Annual Performance Report (APR).

There is also a State-level evaluation in every state receiving 21st Century funds, supervised by the state agency managing these funds. The New York State Education Department (NYSED) which manages the 21st Century Community Learning Centers Program in New York has set requirements, including data collection and reporting, for local evaluations beginning in the 2013-2014 program year. The local program level evaluation requirements outlined in this manual have been mandated by the NYSED to support the likelihood that programs achieve their intended goals by following a more rigorous evaluation process with their local evaluator providing them with actionable data based information on which to base program decisions. The following graphic illustrates how the data that is collected moves through the three levels of the system.

The arrows in the following graphic represent the possible data flow of locally collected data. As it illustrates data always originates from the local level, that is, from the level of program delivery. Reading from left to right, the graphic shows that local data-based information at times flows directly from local level to federal level or from local level to federal with a 'stop-over'. An example of this would be data reported in the PPICS, which is either found to be not useful at the local level, so is reported directly to the system, or which has locally useful data elements which are retained by the local evaluator as well as being reported to the federal level directly from the local level.

The third set of three arrows showing data based information flowing from local, through state and finally to the federal level, illustrates information, in addition to the PPICS data, requested by the state evaluator which is analyzed and then reported to the federal level by the state level of the system. Much the same happens to the data collected as shown by the fourth set of arrows (purple and blue), however here the information is collected by the state evaluator directly, analyzed and reported to the federal level of the system. The fifth and sixth arrow sets show data flowing from the local to the state level and stopping there, as with the information collected directly by the state evaluators during site visits and direct surveys (the fifth arrow) or by review of local evaluation reports and interviews/surveys

of local evaluators (the sixth arrow). The final arrow illustrates data collected by and for the local evaluation's purposes only, which is maintained in the local context.



Distribution and Use of Locally Collected Data: 21st Century Community Learning Center Programs in New York

Background: The Federal Level Evaluation

The 21st Century Community Learning Centers program is funded as a competitive grant under Title IV Part B of the federal Elementary and Secondary Education Act (ESEA) of 1965. This federal legislation has been reauthorized approximately every five years since it was passed, most recently as the 'No Child Left Behind Act of 2001'[1], so-named by President George W. Bush. As part of that most recent reauthorization, the 21st Century Community Learning Centers Program was folded into the ESEA/No Child Left Behind from its own original legislation. At that time, the administration of the funding for this program was given to individual states. Because this is a grant program, the individual state educational agencies (SEAs) are required to meet certain criteria established by the federal government, including the collection of information from the sub-grantees, or local programs. The SEA may have

[1] No Child Left Behind is not the first 'special name' given to the reauthorized Elementary and Secondary Education Act. In 1981 it was called 'The Education Consolidation and Improvement Act' and in 1994's reauthorization it was called 'Improving America's Schools Act'.

additional criteria that have to be reported. Those criteria must include the federal criteria and any additional requirements added by the State Education Agency (SEA).

As required in all federally funded programs, this program has established federal indicators with benchmarks and measures which the federal evaluation is responsible for addressing to provide the required progress reports to Congress. Based on the degree to which established benchmarks are reached, the federal government will make decisions regarding this program, including whether to continue its funding. In addition, with rigorous evaluative information indicating strong program performance funding may be increased.

Government Performance and Results Act (GPRA) Measures and the Profile and Performance Information Collection System (PPICS)

The federal evaluation of the 21st Century Community Leaning Center Program is currently being conducted by Learning Points Associates. Learning Points created the Profile and Performance Information Collection System, also referred to as PPICS, to collect data from all grantees in order to report to the federal government on the degree to which the program is meeting pre-established federal indicators of success. These indicators include both implementation measures, also referred to as outputs, and outcome measures. The indicators of success were established by the program management office at the Federal Department of Education, following guidelines set by the Government Accountability Office (GAO), as required by the Government Performance and Results Act (GPRA). You may hear these referred to as 'the GPRA measures'. These GPRA measures were developed to measure the success of the program given its legislative intent. Excerpts from the legislation, including the 21st Century Community Learning Centers' legislative intent, approved activities and the GPRA Measures, appear in **Appendix 1** of this manual**.**

The Annual Performance Report (APR) data reported by grantees in the PPICS was designed to inform the federal government with respect to the GPRA indicators/measures. The PPICS collects 'information' from grantees in all 50 states using a web-based format. It is accurately referred to as "information" in its title, and not "data", because much of what has been entered is aggregated data, and therefore is technically "information", not "data". The PPICS proves that one size does not fit all where information needs are concerned. The local evaluations fit local requirements and are focused on program delivery. Any State evaluation works to monitor program quality and effective reach while also providing a 'big picture' or holistic perspective. The federal evaluation can draw on large quantities of aggregated data and still show results because with the amount of data provided by a national data capture system their measures are more robust to PPICS' inherent lack of precision.

Note: Federal Compliance Data Collection Requirements

The data required for the Annual Performance Report (APR) in the PPICS requires that grantees have access to such school district data as 1st and 4th Quarter report card grades, State test scores, and demographic data for all students who have participated in the program for 30 days or more (30 days or more=regular attendee). In addition, the program is required to collect information from either the mathematics or English teacher for each student in the program using a required Teacher Survey instrument. The responsibility for ensuring that these data sources are available for the evaluation of each program lies with the program managers.

Because student data, such as demographic information, report card grades and State test scores are required to be reported in the PPICS/APR for compliance with the federal evaluation of this program, all program directors and local evaluators should be aware of the necessity of obtaining parental consent for the release of student data from school administrative units (district, central office, principal or director of charter schools, etc.). It is the responsibility of the program administrator to check on the requirements of the participating school(s) with which the grantee is associated for the release of this compliance data.

In order for a grantee located in New York City to meet the federal compliance data reporting required for the APR in the PPICS, an application for Institutional Review Board (IRB) approval is required for the release of this data because of the way the New York City Department of Education (NYCDOE) interprets the Family Education Rights and Privacy Act (FERPA) regulations. While test score data and demographic data will be released to grantees by the NYCDOE if IRB approval has been granted, first and fourth quarter report card grades are not available from the NYCDOE because there is no consistency in how grades are submitted across schools. It is imperative that program administrators and evaluators of programs located in New York City are aware of the fact that the first and fourth quarter grades as required for the APR must be obtained from each building. Therefore principal consent to release these grades must be secured in advance.

An evaluator in a district requiring IRB approval, e.g. New York City DOE, will need to negotiate with the grantee program administrator regarding whether the application for IRB approval will be included as part of the contracted evaluation services. Evaluators and grantee administrators should be aware that there may be other districts besides NYCDOE with this requirement as well. Program administrators who are not familiar with this process may want an evaluator's assistance in applying for IRB approval, in which case it should be included as part of the evaluation contract. The link to the NYCDOE website page which delineates the procedure that needs to be followed for IRB approval is provided here. http://schools.nyc.gov/Accountability/data/DataRequests

Background: State Level Evaluation

State Educational Agencies (SEAs) are interested in knowing the degree to which grantees in their state are meeting their states' goals and objectives. In addition, there are data and information elements that are required to be supplied to the Federal Education Department by the SEAs that are only available from individual local programs. New York State's objectives **(Appendix 2)** were written in alignment with the federal legislative intent of the program and the federal GPRA measures **(Appendix 1).** In order to coordinate local programs with the State objectives, and through them to coordinate with the federal goals and GPRA measures, NYSED requires that funded programs propose a set of local goals and objectives that support the State objectives as part of their application for funding.

The 2006-2011 Research Works, Inc. (RWI) State-level evaluation in New York was designed to do four things. First, it monitored the data collected from local programs through the PPICS/APR. That process led the State evaluators to recommend some modifications to the New York State section of that system. Second, the State evaluators supported an expansion of the role of local evaluation and recommended strategies to increase local evaluation quality and utilization. That process led to the authoring of this Manual. Third, the State evaluation worked with local programs through survey and site visit data collection strategies to contribute to the State managers' understanding of the day to day operation of local 21st Century Community Learning Center Programs. And finally, the State evaluation compiled information through the analysis and interpretation of the available data to support the ability of the State program managers to make informed State level policy decisions. New York's State level evaluation was designed and implemented within the framework of New York State's Program Objectives.

New York State's Program Objectives were written in much the same way as objectives are typically written in policy documents. Objectives in policy documents have two basic functions. They can be outcome objectives, objectives that state or describe the result that is sought. Or they can be implementation objectives, objectives that state or describe what the program will provide in order to achieve that stated result. New York State has two primary objectives for the 21st Century Community Learning Centers Program. The first objective is an ***outcome objective*** related to student achievement and behavior as a result of regular attendance in the program. New York State's second objective is an ***implementation objective*** related to program offerings which are expected to contribute to the student outcomes referred to in Objective 1. New York State's statutory objectives and sub-objectives can be found in **Appendix 2.**

Based on a desire to gain a better understanding of this program's effectiveness that goes beyond the information available in the PPICS, the Research Works evaluators proposed, and the New York State Education Department (NYSED) adopted, some additional data collection requirements to inform the state level evaluation which informs the state management team. The NYSED has instituted some

additional state level requirements for the provision of local evaluation services to sub-grantees in order to standardize how local evaluations are conducted when collecting data to report to the State.

Note: New York State Data Collection and Reporting to Measure Student Outcomes

While student outcome information, such as report card grades and teacher perceptions as reflected in the federally required teacher surveys, is collected and reported as part of the federal evaluation requirements, because of the way it is collected and reported it is not appropriate for a state level evaluation. For that reason, New York State is requiring the collection and reporting of data to compensate for the limited usefulness of the information collected in the PPICS for the federal evaluation. This targeted data collection requirement should enable the State to more effectively measure the impact of this program on students.

The additional data collection requirement, which went into effect in the 2013-2014 program year, is the administration of the Short-term Student Outcomes Survey (SSOS) to student participants from a stratified sample of grantees drawn by the State Evaluators each year. This instrument measures students' perceptions regarding the effect of their participation in the program on themselves. It requires that local evaluators of programs in the sample administer the survey and submit the completed survey forms to the State Evaluators for analysis and reporting to the NYSED. Electronic administration of the survey can be arranged or the survey can be administered and submitted using a paper and pencil format. Local evaluators of programs that are part of the stratified sample will be provided with an analysis of their individual programs' data and with aggregated statewide data results from across the state. Local evaluators are encouraged to interpret the state evaluator's preliminary analysis of their program's data based on their more intimate knowledge of the program and incorporate the analysis and their interpretation of this data in their Annual Evaluation Reports. A more in-depth discussion of the decision to collect this data in New York State can be found in **Appendix 5.**

Evaluators of programs that are not part of the stratified sample are required to administer either the SSOS or another student survey of their choice that measures similar youth development attributes. Only those grantees that are part of the stratified sample each year are required to use and submit the SSOS instrument that appears in this manual to the State Evaluators. The SSOS instrument and supporting documents such as consent and assent forms and directions for administration can be found in **Appendix 6**.

Compliance Reporting Summary

Federal and State Compliance Reporting – Whose Responsibility?

An overview of evaluation at the different levels of the system has been provided in the previous sections of this manual. Each of those levels has compliance requirements which are summarized below. The party responsible for the compliance is sometimes mandated and at other times needs to be decided and articulated in the evaluation contract with the grantee.

Federal Compliance:

- Grantees are required to enter program profile data and student performance data into the PPICS online data collection system which includes the Annual Performance Report (APR). While it is the grantee's responsibility to make sure this data is entered, it is not specified whether the local evaluator should be involved in this process. Since local evaluators may have a use for the student performance data that is entered into the PPICS for their local program evaluations, beyond simply complying with the federal evaluation, it seems logical that they would be the keepers of the databases that house this data. **The degree of the local evaluator's involvement in the federal compliance reporting should be negotiated and made explicit in the evaluation contract with the grant administrator.**
- Internal Review Board (IRB) approval may be necessary in some school districts for grantees to gain access to some student level data required for federal reporting in the PPICS. The local program evaluator's experience and expertise may be helpful in assisting program managers in this process. Though not required of the local evaluator, the program manager could ask for this service to be included in the evaluation contract with the local evaluator**. It would be up to the local evaluator and the program manager to decide whether this assistance is to be included among the services provided in the evaluation contract.**

State Compliance:

- Local evaluations should include an Evaluability Process annually. The three stage process is described in this manual. **(This should be included in the evaluation contract as part of the evaluation services that will be provided)**
    - Stage 1: The initial stage of the Evaluability Process as described in this manual is to occur prior to the program start-up date each year, preferably by August 31. If there is a delay in funding in the first year of the award, the NYSED will advise the grantee regarding the deadline for Stage 1 in Year 1. Key program stakeholders are responsible for participation in this initial advisory committee meeting and at least three additional quarterly meetings with the evaluator in attendance.
    - Stage 2: The follow-up stage of the Evaluabilty Process as described in this manual is to occur within two months following the program start-up date annually. This will typically occur in November or December unless there was a delay in the funding award

in the first year and as a result a delay in the program start-up date occurred. In that case the NYSED will advise the grantee regarding the deadline for Stage 2 in Year 1 only.

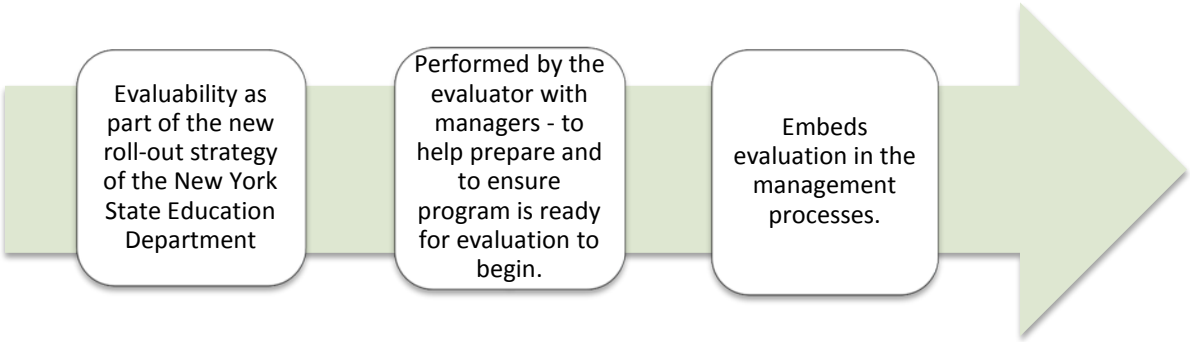
  - Stage 3: The Evaluability Process Checklist appearing on pages 18 and 19 is to be completed by the local program evaluator and submitted by the project director to the NYSED managers by December 31st annually. If the program start-up date was delayed in Year 1 due to a delay of program funds being available, the NYSED managers will advise the grantee regarding the deadline for submission (Stage 3).

- Local program evaluators of a stratified sample of programs are required to administer the Short-term Student Outcomes Survey in May or June, annually, and submit the completed surveys to the State Evaluator by the end of the program year, June 30th. **This should be included in the evaluation contract as part of the evaluation services that will be provided.**
- Local evaluators of programs that are not part of the stratified sample are required to administer either the SSOS or a similar student survey of choice to inform the local program objectives. **This should be included in the evaluation contract as part of the evaluation services that will be provided.**
- Local program evaluators are required to visit each site two times during the program year. **This should be included in the evaluation contract as part of the evaluation services that will be provided.**
  - The purpose of the first required site visit is to complete Stage 2 of the Evaluability Process and includes observation of activities to assess fidelity to program design and to review program documents as described in this manual.
  - The purpose of the second required site visit is to assess 'point of service' quality using the OST (Out of School Time) Observation instrument (or another similar instrument pre-approved by the State Evaluators).
- **Interim Evaluation Report:** Local program evaluators are required to provide this narrative report to their local program administrators in February or March of every program year. This manual provides details about what should be included in this report. Samples of these reports may be collected from program directors by the State Evaluators for compliance reporting to the NYSED. **The Interim Evaluation Report should be included in the evaluation contract as part of the evaluation services that will be provided.**
    - *Grantees are required to complete an online report each January distributed by the New York State managers of this grant which the NYSED has called the Mid-Year Program Report. **This is not part of the statewide evaluation and should be completed by the local program manager, <u>not the program evaluator</u>.**
- **Annual Evaluation Report:** Local program evaluators are required to provide this narrative report to their local program administrators by August 31st of every program year. This manual provides details regarding what should be included in this report. All programs are required to send a copy of their Annual Evaluation Report to the state manager. **The Annual Evaluation Report should be included in the evaluation contract as part of the evaluation services that will be provided.**

Section Two

The Evaluability Process

The Three Stage Evaluability Process Function



The **NYSED Local Evaluation Framework** established an evaluability process requirement in the 2013-2014 program year. The process includes three separate stages. The first stage requires the evaluator to meet with all key program stakeholders to define the program and the evaluation parameters as described above. The second stage involves a visit to each program site to observe early implementation, review program management procedures and review evaluation plans and procedures, including ensuring that all data collection procedures are in place for the evaluation. The evaluator will use the Evaluability Checklist, which appears on pages 20 and 21 to guide the evaluability process and then have the project director submit the completed checklist to the NYSED managers, which is Stage 3 in the evaluability process. In completing the checklist evaluators must make an overall determination whether the program is sufficiently ready to be evaluated.

If program managers and their evaluator become concerned that their program roll-out will not meet the implementation stage timeline set by the Evaluability Checklist, they are encouraged to seek support from their appropriate State funded resource center, the New York City Resource Center (NYC-RC) or the Rest of State Resource Center (ROS-RC). If the program has not reached the point in their implementation process outlined in the Evaluability Process Checklist, the program will be referred to the NYC-RC or the ROS-RC for further guidance and assistance in getting the program where it needs to be. A re-review date of the program will be determined between the local evaluator, project director and the resource center.

Stage 1 - Initial Stage in the Evaluability Process

This stage is to be completed during the first of at least four 21st CCLC program advisory group meetings which are expected to occur during the course of the program year and consecutive program years. The following activities are included in Stage 1 of the Evaluability Process:

- Evaluator to meet with representative program advisory group (to include key stakeholders) within two months following the funding award date, and annually thereafter. This would typically occur by August 31st each year. Grantees who are awarded funding later than July 1 may have the completion dates for Stages 1, 2, and 3 in the Evaluability Process adjusted by NYSED in their first year. Subsequent years would follow the dates provided in this framework.
- During this first quarterly advisory group meeting the evaluator is to solicit consensus among program stakeholders regarding the identification of the 'program theory'.
- In the first year of funding, the evaluator is to facilitate the creation of a logic model or to review the initial logic model developed in the program design phase during this advisory group meeting. In subsequent years, during the August Advisory Meeting, the logic model should be revisited for consideration of any changes to it that may need to be made as the program matures, in a collaborative process with the advisory group members. Also on an annual basis during this August meeting, the program objectives are to be reviewed, and indicators and measures to be used in the measurement of the program's implementation and outcome objectives are to be agreed upon with the advisory group and aligned with those contained in the grant application.
- The Evaluator is to inform the stakeholders during this initial meeting annually regarding the areas that will be assessed during Stage 2 of the Evaluability Process so that site-level personnel are prepared. This second stage of the process is required to take place within the first two months following the program's start-up date*. Stage 2 would typically occur in November or December each year. NYSED may adjust Stage 2 completion dates due to program start-up delays.
- Following this meeting, the Evaluator to complete first page of the Evaluability Checklist. The Evaluability Checklist appears on pages 20 and 21 of this manual.

*Start-up date is defined as the first day on which participants are served using 21st CCLC funds.

Stage 2 – Follow-up Stage in the Evaluability Process

This stage is to be completed during the first of two required program evaluation site visits. Stage 2 is conducted by the evaluator within two months following the program's start-up date annually to assess the following pre-conditions and capacities:

- Evaluator's initial look at implementation fidelity will occur at this time. Is the program as delivered aligned with the program as described in the proposal for funding? Evaluator to base this assessment on program document review, including the review of the grant proposal,logic model, program calendar and program schedule of activities, and observation of program delivery.
- As part of the program document review, the evaluator is to verify that the grantee has created a program timeline.
- As part of the program document review, the evaluator is to verify that a comprehensive program handbook (i.e. employee handbook) that clarifies internal policies and procedures is available for staff.
- Evaluator to verify that procedures are in place for systemically and systematically recording and/or entering all required data necessary for program evaluation purposes.
- Evaluator to verify that parents/principal care-givers of participants are being provided with, at intake into the program, the parental consent form asking for their permission to allow their child to participate in the evaluation of this program. This form, which is necessary for students to participate in taking the Short-term Student Outcomes Survey (SSOS) which appears in **Appendix 6** of this manual, should be provided to all newly entering students. The form can be modified to cover other aspects of the local evaluation which may require parental permission. A more detailed discussion of the Short-term Student Outcomes Survey, which will be administered to students from a sample of programs drawn annually by the State Evaluators, appears in later sections of the manual.

Stage 3 – Completion and Submission of the Evaluability Process Checklist

- The local program evaluator is to complete the evaluability forms, the project director is to submit the completed Checklist, appearing on the following two pages, to the NYSED managers two weeks after completing Stage 2 in the process, or by December 31 annually. Local program evaluator is responsible for the completion of the evaluability process checklist and the project director is responsible for submitting it to the NYSED.

The Purpose of the Evaluability Process Checklist

The evaluability review is performed by the evaluator with the local program managers. The checklist identifies what will be considered during the review, and that checklist is public. By granting the award of funding to the grantee, the NYSED has already determined that the program has the theoretical underpinnings necessary for success. The determination of evaluability will identify if the program has all the pre-conditions and capacities in place to provide a high probability of a successful program, or if it will require some assistance in getting the "big ideas" out of the application narrative and into operation. The observations made during the review as reported on the checklist should not be construed as 'high stakes' by grantees or evaluators. This is important to understand. The reporting

aspect of the process should be considered a means to identifying key areas where some helpful guidance could be offered to program management.

We see this as having three possible outcomes.

Outcome 1: The Checklist may indicate that the program management has the necessary pre-conditions and capacities in place for a high probability that the program implementation will proceed and the evaluation can proceed effectively and efficiently.

Outcome 2: The Checklist may indicate that assistance from the appropriate State Resource Center would be beneficial. Please check option 2 on the last page of the Evaluability Process Checklist.

Outcome 3: A third possibility is that the program is not quite there but the evaluator is confident that the noted concerns can be resolved by a specified date, at which time the evaluator will re-submit the checklist. Please check option 1 on the last page of the Evaluability Process Checklist.

Based on the review, an informed judgment is required of the evaluator. It is a fact-based assessment whereby management infrastructure and other program delivery supports are noted as present or not present. Based on the findings of the 2006-2011 statewide evaluation, the New York State Education Department managers for this program have instituted this initial review process in order to provide assistance and/or guidance to help with program implementation as early in the program implementation cycle as possible so that valuable program time is not lost. This requirement is also intended to improve the likelihood of the local evaluation's usefulness.

Page 1

The Evaluability Process Checklist

Grantee Name_____ Award Date _____

Program Director _____ Evaluator Name: _____

Stage 1 – Initial Stage of the Evaluability Process: To be completed within two months of the funding award date. If funding award date was July 1, Stage 1 should be completed by August 31. For later funding award dates NYSED may revise this completion date for Year 1 only.

	Yes	No
1. Is an advisory group in place and functioning that adequately represents the program's key stakeholders?		
Explanation of extenuating circumstances, No. 1:		
2. Did the advisory group convene its first meeting within 2 months following the funding award date – By August 31st? (If yes, but at a later time, please provide a brief explanation as to why this occurred at a later date than advised)		
Explanation of extenuating circumstances, No. 2:		
3. At the advisory group meeting, was the program theory agreed upon with all stakeholders?		
4. At the advisory group meeting, was a logic model of the program created and/or reviewed with stakeholder involvement that reflects the program theory?		
5. At the advisory group meeting, were the program objectives reviewed with stakeholders and re-assessed for alignment with the program theory?		
6. At the advisory group meeting did the evaluator review the indicators and measures that would be used and did the evaluator provide program stakeholders with the rational for how and why they will effectively measure the implementation and outcomes of the program?		
Explanation of extenuating circumstances, Nos. 3-6:		
7. At the advisory group meeting, did the evaluator notify the stakeholders regarding activities that would take place as part of Stage 2 in the Evaluability Process and that they would occur one to two months following the program start date?		
8. At the advisory group meeting did the evaluator share the Evaluability processes that are included in Stage 2 so that program staff will be aware of program implementation expectations and their importance to the evaluation of the program?		

Stage 2- Follow-up Stage of the Evaluability Process: To be completed one to two months following the program start date, the evaluator will assess the following criteria during an on-site Evaluability Review (This will typically occur in November or December annually. NYSED may adjust the completion date for Stage 2 in Year 1 only if delays in program start-up occurred in the first year.)

	Yes	No
1. Based on the evaluator's observation of program activities and a review of program documents, is the program being implemented as designed?		
If NO, please clarify:		
2. Does the program have a timeline of program activities that will be occurring during the program year so that an evaluation timeline can be created and provided to the program staff and other stakeholders?		
3. Does the program have an employee handbook that clarifies internal policies and procedures?		
4. Is there a procedure in place for systemically and systematically recording and/or entering all required data necessary for program evaluation purposes?		
5. Are parents/guardians of participants being provided with, at intake into the program, the parental consent form asking for their permission to allow their child to participate in the evaluation of this program? At the State level this is required for the Short-term Student Outcomes Survey. At the local level it would include any additional means of collecting evaluation data from program participants which may include additional surveys, interviews, focus groups, etc.		

Check one of the following based on evaluator determination of program evaluability.

_____ Yes, this program is ready to be evaluated.

_____ No, this program is not ready to be evaluated at this time. (Please refer to Option 1 and Option 2 below)

_____OPTION 1: Date of anticipated re-review of program readiness and re-submission of Checklist (Not to exceed 30 days):_____

_____OPTION 2: I recommend that this program be referred to the Statewide Technical Resource Centers. Re-review date to be determined in consultation with the Statewide Technical Resource Centers.

_____ _____

Project Director's Signature Date

_____ _____

Local Program Evaluator's Signature Date

<u>Stage 3:</u> Submit this checklist to the NYSED two weeks following completion of Stage 2 or by December 31 Annually (NYSED may adjust the submission date in Year 1 if the Program had a delayed start-up date)

Background Information: Evaluability Process

Following please find a brief explanation of program theory, logic modeling and evaluability. More detail can be found in **Appendix 4** on the logic model development processes. There is no specific NYSED compliance information contained in this part of the manual, the materials are supportive of the preceding section on the evaluability process.

Identifying the Program Theory

In many evaluations, the first task of the evaluator is to review program materials, the grant narrative, and other documents to familiarize themselves with the program design, expected outcomes of program activities, and overall results the program seeks to achieve. This process is also known as establishing the program theory. A program theory is a statement of the assumed relationship between the change programs want to have happen and both what they are going to do to achieve that change and why they think the program will be successful. The program theory, therefore, defines the assumptions as an operative model of research based and practically serviceable programming. In other words, the program theory is a summary of the **cause → effect** assumptions of the program intervention. (Research Works, Inc., 2009)

Identifying and agreeing on the program theory with all pertinent stakeholders is the first step in the evaluability process and is included in Stage 1 of NYSED's Evaluability Process outlined in this manual. It also clarifies the relationship between the program design and the three part evaluation process of the **NYSED Local Evaluation Framework.**

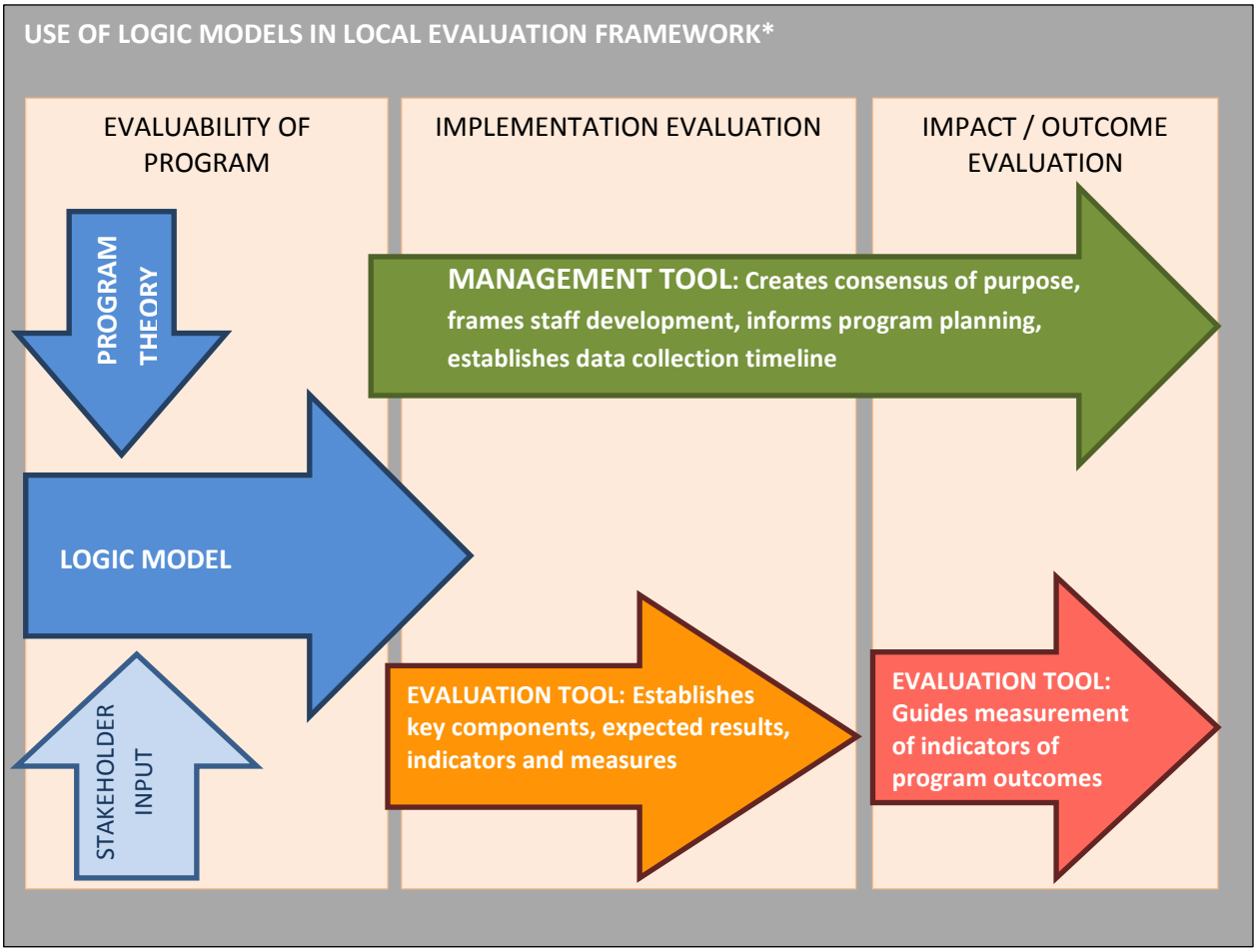
Creating a Program Logic Model Based on the Program Theory

Using the program theory as a starting point, the next step is to focus on the concrete areas of the program for management and evaluation. The program theory is mapped onto a program logic model to ensure the program is clearly defined, the program theory can be operationalized, and the indicators and measures the evaluation will employ are identified and agreed upon. The creation of the program logic model in a collaborative process with stakeholders is the second task in Stage One of the Evaluability Process. This task serves an important purpose. While many grantees may have already developed a program logic model during the writing of the grant program proposal, the evaluability process should clarify existing logic models. (Leviton, 2006) In circumstances where a logic model was not used during the design phase, evaluators can apply the technique to already designed, and even already operational programs in order to support efficient and effective program management and fair and reasonable measurement of the program's implementation and impact.

In either case, the purpose of creating the program logic model in a collaborative process with key stakeholders prior to program implementation is to take the program narrative, goals and objectives and to transform them to a performance based (results based) framework. The logic model should not change anything about what the program is designed to accomplish. It is a tool to map the program as designed into a performance based framework so that the meaning of the term 'performance based' is clearly obvious to program management, key program stakeholders and to the evaluator.

As a graphic depiction that reflects the program theory, including expected results and indicators that those results are being achieved, the logic model becomes both a management tool and an evaluation tool. The program logic modeling process ensures that everyone involved with the program: partners, program delivery staff, grant managers, evaluators, etc., will understand and refer to the program in the same way and be united through understanding of its purpose.

Use of Logic Models in NY Local Program Evaluation Framework*



*from *Practical Applications of Logic Models to Program Evaluation, ©Research Works, Inc., 2010, used by permission.*

It is recommended that the logic model become a fluid document that can be revisited and modified at any stage in the program's existence. For a further discussion of the terms 'program' and 'performance-based framework' to help inform one's thinking regarding the logic modeling process, please refer to **Appendix 3.** There are many very good (and free) guides to logic modeling, and there are many forms of logic models. The Kellogg Foundation was among the first not-for –profit organization in the US to adopt logic modeling. Their free guide can be downloaded at: www.wkkf.org/knowldege-center/resources/2006/02/wk-kellog-foundation-logic -model-development-guide.aspx. For step by step guidance about how to take a group of stakeholders through the collaborative logic modeling process please refer to **Appendix 4.**

Articulation of the program theory, development of a logic model and the other activities in the evaluability process, constitute a systematic initiating evaluation approach that helps identify whether program evaluation is feasible at a particular point in time. This is both a negotiation and an investigation undertaken jointly by the evaluator and the program managers (and other stakeholders) to determine if the program meets the preconditions for evaluation and, if so, how the evaluation itself should proceed to ensure its maximum utility.

Section Three

NYSED Local Evaluation Framework's Implementation and Outcome Evaluation Processes

The federal evaluation of this program has data collection and reporting requirements that are meant to capture information about both program implementation and program outcomes through the online interface known as PPICS (The Profile and Performance Information Collection System). The federal compliance reporting in the PPICS is ultimately the responsibility of the grantee. Programs are encouraged to consider that some of the data which has to be collected for PPICS reporting can be informative to local program operations. The grantee managers should enlist their local evaluator in making this assessment. In addition, grantees may include assistance from their local evaluator in completing the PPICS in which case the specifics of that assistance need to be made explicit in the evaluation contract.

All local program evaluations in New York State will use an approach to evaluation that suits both the evaluation's client and the local evaluator. In this manual, local evaluators are advised to consider using a Theory of Change/Theory-Based evaluation approach**.** This recommendation is made because theory-based evaluation is an approach to evaluation developed to address the problems associated with evaluating comprehensive, community-based initiatives and other types of initiatives not well suited to statistical analysis of outcomes only. Proponents of theory-based evaluation reason that by combining outcome data with an understanding of the process that led to those outcomes, a great deal can be learned about the program's impact and its most influential factors (Schorr and Kubisch, 1995). This means that the data collected as part of the implementation evaluation is combined in an ongoing process with data on achievement of short-term and interim outcomes.

Implementation or Process Evaluation

Because this program is funded by the federal government, in order to qualify to receive funding, the New York State Education Department had to provide a set of statutory objectives regarding this program to the Federal Department of Education. New York State's statutory objectives include both an implementation objective and an outcome objective, with sub-objectives under each. Grants to localities in New York (called sub-grants in the federal legislation) are awarded through a competitive process. Requirements set by NYSED for completion of grant application proposals include the requirement that they address New York's Strategic Objectives in their program goals and objectives. Therefore, every local program will have some objectives that refer to implementation and some objectives that refer to outcomes. (See **Appendix 2** for New York State's Statutory Objectives and Sub-Objectives) All local program evaluations in New York State, therefore, should be comprehensive evaluations, meaning that they should address both implementation or process, and outcomes or impacts/results.

A comprehensive local evaluation of this program must consider the individual program's degree of success in meeting those local program objectives that have been articulated in their proposal by the grantee. However, a comprehensive evaluation by definition will include some overarching implementation issues that may or may not be included in the program's set of objectives. The program evaluation should address implementation issues such as:

1. Assessing fidelity of implementation to the program as designed. This is initiated as part of Stage 2 in the Evaluability Process and should be revisited at subsequent site visits throughout the evaluation period.
2. Determining whether the program is meeting its target population. This would include considerations such as attendance figures for any student sub-groups which may be targeted in the program's objectives or program narrative and its logic model. For example, program objectives may include participation percentage goals.
3. Assessing the point of service quality of the program activities. Providing quality programming may or may not be articulated as a local program objective but it is articulated in New York State's objectives. This is to be assessed during the second of the two evaluator site visits required annually. Additional site visits to assess point of service quality, beyond the one required for that purpose, are encouraged but not required. The second required site visit to assess point of service quality is discussed in more detail below.
4. Identifying the existence and cause of barriers to various aspects of the implementation is also something the evaluation should include and findings should be shared with program management so that mid-course corrections can be made.

The local program evaluation should also address student outcomes as articulated in each program's set of objectives. Those expected levels of student outcomes will vary from program to program but they will all include expected changes in students' academic achievement and behavior as a result of participation in the program. These student outcomes can be found in the federal legislation of this program and are reflected in New York State's goals and objectives which were written in alignment with the federal intent.

Developing Indicators and Measures for Local Program Objectives

Please refer to Appendix 4 for the 'Logic Model Process Deconstructed'.

At the end of this section is an example of one type of logic model that has been utilized by Research Works, Inc.

Program objectives will constitute a large proportion of the program's logic model. During the logic model development in the evaluability process, stakeholders will be asked to consider each output, outcome and impact and asked to answer the question: what proof will you accept that this result is

being or has been achieved. That accepted proof is an **indicator**[2]. It is the evaluator's responsibility to guide the development of appropriate indicators (what success would look like) and measures (how that indicator will be measured) for the program's stated objectives. As previously mentioned some will be implementation objectives and some will be outcome objectives. Development of indicators for the program's outcome objectives should focus on the expected student outcomes. The indicators would focus on changes in student achievement, behavior or attitude as a result of participation in the program and those changes are what would be measured. Development of indicators for the implementation objectives would focus on the expected program services offered and number of hours (dosage) of programming participants are intended to receive. Measurement of the indicators could include how many students actually participated, in what activities, for how long. These are sometimes referred to as the program outputs (although sometimes also referred to as short term outcomes). This manual will refer to them as outputs.

Remember that just because an activity or set of activities are offered, does not mean that the implementation objective(s) referring to those activities has been met. How many came and how often they came compared to how many came, for how much time was intended, is how one aspect of implementation could be measured. Outcome objectives also require the establishment of indicators and appropriate measures. Both outcome and implementation objectives are more generalized and require the development of indicators so that the measures and data elements can be established. It is the **indicators** that are measured.

The template that appears in **Appendix 7** provides an example of a hypothetical program with program level objectives that are aligned with the New York State statutory objectives and sub-objectives and that have articulated indicators and measures. This template is similar to a logic model and may be a useful template for evaluators to use with program stakeholders as it provides a roadmap for the program purpose, the services that will be provided in order to meet the purpose and the measures that will be used to learn if the purpose is being met. **Appendix 8** provides a blank version of the template that can be copied for local program evaluators to use with program stakeholders.

[2] Mathison (2005) has written that "An indicator is the operationalization of a variable used in an evaluation. It is what is measured to signify performance…Indicators are descriptions of what can be empirically observed that will signal the occurrence of the aspect or facet of the evaluand under study" (p.199).

LOGIC MODEL GRAPHIC

© Research Works, Inc. 2005

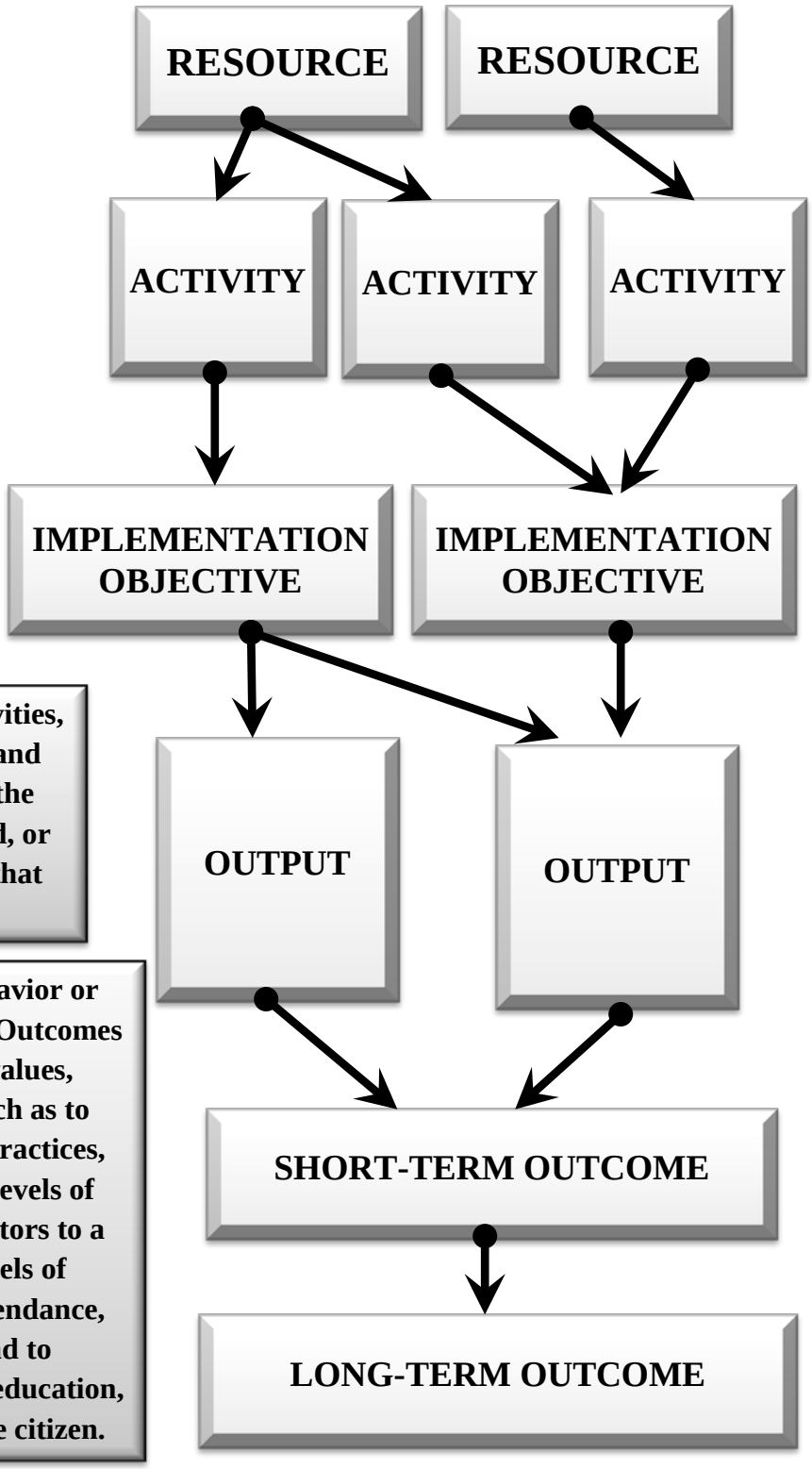
Resources are what you use to achieve your objectives. Examples are staff, facilities, equipment and money.

Activities are what you do with the resources- the services provided. Examples are providing instruction or assessing competence.

Implementation Objectives are what the purpose of the program is. Use words such as: to provide, to give, to ensure. Examples are to provide the system with highly qualified teachers, to ensure equitable access to the curriculum for all students.

Outputs are the products of a program's activities, the countable indicators of service delivery and characteristics of those served. Examples: the number of highly qualified teachers provided, or the magnitude of instructional interactions that are focused on student needs.

Outcomes are the incremental change in behavior or belief that the treatment is there to influence. Outcomes may relate to knowledge, skills, attitudes, values, behavior, condition or status. Use words such as to increase, to decrease, to change. Programs, practices, strategies and processes may have different levels of outcomes. For example, providing adult mentors to a student may cause them to have higher levels of engagement with school, which will affect attendance, which should affect grades, which can lead to graduating and transitioning to a job, further education, or the military, thus to becoming a productive citizen.



Site Visits - Implementation Evaluation Data Sources

Fidelity of Implementation

New York State is requiring all local evaluations to include at least two evaluator visits to each program site each year beginning in the 2013-2014 program year. The purpose of the first of the two required annual site visits is to use program observation as part of the assessment of the fidelity of the program as implemented to the program as designed. The first required annual site visit should be done within two months of the program start date each year. This typically would occur during November or December annually as most programs begin in September or early October. The purpose of the visit is to observe program operations in order to assess fidelity of implementation (i.e.: Is the program being implemented as designed and how the program was articulated in the grant proposal?), and to review documents and procedures to ensure that the program is evaluable (This is Stage 2 of the Evaluability Process). Fidelity of the program's implementation to the program as originally designed needs to be done periodically to ensure that the program is not drifting away from its original intentions and thus reducing the probability of achieving their objectives. While mandated during the first of the two required site visits annually, monitoring the program's fidelity to the program's design should be part of all subsequent visits by the local program evaluator.

Point of Service Quality

Monitoring the 'point of service' quality of program activities can provide a way for evaluators to provide timely feedback to program managers for program improvement. The second annual required site visit per program site is for the purpose of assessing 'point of service' quality of program activities using the research-based OST (Out of School Time) Observation Instrument designed by Policy Studies Associates, or a similar instrument with pre-approval from the state evaluator. From information collected from local evaluators in the past, it is known that a good percentage of local evaluators in New York State were using this instrument prior to its mandated use in 2013-2014. This is a validated instrument that the state evaluator used extensively as well during site visit observations as part of the statewide evaluation in New York. The following quote is an excerpt from the Report of the Validation Study of this instrument.

> *The OST Observation Instrument is grounded in assumptions about the characteristics of high-quality after-school programs that have been demonstrated by a growing body of research (Eccles&Gootman, 2002; Marzke, Pechman, Reisner, Vandell, Pierce, & Brown, 2002; McLaughlin, 2000; Miller, 2003; Mott Foundation Committee on After-School Research and Practice, 2005; Pittman, Irby, & Ferber, 2001; Vandell, Reisner, Pierce, Brown, Lee, & Bolt, 2006). Following McLaughlin (2000), this body of research finds that good after-school programs are not "happenstance." Positive outcomes occur when adults deliberately create opportunities where activity content and instructional processes are both knowledge- and youth centered and when adults use both structured and unstructured teaching strategies to promote learning and mastery (Bransford, Brown, & Cocking, 1999; Durlak&Weissberg, 2007; Grossman, Campbell, &Raley, 2007). To reflect these principles, the OST Observation Instrument measures activity content and structure, the quality of interpersonal relationships, and the degree to which activities focus on skill development and mastery, all factors that encourage positive*

youth outcomes….The OST Observation Instrument is a flexible resource that can help OST programs determine if their program is characterized by the youth development, academic, and enrichment qualities that promote positive participant outcomes.

(Pechman, February 2008)

The OST Observation Instrument and the Report of the Validation Study in its entirety can be found at the following link: www.policystudies.com/studies/?id=30. The instrument can be downloaded and printed for use during the second of the two required annual evaluator in-person visits per site. It should be used during at least four 20 minute observations of activities occurring on the day of the site visit. Local program evaluators are required to provide observation results and suggestions for program improvements based on their site visit assessment(s) using this instrument or a similar pre-approved instrument, as part of their ongoing communication with and reporting to program management and stakeholders, and in the Annual Evaluation report to the grantee. The statewide evaluator may ask a sample of evaluators annually to provide these assessments for compliance reporting to the NYSED.

Other Implementation Evaluation Data Sources

For 21st CCLC programs, the stakeholder groups are fairly consistent across programs but the degree of buy-in among them can vary greatly, which will undoubtedly have an impact on the program's quality, and in turn, the program's effectiveness. Every program is likely to include the following stakeholder groups, while some may have additional groups or individuals:

- Student participants
- Parents or guardians as participants in program services and non-participating parents or guardians of student participants
- Program Director/Grant Manager (manages the grant) from the grant funded organization
- Site Coordinator/Site Director (manages the site)
- Building Principal and other school staff including daytime teachers and superintendent
- Teachers and Paraprofessionals leading activities
- Partner Organization(s) Director and supporting staff
- Community Advisory Board members (citizens and leaders in the community)

The evaluation should consider why and in what ways these stakeholders have a stake in whether a 21st CCLC program is operating in the community. Information regarding if, how, and to what degree each is involved can be gleaned through surveys, focus groups or interviews. These data sources and data collection methods can be an effective means to understanding the implementation of the program. Satisfaction surveys can also be a useful evaluation tool to inform the implementation evaluation. If conducting a satisfaction survey with stakeholder groups it is prudent to keep in mind that results from such a survey should not be used as an indicator of the program's success, although stakeholder expectations, belief and assessment of program success are still informative to your implementation evaluation. The following quotation from James Bell Associates speaks to that point.

Feedback from program participants and staff regarding their satisfaction with program services and their perceptions of a project's effectiveness is an integral part of many comprehensive evaluations. However, some evaluators make the mistake of confusing satisfaction with program effectiveness, i.e., assuming that satisfaction with program services is an end in itself and that high levels of satisfaction mean that the program achieved successful outcomes**. In reality, satisfaction is not a true outcome measure because it does not address changes in program participants' knowledge, attitudes, skills, behaviors, or status. (Emphasis added by RWI)**

Despite its limited value for measuring program outcomes, satisfaction data can serve as a useful component of a comprehensive process evaluation. It can help to provide early feedback regarding whether program implementation proceeded as intended and helps identify implementation barriers and necessary changes to the original service delivery model. Information of participant and staff satisfaction serves as an important program improvement tool but is not a sufficient indicator of a project's ultimate success. (James Bell Associates, 2009)

Outcome Evaluation Data Sources

It is important to note that, while student performance data is often used in outcome evaluations in education, the measure is used as an indicator of whether the **program** is doing its job. The evaluation is of the program's effect on student performance, not of the student performance itself. Student performance outcome data is required to be collected for the federal evaluation of this program. Those data elements include 1st and 4th Quarter grades, current year State test scores, demographic data and teacher survey data. This data is reported in the aggregate for federal evaluation compliance in the online data collection interface known as the Profile and Performance Information Collection System or PPICS. While the data exists somewhere at the student level in order for the aggregated data to be entered, not all program evaluators have access to the **student level data**, i.e. data on students using a unique identifier for analysis purposes by individual student. The PPICS information that is entered is not as useful for the state level and local level evaluations as it could be if it were available at the student level. In addition, evaluator access to the student level data varies from context to context. While acceptable for the purposes of a national evaluation, both state level and local level evaluation would be strengthened by the ability to associate participation in specific program activities with student performance.

Local evaluators may find it helpful to include individual student level data in their evaluation designs to inform their particular local program evaluations. As elsewhere in this manual, it is recommended that you incorporate the collection and use of this data in your evaluation plans if it would inform your local program's objectives. Keeping in mind that student performance data is a measure of program success, the following is a summary of those data elements and summary statements regarding some local evaluators' assessments of their usefulness.

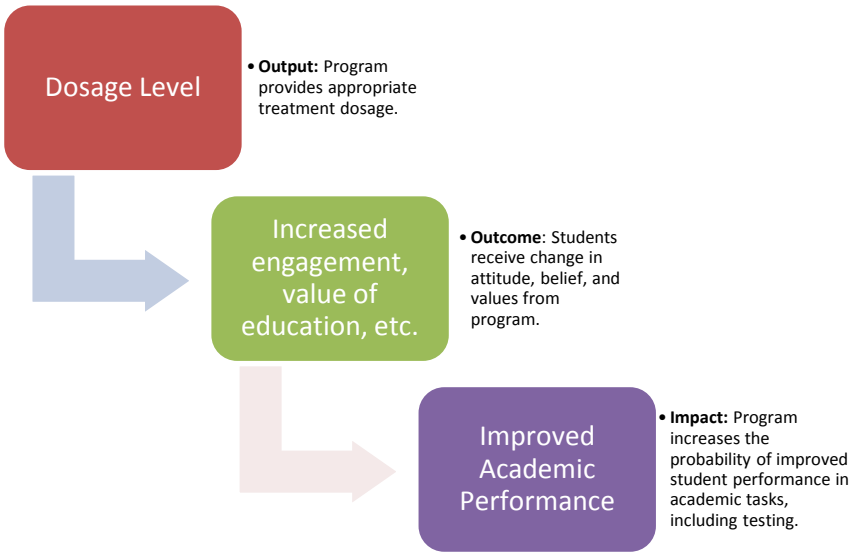
- ***Student Level Attendance by Activity Category Data** – Recommended for local evaluation use but not required. This data would help inform the specific causal links of program activities to student outcomes at the local level. This data could be cross-analyzed with student performance data on individual students to answer an important question. Evaluation Question: Did levels of time in activity type have an effect on levels of student performance? Student level performance data would also need to be available for such an analysis. (*All evaluators who were asked thought this data would be extremely useful but had serious concerns about how to collect and report accurately in some contexts*.)
- **Student Level Demographic Data** – Recommended for local evaluation use but not required. This data would inform the attribution of program effect size to specific sub-populations of students. Evaluation Question: Does this program (or program activity) have greater effect on certain student population sub-groups? *(Most evaluators who were asked thought this would be useful and reasonable to collect at intake on all students. This information is required to be reported by grantees in the aggregate- not at the student level - in the APR/PPICS)*
- **Student Level Report Card Data** – pre/post – No recommendation offered regarding this data source. *(Many evaluators who were asked reported they would not find it to be particularly useful to inform their local evaluations. Aggregated report card information- not the actual student level report card grades by unique student identifier - is required to be reported by grantees in the APR/PPICS)*
- **Student Level State Test Score Data** – pre/post – No recommendation offered regarding this data source. *(Most evaluators who were asked reported that pre/post test score data was a lagging indicator and would probably not show much improvement after one year of participation. Some evaluators reported they are able to collect this longitudinally over several program years and find it to be very useful at the local level. Current year only aggregated State test score data is required to be reported in the APR/PPICS)*
- **Student Level School Discipline Data** – pre/post – Recommended for local evaluation use but not required. Because attitude and behavior change is most often reported as a precursor to improved school performance, this data could act as one of the indicators of interim outcomes. Evaluation Question: Does attending this program change student inter-social behavior? Does attending this program positively affect students' value perceptions regarding education and learning? *(Most evaluators who were asked reported it would be useful to measure changes in student behavior using this data. Some evaluators who were asked said they would not find it useful because not enough students have discipline data and/or it is too difficult to collect in some districts, e.g. NYC)*
- **Student Level School Attendance Data** – pre/post – Recommended for local evaluation use but not required. Because attitude and behavior change is most often reported as a precursor to improved school performance, this data could act as one of the indicators of interim outcomes. Evaluation Question: Does attending this program positively affect students' value perceptions regarding education and learning? *(Some evaluators who were asked thought school attendance data was not particularly informative in measuring student engagement in school. Others thought this would be useful data to collect)*

- **Student Level Teacher Survey Data** – pre/post – Recommended that local evaluators modify required teacher surveys (for the APR in PPICS) into a pre/post student-level measure but not required. This data would provide a set of measures of interim outcomes on student engagement; valuing of school/education; social emotional development. Evaluation Questions: provides some data on all as listed above.(*Grantees are currently required to collect teacher surveys as a retrospective post only measure and report results in the aggregate in the APR/PPICS)*

**A Note About Attendance by Activity Data*

Student level attendance by activity data is included here among outcome data sources but differs from the other student outcome data because it measures the level and type of **dosage** a student has received. This is actually an **output** of the program activities rather than an **outcome**. Outputs are shorter term and should be able to be used to predict longer-term outcomes.

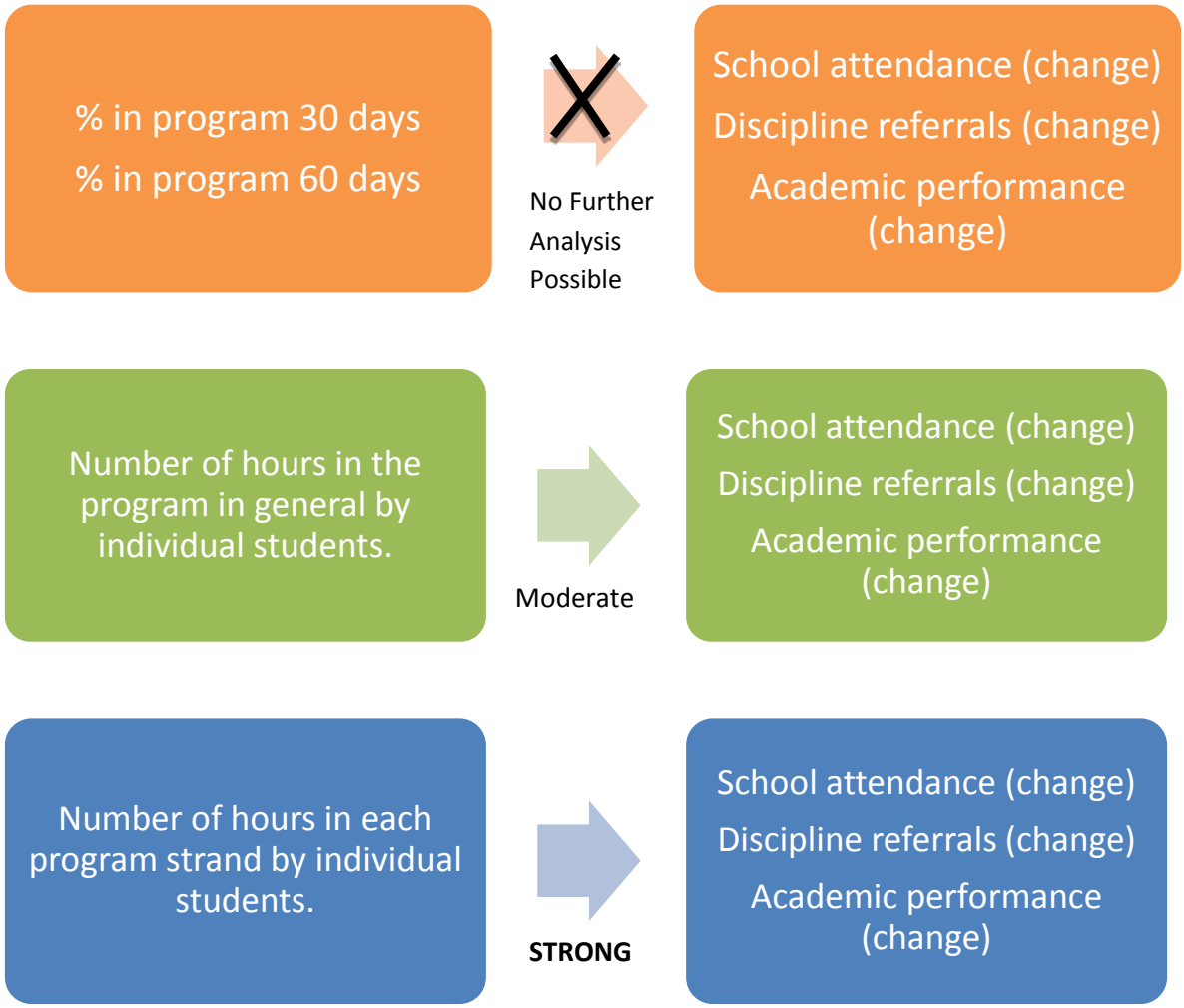
Moving from Output to Outcome to Impact: A Sequence of Program Effect



Grantees are only required to keep track of student level program attendance in terms of program attendance days because only data for those students attending for 30 days or more are reported in the PPICS. While grantees keep track of student level attendance data for each student, they are not required to report this attendance data at the student level in that system. They do not report any student-level data in that system. Because of the high potential for analysis that can provide program quality as well as program effectiveness information using this more specific data, grantees are encouraged to take attendance in each activity and to record the time each student spends in each activity. Evaluators are encouraged to use such student-level attendance by activity data in their local evaluations but it is not a State-level requirement at this time.

The following graphic depicts the analytic strength of one set of the data elements collected and as reported in the PPICS system. The strength of any data element is directly related to its function in an analysis of program short-term, interim or long-term effects. As the graphic shows, the information as reported in the PPICS has no potential strength for the local program evaluation or for the state level evaluation. However, the same data elements collected to be able to summarize their information for the PPICS are assessed as providing moderate analytic strength if they are linked to individual student outcome data within the evaluation's analysis before being aggregated by student sub-group, for example, for reporting purposes. The strength of the data would also increase from moderate to strong if the data can also be used to inform program quality improvement when allowing the evaluator to test cause → effect relationships by individual program components, thus also influencing the potential of the program to achieve its interim and long-term results.

Analytic Strength of Data Elements by Program Analysis Function



A Note about a 'Program Day'

New York State follows the 21st CCLC legislative intent of a minimum of 90 hours per year (30 days per year for three hours per day) as the requirements to be defined as a regular participant. Project Directors should have a plan to keep student attendance by time in each activity to meet or exceed the minimum of 90 hours during a program year. While 30 or more days at 3 hours per day is ideal, programs may use alternative scheduling models to meet the 90 hour minimum requirement. For example, a student might participate during and after school for 45 days per year at 2 hours per day, or in a summer program for 20 days per year at 4.5 hours per day. Programs choosing to utilize the 21st CCLC program to expand learning time by a minimum of 200 student contact hours per year in a Priority School must be sure to document procedures for monitoring program attendance during the school day.

Please remember that grantees are required to enter aggregated data on students who participated in the program for 30 days or more as part of the compliance reporting in the APR/PPICS for the federal evaluation.

Short-term Student Outcomes Survey (SSOS)

Beginning in the 2013-2014 program year, the NYSED began requiring the use of the Short-term Student Outcomes Survey (SSOS) which appears in **Appendix 6**, to be administered annually to student participants of a stratified sample of New York State programs annually. [**Please note that questions targeted at more mature students are highlighted in yellow in the appended copy. Evaluators may delete those questions from the survey if inappropriate to their student participant population**.]The Short-term Student Outcomes Survey data collected from sample programs each year is intended to inform the statewide evaluation on some key indicators of the short-term effects of this program on students. Data from this survey may also be informative to local program evaluations when used in combination with other data elements to inform grantees about student outcomes related to local program outcome objectives. For a discussion of the decision to use this survey please refer to **Appendix 5**.

Local program evaluators of programs that are part of the stratified sample each year are required to administer the Short-term Student Outcomes Survey to all participants in grades 4 through 12 who are in attendance on the day of the survey administration. The survey is anonymous, meaning students will not be asked to put their names on the survey; therefore student-level data will not be generated from this survey. However, there is a question on the survey asking the student to report the number of days he/she has attended the program, providing a built-in comparison group for analysis between those who came, for example, for more than 30 days and those who came for less than 30 days. For grantees who keep track of the number of hours students attend, which is recommended, there is another question on the survey asking for participation hours to be provided if that information is available from

the person in charge. Number of hours of attendance is a more accurate indicator of the dosage level than number of days.

Also included in **Appendix 6** are parent consent and student agreement forms and directions for the administration of the SSOS. Program evaluators whose programs are part of the stratified sample each year are to administer the survey in May or June and submit completed surveys to the statewide evaluator by June 30th. If computer access is available for the students the survey can be completed on-line if arrangements are made in advance with the statewide evaluator. Analysis will be performed by the statewide evaluator and individual program data analysis and statewide analysis will be reported back to each grantee in the sample.

The NYSED is requiring all other evaluators of programs that are not part of the stratified sample each year to administer either the SSOS or a student survey of their choice that measures similar self-reported changes in social-emotional attributes of participants. Programs that are not part of the stratified sample each year are not required to report this survey data to the statewide evaluator. Instead they are to incorporate the results into their local evaluation reports. Many evaluators have reported the use of other survey instruments that they have found to be very informative for their local evaluations and they are encouraged to continue using them.

Section Four

Communicating Findings for Optimum Utilization

The local program evaluator's ongoing relationship with the grant administrators and all key program stakeholders is critical for optimum utilization of evaluation findings. Program administrators should be advised that evaluation is not something that is done to them but with them. With that in mind, evaluators should communicate with program managers on a regular basis. Exactly how each evaluator does this is up to the individual program and should be clearly articulated in the evaluator's contract.

Quarterly Advisory Meetings

New York State is requiring that grantees have quarterly advisory meetings which would include the evaluator in attendance. These are great opportunities for the evaluator to give updates on how the evaluation is progressing and any options or suggestions for program improvements that have come to light as a result of evaluation activities up to that point. These advisory meetings are not only an opportunity for the evaluator to share evaluative information with stakeholders; it is also an opportunity for the evaluator to evaluate the strength of the partnerships and community collaboration through observation of the following, for example:

1. Noting what partners are present at the meetings,
2. Noting what level of personnel from the partner or community organization attends (are they organizational decision-makers, mid-level administrators or program delivery personnel),
3. Noting the topics that are discussed, including the levels of engagement in any discussions held, and
4. Recording the decisions that are made and levels of agreement with each decision.

This is an important aspect of the local evaluation that needs to be addressed by local evaluators of this program in order to adequately address New York State's Sub-objective 2.3, Community Involvement: ***Centers will establish and maintain partnerships within the community that continue to increase levels of community collaboration in planning, implementing and sustaining programs.***

While the evaluator is required to attend these advisory board meetings, it is important to remind evaluators that they are not a voting member of the advisory group because they are external evaluators, not internal evaluators. It is advised that advisory meetings take place quarterly in July/August, November/December, February/March, and May/June annually.

Formal Reporting on Local Evaluations

New York State is also requiring evaluators to provide grantees with two narrative reports, one Interim Evaluation Report and one Annual Evaluation Report each year. Evaluation first and foremost should be useful to the program managers at all levels of the system. At the local level, if ongoing communication is maintained on a regular basis, there should not be too much information contained in the written reports that is unexpected. Ongoing formal (monthly or bi-monthly written or verbal reports on evaluation progress, as well as annual reports at both the program year mid-point and end-points), and informal communication with the grant and program administrators is expected of all local program evaluators regarding what evaluation activities are taking place and when, the purpose of those evaluation activities and what has been learned as a result of those evaluation activities.

The Interim Evaluation Report should be provided to the program director by February or March of each program year. This narrative report should provide evidence of progress being made toward meeting program objectives and implementation issues such as fidelity to the program design as described in the proposal for funding, the degree to which the program is reaching its target population and any implementation barriers the evaluation has uncovered. It should include recommendations for addressing any issues or concerns that are reported. The Interim Evaluation Report is a critical way for evaluators to formally notify grantees about whether they are 'on the right track' regarding the process or implementation of their program and the probability of achieving their stated interim and long term results. Based on this evaluative information, any necessary mid-course corrections can be made by the grantee for program improvement.

The Annual Evaluation Report should be provided to the program director by August 31st each year. The program director will be required to share this report with the state management team. The program funding cycle starts on July 1st and ends on June 30th. As a result, the local evaluator has the months of July and August for the data analysis, interpretation and writing of the report. Because evaluative information for grantees needs to be timely to be useful, this report will enable grantees to incorporate recommendations for the following program year. The Annual Evaluation Report narrative should include additional implementation findings, including follow-up on the status of proposed program adjustments from the Interim Evaluation Report and a summary of findings from the second annual site visit observation using the OST Observation Instrument or another pre-approved instrument of choice. The Annual Report's primary function is to present findings on the degree to which program objectives, both the implementation objectives and the outcome objectives were met. This report should include the methodology used in the study, the findings of the data analysis and interpretation, and any recommendations or conclusions that are pertinent. For example, if any objectives were not met, there should be a discussion to inform program management of the suspected reasons and possible options for the grantee to consider that could help the program meet the objective(s) in the subsequent year. If there were additional evaluation questions that the grantee was interested in answering, these should be addressed as well. Evaluators should supply all supporting evidence for any conclusions or recommendations.

While most student data should be available by August following the program year which ends on June 30th, there may be some data that is not available until September. In instances where some student data is not available until September, it is recommended that the data analysis for that data be appended to the report at a later time. If, for example, the analysis of State test score data is required as part of the local evaluation, then the evaluator may need to append the analysis of that data to the report after the assessment data becomes available. While aggregated State test score data is required for reporting in the APR/PPICS for the federal evaluation, it is not required to be reported as part of local program evaluations. Based on feedback from evaluators from across the state, and the research in general, test score data is not particularly informative, even if collected as a pre/post measure (the APR only collects current year test data) as changes in test scores is usually a lagging indicator requiring more than one year for expected changes to occur. However, some evaluators report that they analyze test score data longitudinally, over several program years and report that this data is informative when measured at the student level over time.

A Final Word

Evaluators in need of technical assistance to adequately provide their clients with the required services can contact the statewide evaluator for assistance and guidance at any time. Evaluators should contact the NYSED manager for the state evaluator's contact information.

Appendices

APPENDIX 1 – EXCERPT FROM TITLE IV PART B, 21ST CENTURY COMMUNITY LEARNING CENTER FEDERAL LEGISLATION

APPENDIX 2 – NEW YORK STATE'S OBJECTIVES AND SUB-OBJECTIVES

APPENDIX 3 - CLARIFICATION OF TERMS - GOALS, OBJECTIVES, PROGRAM AND PERFORMANCE-BASED FRAMEWORK

APPENDIX 4 – LOGIC MODELING PROCESS DECONSTRUCTED

APPENDIX 5 – REASONING THAT PROMPTED USE OF THE NEW YORK STATE STUDENT OUTCOMES SURVEY

APPENDIX 6 - SHORT-TERM STUDENT OUTCOMES SURVEY, PARENTAL CONSENT FORMS, STUDENT ASSENT FORMS AND ADMINISTRATION INSTRUCTIONS

APPENDIX 7 - PROGRAM DESIGN TEMPLATE EXAMPLE PROGRAM

APPENDIX 8 – PROGRAM DESIGN TEMPLATE (BLANK FOR REPRODUCTION)

Appendix 1

Excerpt from Title IV Part B Federal Legislation

Part B — 21st Century Community Learning Centers

SEC. 4201 | SEC. 4202 | SEC. 4203 | SEC. 4204 | SEC. 4205 | SEC. 4206

SEC. 4201.PURPOSE; DEFINITIONS.

(a) PURPOSE- The purpose of this part is to provide opportunities for communities to establish or expand activities in community learning centers that —
(1) provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet State and local student academic achievement standards in core academic subjects, such as reading and mathematics;
(2) offer students a broad array of additional services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students; and
(3) offer families of students served by community learning centers opportunities for literacy and related educational development.

SEC. 4205.LOCAL ACTIVITIES.

(a) AUTHORIZED ACTIVITIES- Each eligible entity that receives an award under this part may use the award funds to carry out a broad array of before and after school activities (including during summer recess periods) that advance student academic achievement, including —
(1) remedial education activities and academic enrichment learning programs, including providing additional assistance to students to allow the students to improve their academic achievement;
(2) mathematics and science education activities;
(3) arts and music education activities;
(4) entrepreneurial education programs;
(5) tutoring services (including those provided by senior citizen volunteers) and mentoring programs;
(6) programs that provide after school activities for limited English proficient students that emphasize language skills and academic achievement;
(7) recreational activities;
(8) telecommunications and technology education programs;
(9) expanded library service hours;
(10) programs that promote parental involvement and family literacy;
(11) programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement; and
(12) drug and violence prevention programs, counseling programs, and character education programs.

(b) PRINCIPLES OF EFFECTIVENESS-

(1) IN GENERAL- For a program or activity developed pursuant to this part to meet the principles of effectiveness, such program or activity shall —
(A) be based upon an assessment of objective data regarding the need for before and after school programs (including during summer recess periods) and activities in the schools and communities;
(B) be based upon an established set of performance measures aimed at ensuring the availability of high quality academic enrichment opportunities; and
(C) if appropriate, be based upon scientifically based research that provides evidence that the program or activity will help students meet the State and local student academic achievement standards.

(2) PERIODIC EVALUATION-
(A) IN GENERAL- The program or activity shall undergo a periodic evaluation to assess its progress toward achieving its goal of providing high quality opportunities for academic enrichment.
(B) USE OF RESULTS- The results of evaluations under subparagraph (A) shall be —
(i) used to refine, improve, and strengthen the program or activity, and to refine the performance measures; and
(ii) made available to the public upon request, with public notice of such availability provided.

The Federal Government Performance and Results Act (GPRA) Indicators/Measures:

1. *Percentage of regular program participants whose math/English grades improved from fall to spring.*
2. *Percentage of regular program participants who meet or exceed the proficient level of performance on State Assessments in reading/language arts and mathematics.*
3. *Percentage of regular program participants with teacher-reported improvement in homework completion and class participation.*
4. *Percentage of student with teacher reported improvements in student behavior.*
5. *Percentage of 21st CCLCs reporting emphasis in at least one core academic area.*
6. *Percentage of 21st CCLCs offering enrichment and support activities in technology.*
7. *Percentage of 21st CCLCs offering enrichment and support in activities in other areas.*

Appendix 2

New York State's 21st Century Community Learning Centers Objectives and Sub-Objectives

Objective 1 – Regular attendees in 21st CCLC programs will demonstrate educational and social benefits and exhibit positive behavioral changes

Sub-Objective 1.1 Achievement. Regular attendees participating in the program will show continuous improvement in achievement through measures such as test scores, grades and/or teacher reports.

Sub-Objective 1.2 Behavior. Regular attendees in the program will show improvement on measures such as school attendance, classroom performance, and decreased disciplinary actions or other adverse behaviors.

Objective 2: 21st CCLCs will offer a range of high quality educational, developmental and recreational services for students and their families.

Sub-objective 2.1 Core educational services. 100% of Centers will offer high quality services in core academic areas, e.g., Reading and literacy, mathematics, and science.

Sub-objective 2.2 Enrichment and support activities. 100% of Centers will offer enrichment and support activities such as nutrition and health, art, music, technology, and recreation.

Sub-objective 2.3 Community Involvement: Centers will establish and maintain partnerships within the community that continue to increase levels of community collaboration in planning, implementing and sustaining programs.

Sub-objective 2.4 Services to parents: 100% of Centers will offer services to parents of participating students.

Sub-objective 2.5 Extended hours: More than 75% of Centers will offer services at least 15 hours a week on average and provide services when school is not in session, such as during the summer and on holidays.

Appendix 3

Clarification of Terms - Goals, Objectives, Program and Performance-based Framework.

Excerpt from Functional Evaluation Guidelines, ©Research Works, Inc., 2009. Used by permission.

Program goals and objectives are a foundation of the grant funded universe in education. Beginning in the last two decades of the Twentieth Century, these terms as applied in Education have suffered from 'multiple definition'. 'Multiple definition' is a situation where there are at least two definitions of a single term being used in the same system, usually occurring because some users of the terms carry forward a past definition, and other users apply newer ones. In Education specifically, the earlier definitions of goals and objectives were based in educational psychology, which began in the early 20th Century, and was formalized with the publication of Bloom's Taxonomy of Educational Objectives, the First Handbook of which was published in 1956.

Thus, in the latter half of the Twentieth Century, **objectives** were defined and applied as noted here by the *International Dictionary of Education*[3], thus:

> In curriculum development, educational psychology or educational technology the term is normally synonymous with behario(u)ral objectives, that is, specific statements of observable behario(u)r which a learner displays. (p. 247)

During the same period, **goals** were linked in their definition as:

> In curriculum development goals are either high-level generalizations (aims) or specific statements of behavior(u)r which students are expected to display (objectives). (Ibid., p. 149)

Definitions of goals and objectives that migrated to Education from business/organizational management began to be used in the late 1980's. Application of business definitions which differ considerably from the earlier psych-based definitions has confused things somewhat in Education in general, and in the design and evaluation/measurement of education-based programs.

[3]G. Terry Page and J.B. Thomas, 1977, *International Dictionary of Education.*Kogan Page, London/Nichols Publishing Company, New York.

A **goal in the business universe** is a 'desired result a person or organization envisions, plans for and commits to achieve'[4]. In education-based books and articles from the 1990's and later, we are asked to make sure goals follow the SMART System (for example), where goals are Specific, Measureable, Attainable, Realistic and Timely. This has meant that the **difference between goals and objectives has become less clearly defined**. For example, one definition of objectives states that they are 'goals that are reasonably achieved within an expected timeframe and with available resources'[5]. Other business/organizational based definitions reviewed lump together goals, objectives and targets.

Why is sorting these terms and their use important to us here? Enter the performance-based (or results-based) system now being implemented throughout the public sector in the US, including in the area of Education. The performance-based system is meant to be applied without prejudice throughout the public system and is therefore generic. That is important because the performance based system we are using has come to Education rather than having been developed from within it. The definitions that this system uses for goals and objectives are those drawn from the business/organizational management sector. ***Our first point is that, within the Education sector, the move to a performance based (or results based) environment means that goals and objectives, as traditionally defined, are no longer viable in program design, program management and program evaluation.***

This does not negate the concepts of traditionally defined goals and objectives as important and necessary to any Education program; it is just that to be functional, and thereby useful to project management, evaluation has to adopt the monitoring system's definition of terms and their different perspective. This has resulted in some managers within the Education system assuming that this change in definition is something evaluators do, rather than something evaluators can help them to cope with. ***Our second point is that to clarify the use of terms we recommend that you explain this to your clients and then to adopt the referent vocabulary of Program Logic Models, as explained below, thus replacing the terms 'goals' and 'objectives' with other, perhaps less confusing, terms.***

Performance-based Program Design – The Logic Model

The other definition that has changed in this new environment is the definition of the term **program.** In Education, a program has been (and is usually still) defined as: (1) A curriculum or combination of courses in a particular field of study; (2) An instructional sequence; or (3) A plan of procedure or events. (*International Dictionary of Education,* p. 274). Perhaps the 21st Century Programs have most widely used the third definition in their program design and delivery. Compare this to a definition of program from within the same business/organizational context and from which the performance based system draws its definition of a program: A program is a plan of action aimed at accomplishing a clear organizational objective, with details on what work is to be done, by whom, when, and what means or

[4] Wikipedia, downloaded July 11, 2011.
[5] www.businessdictionary.com/definition/objective.html, downloaded July 11, 2011.

resources will be used[6].***Logic modeling was developed to help the public sector to transition their program designs to this new definition of what constitutes a program, and to incorporate the performance based (or results based) requirements being set in place by public sector funding mechanisms, include benevolent funding sources.***

Although originally developed to clarify and support performance based program design, in circumstances where a logic model was not used during the design phase, evaluators can apply the technique to already designed, and even already operational programs in order to support efficient and effective program management and fair and reasonable measurement of the program's implementation and impact. In this case, the purpose of the program logic model is to take the program narrative, goals and objectives and to transform them to a performance based (results based) framework. The logic model should not change anything about what the program is designed to accomplish, it is a tool to map the program as designed into a performance based framework so that the meaning of the term 'performance based' is clearly obvious to program management and to the evaluator.

[6]From http://www.businessdictionary.com/definition/program.html.Downloaded July 11, 2010

Appendix 4

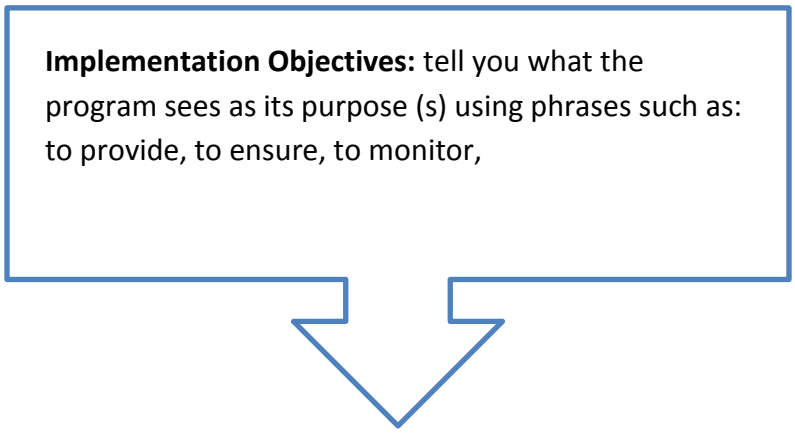
The Logic Model Process Deconstructed

Excerpt from Practical Applications of Logic Models to Program Evaluation, ©Research Works, Inc., 2010. Used by permission.

Logic Model Parts

The following is a discussion about a simple logic model framework. It should be all that an evaluator needs even if you have no experience working with a logic model. For those wanting to find more complex templates and different approaches to the task, there are numerous books and articles on logic modeling. For books we recommend you start at Sage Publishers, as they publish a wide range of program evaluation texts.

Implementation Objectives: tell you what the program sees as it purpose(s): to provide, to ensure, to monitor, etc.



Start with the Implementation Objectives (I/O)

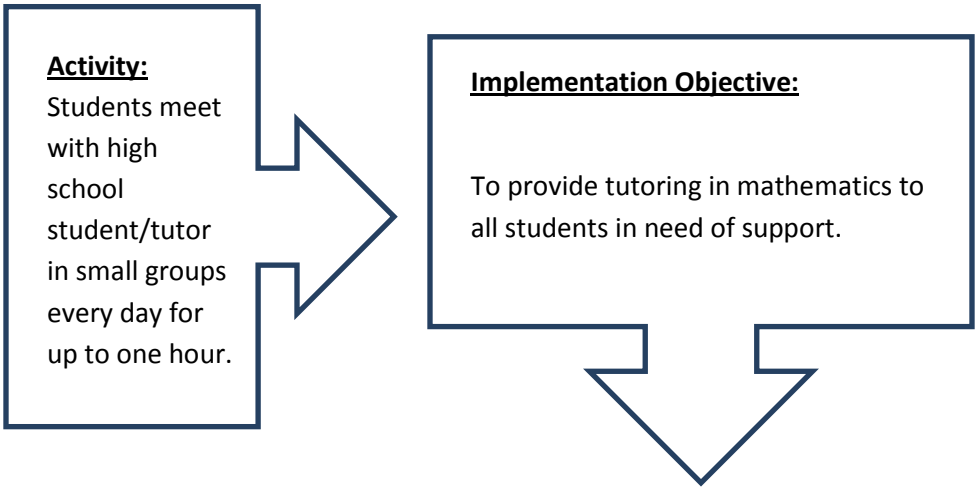
Implementation Objectives are statements of what the program activities are designed to do. For example, a program with activities focused on participants receiving academic support in mathematics might have this Implementation Objective: to provide tutoring in mathematics to all students in need of support. And yes, this was probably a goal or an objective in the original grant application. This is

where we find program delivery staff and program managers are most comfortable. In performance based (results based) program design (logic modeling), the intent to implement is not a result.

Then Identify the Activities to Achieve this I/O

Most of the proposed program activities can be found in the program narrative in the grant application. Programs are asked for their assessment of needs to be addressed by the program and then for a description of the things they will do to address these needs. Those things are most often the program activities, although they can be quite general in the grant application.

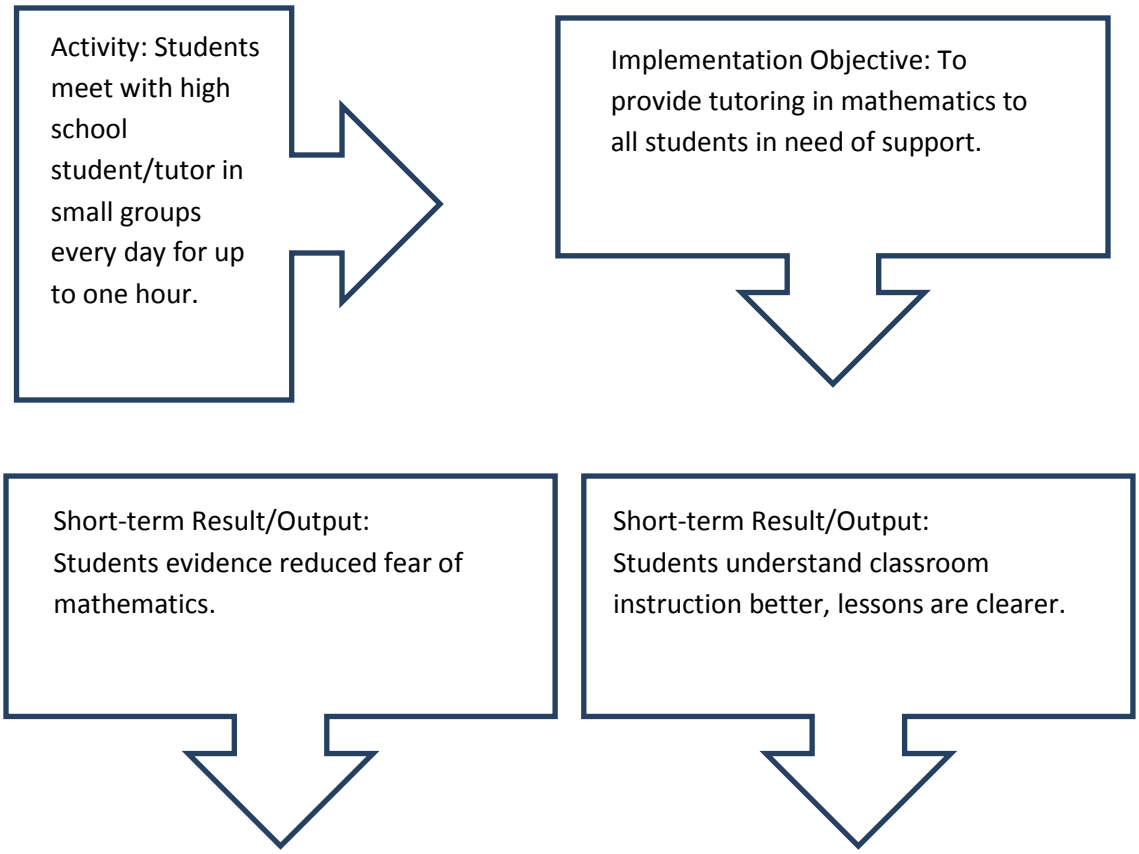
For example, the narrative might identify mathematics test scores as low (hence the I/O above) and that they will address this through the provision of 'academic support'. When you meet with the program team, which should include key program stakeholders, they will most probably have a plan to provide this support. Your job is to get them to articulate that plan, including intensity and duration of the intervention, i.e., ask them what activities, delivered by whom, how often and for how long each time. This information goes into the model as Activities.



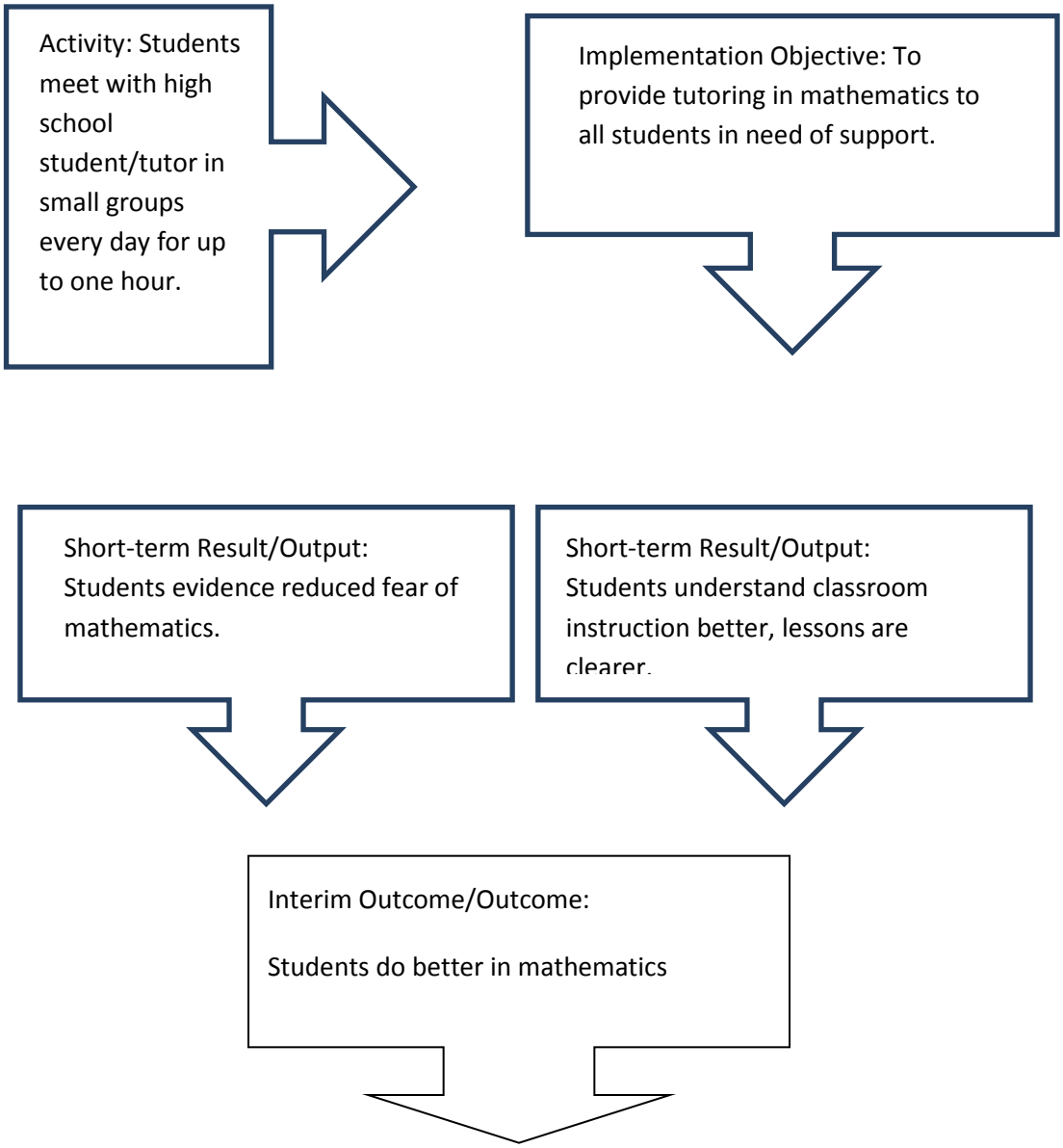
Then Get to Results

Okay, you are going to provide tutoring support in mathematics using high school students trained in academic support/tutoring, in small groups, every day for up to one hour. Next question is: So what? What does the program staff think is going to happen because of this activity? This is usually the point where the staff looks at you as though you are crazy, but persevere. Make them say it! They have to articulate the **cause → effect** assumptions they make about their program. They will probably get to things like: so students will do better in math; so students understand what is going on in class; so students get over their fear of math; to support them because their parents can't/won't/don't; etc. All valid, all good, and all the basis of results statements.

Here is where you get to the progressive aspect of outcomes/results. This is something evaluators can take for granted and program staff may know but may not have thought about. Results are time-keyed, with some happening first, others waiting to happen until that first level of result is achieved, and so on. So, which comes first, that students do better in math or that they understand better what is going on in class? That students do better in math or that they get over their fear of math? Perhaps the progression of outcomes/results looks like this:



The basic logic model appears below. There are Long-term Outcomes as well, often called Impacts. These are life-changing results, which improve the life chances of the participants in any program. That makes them really quite impossible to measure directly. What we do is ensure that we have identified Short-term and Interim Results that give us evidence of a high probability of the final achievement of those Long-term Results/Impacts.



This is the basis of the logic model. As you can see, you are combining what was said in the grant application, with what the program team are planning to do but did not put in the application.

Understanding Indicators and Evaluation Measures of Effect

The next step is to have the stakeholder team identify what proof they will accept that the Short-term and Interim Results have been achieved. These proof statements are called 'Indicators'. The State and federal evaluations are more interested in the Interim Results/Outcomes and have no real interest in receiving reports of individual programs' indicators of their Short-term Results/Outputs. The State and federal evaluations have identified their indicators of the Interim Result/Outcome, which is not to say theirs is the only one possible. Theirs is the one you have to 'report out'. As a rule of thumb, for every

result statement there are at least two, no more than three, indicators, one of which should be qualitative. Each indicator has an identified 'Measure'. Sometimes evaluators combine the indicators and measures into single statements, which are fine, but we recommend if you are new to this to keep them separate while you and your program staff learn how to use these things.

Examples of Indicators for the Short-term and Interim Results we have listed, with possible measures:

Students' evidence reduced fear of mathematics. Indicator: students say they are starting to like math and enjoy the work; students show signs of less stress and more engagement in math work. Measures: (1) recorded exchange with student regarding attitude towards mathematics; or survey of students based on math aversion items from standardized measurement instrument; or observation of student 'calm' during math sessions.

Students understand classroom instruction better. Indicator: students say they understand what is happening in math class; students' explanation of what they are doing in math class improves in its clarity and specificity; classroom teacher reports that student seems more 'with it' in math class. Measures: recorded exchange; recorded observations; teacher surveys/interviews/feedback forms.

Students do better in mathematics. Indicator: improved test scores; improved feedback on homework or in class assignments; improved report card grades; student self-report; teacher perception report; flattening of otherwise falling performance. Measures: tests; report cards; review rubric for homework and assignment scoring; teacher survey/interview/log.

In Conclusion

This is not rocket science, as they say. It is a process that should HELP your programs to transition their design, and how they think about what they are doing to the new criteria for success and continued funding. It is not a free pass for the evaluator to redesign their program, exert undo pressure on the program for data around what you think should be studied, or to use the portion of their budget you are being paid to do anything other than evaluate their program for them.

Some important things to keep in mind when transforming 'traditional' program designs into logic models:

- Don't waste time looking for one-to-one equivalence: goals are not necessarily long-term outcomes, for example, some are, and some are not.
- Some clients like watching the transformation, some are confused by it. It may be helpful to start the process ahead of time and show the client a partially completed logic model of their program and then enlist their help in filling in the rest – easier when they have some examples of what things mean already done. It may also be helpful to provide large sheets of paper and post-it notes so things can be moved around the logic categories.
- Remember that logic models are living documents, not set in stone parameters for any program. It is recommended that you revisit the logic model every year so you can include the morphed activities or additional implementation objectives that always crop up during implementation when the program design meets the real world.
- Logic models help with some additional trouble-shooting responsibilities of evaluators listed below.

- Logic models can identify if there are Implementation Objectives, or Results the program has in mind for which no supporting activities have been planned. It is rather surprising how often this happens. When such gaps are identified, it can alert the evaluator and the stakeholders not to attempt to measure a 'goal or objective' which has no hope of being achieved because everyone (including you) has overlooked the activities needed to achieve them.
- Logic models give the program managers and program delivery staff a way of following the evaluation's measurement of their achievement of things that they are concerned with, but not always focused on.
- The evaluator's role here is to keep it clear, keep it relevant, and keep it oriented towards the achievement of the excellence all stakeholders want for their program and its participants.

Appendix 5

Use of the Student Outcomes Survey

If you ask program directors, site coordinators and activity leaders whether 21st CCLC programming has a positive effect on students, they often will enthusiastically provide anecdotal evidence of how the program changed little Mary's or Johnny's life. They will also usually add that the data that is collected in the APR/PPICS (report card grades, test scores) is not a good measure of student outcomes. They often report that something else is going on. They might say that someone has become more confident, feels better about herself, has a more positive view of the future, has become more able to self regulate his feelings, is starting to try harder in school, etc. Local evaluators have also reported that they have collected qualitative data, through student interviews or focus groups that provide evidence of positive changes in students as a result of their participation in the 21st CCLC program. These types of changes are included in the realm of social-emotional learning (SEL) and are among the types of changes in attitude that many local evaluators have been measuring to inform their local evaluations. Since the collection of such qualitative data is not practical on a statewide basis, it was determined by the statewide evaluators that a survey given to all participants could be an effective measure of some of the social emotional development that local evaluators and program staff have either observed or measured at the local level. It was also reasoned that if time in the program, or 'dosage', can be collected on the same Short Term Student Outcome Survey, a built-in comparison group could be provided to the statewide evaluation for analyzing differences in outcomes based on participation time. The self reported social emotional changes the Short Term Student Outcome Survey measures are changes that the research says can lead to behavior changes that this program is hoping to achieve, such as improved behavior and school attendance, and eventually improved academic performance. Those types of improvements in student behavior, the research says, and local evaluators across New York State have reported, oftentimes leads to improved academic outcomes using such indicators as grades, test scores, graduation rates, etc., perhaps over the course of several succeeding years. Some have posited that looking for such changes as higher test scores after just one year of participation may be pre-mature as such changes are often lagging indicators.

> *Elias et al. (1997) defined SEL as the process of acquiring core competencies to recognize and manage emotions, set and achieve positive goals, appreciate the perspectives of others, establish and maintain positive relationships, make responsible decisions, and handle interpersonal situations constructively….Over time, mastering SEL competencies results in a developmental progression that leads to a shift from being predominantly controlled by external factors to acting increasingly in accord with internalized beliefs and values, caring and concern for others, making good decisions, and taking responsibility for one's choices and behaviors (Bear & Watkins, 2006)….these components promote personal and environmental resources so that students feel valued, experience greater intrinsic motivation to achieve, and develop a broadly*

applicable set of social-emotional competencies that mediate better academic performance, health-promoting behavior, and citizenship (Greenber et al., 2003)

(Durlak, January/February 2011 Vol. 82 Number 1)

Those SEL competencies referred to above may also lead to better academic performance. A meta-analysis involving 213 studies involving 270,034 students that looked at the effect of SEL programming on students' found that for students exposed to such programming, their SEL skills, attitudes, and positive social behaviors following the intervention improved more than those in the control groups. Another finding from this study which included looking at a small subset of studies for which there was academic performance data available on the students found an 11-percentile gain in academic performance. "Results from this review add to a growing body of research indicating that SEL programming enhances students' connection to school, classroom behavior, and academic achievement (Zins et al., 2004) Educators who are pressured by the No Child Left Behind legislation to improve the academic performance of their students might welcome programs that could boost achievement by 11 percentile points." (Durlak, January/February 2011 Vol. 82 Number 1)

Appendix 6

Student Outcomes Survey, Parental Consent Forms, Student Agreement Forms and Administration Instructions

Student Outcomes Survey

Based on a Survey Developed by the Colorado Trust:
After-School Initiative's Toolkit for Evaluating Positive Youth Development

Using the Student Outcomes Survey

New York State Evaluators for the 21st Century Community Learning Centers have met with program providers and evaluators from across the state to learn about some of the short term outcomes, such as changes in attitude and behavior, that have been observed and in some cases measured, as a result from participation in 21stCCLC programming. Because these types of changes in attitude and behavior have been linked to increased engagement and performance in school, New York State is interested in collecting information about such perceived changes in the after- school participants.

Who can take the survey?

Youth in fourth through twelfth grade who participate in a 21st Century Community Learning Center program should take the survey. For youth in fourth and fifth grades, or youth in any grade who may have difficulty reading, it will be necessary for the administrator (program evaluator) of the survey to read the questions aloud**, including reading the lead-in phrase each time.**

***Obtain consent from parents/guardians and assent from youth*.**

The consent/assent forms are designed to protect evaluation participants by informing them of their rights as well as any risks and benefits that may accompany their participation. Program staff must have a signed consent and assent form for each participant. Forms are attached.

What are the rights of the participants?

All participants should be reminded that all their responses are confidential as described in the consent/assent forms. The only exception to this is if a participant shares information revealing they might harm themselves or others, then program staff must follow procedures that are legally mandated to report the information.

Participants must volunteer to complete the survey. Staff should stress the importance of program improvement that results in better after-school services.

Administration Procedures Checklist

	Determine Date of survey
	Send home consent/assent forms
	Collect consent/assent forms
	List participants who have returned forms
	Gather materials: survey copies, pencils, etc.
	Organize room and staff assignments for survey administration
	Administer survey
	Surveys are collected in ballot-style type of box to ensure anonymity

Survey Administration Method

Method	Grades 4-5	Grades 6-12
Administration Method	Read questions aloud to entire group while participants answer with paper and pencil.	Self-administered. Hand out in group setting.

Say to the participants:

"*Today you are taking a brief survey to help us improve our after-school program. Do not put your name any place on this paper. Your answers are anonymous, that means that no one will know which answer papers belong to you. You may answer any or all of the questions. We will use your answers to make changes to the activity selections in this after-school program. Return your completed survey to the box on the table in the front of the room."*

(Cover sheet for the Short-term Student Outcomes Survey provided to each student)

Dear Student:

Thank you for answering the questions in this survey. To help make the program better, we are surveying students to learn about their experiences and needs in relation to the program. This survey is voluntary-if you do not want to fill out the survey, you do not have to. However, we hope you will take a few minutes to fill it out because your answers could help improve this after school program.

Be sure to put the number of days you've attended this program. You will get that information from the person in charge. Do not put your name on this paper. Your responses will be anonymous which means that no one will know your answers. Please answer all of the questions as honestly as you can. If you are uncomfortable answering a question, you may leave it blank.

Remember-this is not a test. There are no right or wrong answers, and your answers will not affect your participation or status in the after-school program in any way.

Thank you for your help.

Here is a sample question.

Read the question and put a check under yes or no.

Question	**Yes**	**Kind of**	**Not Really**
Chocolate ice cream is better than vanilla ice cream			
Basketball is more fun than baseball			

Student Outcomes Survey

Based on a Survey Developed by the Colorado Trust:

After-School Initiative's Toolkit for Evaluating Positive Youth Development

Program Site: _____

Outcome	***Coming to this program has helped me to…***	**Yes**	**Kind of**	**Not Really**
Academic	Do better in school			
	Improve my grades in school			
	Try harder in school			
	Participate more in class activities			
	Become more interested in going to school			
	Care more about my school			
	Get along better with my classmates			
	Get along better with my teachers			
	Spend more time doing my homework			
Community Involvement	***Coming to this program has helped me…..***	**Yes**	**Kind of**	**Not Really**
	Feel more important to my community			
	Feel a stronger connection to my community			
	Feel better about myself because I help others			
	Spend more time volunteering or helping others in my community			
	Spend more time looking for opportunities to help others in my community			
Life Skills	***Because I came to this program….***	**Yes**	**Kind of**	**Not Really**
	I get along better with other people my age			
	I am better at making friends			
	I am better at telling others about my ideas and feelings			

	I am better at listening to other people			
	I work better with others on a team			
	I make better decisions			
	I am better at planning ahead			
	I am better at setting goals			
	I am better at solving problems			
	I am more of a leader			
	I am better at taking care of problems without violence or fighting.			
Positive Core Values	***Because I came to this program…***	**Yes**	**Kind of**	**Not Really**
	I care more about other people			
	I care more about the feelings of other people			
	I tell the truth more often even when it is hard			
	I am better at standing up for what I believe			
	I am better at taking responsibility for my actions			
Positive Life Choices	***Being involved in this program has helped me to…***	**Yes**	**Kind of**	**Not Really**
	Better say 'no' to things I know are wrong			
	Stay out of trouble			
	Avoid violence and fighting			
	****Being involved in this program has helped me to make healthier choices about…***	**Yes**	**Kind of**	**Not Really**
	Tobacco			
	Alcohol			
	Drugs			
	Sex			
Sense of Self	***Coming to this program has helped me to….***	**Yes**	**Kind of**	**Not Really**
	Feel better about myself			
	Feel that I have more control over things that happen to me			
	Feel that I can make more of a difference			
	Learn I can do things I didn't think I could do before			

	Feel better about my future			
	Feel I am better at handling whatever comes my way			
Sense of Future	***Coming to this program has helped me to…***	**Yes**	**Kind of**	**Not Really**
	Think about jobs or future careers			
	Think about college or other training after high school			
	Want to stay in school			
	Think about my future			
	Set goals for myself			
Opportunity	***Coming to this program has helped me to….***	**Yes**	**Kind of**	**Not Really**
	Try new things			
	Do things here I don't get to do anywhere else			
	Please complete the following:			
	Circle your gender	Male	Female	
	What grade are you in?	Grade:		
	For how many days have you attended this program? (Ask person in charge for this information)	Number of participation days: ____		
	If person in charge also can tell you the number of hours you have attended this program, please provide participation hours in the box to the right.→	Number of participation hours: ____		

*These questions can be deleted at the discretion of the evaluator if inappropriate for the student participant population of the program being evaluated.

After-School Survey Consent Form

(Name of Program) PROGRAM EVALUATION CONSENT

The After-School program that your child attends is evaluated each year to make changes that improve the quality of the program and demonstrate to New York State and the U.S. Government that after-school programs contribute to the well-being of our children. New York State is interested in knowing if the program participants are gaining positive youth development skills such as self-confidence, engagement in school, life skills, positive choices and positive core values.

With your permission, your child and others will be asked to complete a brief survey about what they think of the program and how going to the program has affected them. All responses are anonymous and will be kept confidential. The survey will include questions about the program as well as about your child's feelings about the program and some things coming to the program might have changed about them. Some sample questions are:

Because of coming to the afterschool program:

I get along better with people my own age.	Yes	Kind of	Not Really
I am better at making friends.	Yes	Kind of	Not Really
I try harder in school.	Yes	Kind of	Not Really
I make better decisions.	Yes	Kind of	Not Really

Your child's participation is strictly voluntary. Your child is free to refuse participation or skip questions. Participation in the survey is not required nor does it affect program attendance in a positive or negative way.

There may be some risk to your child. He/she may be embarrassed or uncomfortable to answer questions about self-esteem or personal behaviors. Your child's name will not appear on any survey form or report. All responses are confidential. The only exceptions to this are: if information is revealed concerning suicide, homicide, child abuse and/or neglect, the law requires that information to be reported to appropriate agencies. In addition, should any information in this survey be the subject of a court order or lawful subpoena, this program might be compelled to disclose the information.

If you have any questions about this survey or your child's rights, or if you wish to have a copy of this survey, please contact: _____

I have read and understand the above survey evaluation description. For things I do not understand, I have asked for and received a satisfactory explanation. I agree to have my child participate in this evaluation through _____(Provide appropriate date)

I understand that my child's privacy will be protected because my child's responses cannot be traced to my child.

Child Participant's Name (Print):_____

Parent/Guardian's Name (Print):_____

Parent/Guardian's Signature: _____

(If child has two legal guardians, both signatures are recommended)

Parent/Guardian's Name (Print):_____

Parent/Guardian's Signature: _____

Date: _____

After-School Survey Agreement Form
(Name of Program) StudentAgreement
To
Participate in Program Evaluation

As a participant in (Name of program), I agree to be in a study to answer some questions about my feelings and opinions about my after- school program. These questions are being asked to help program planners make it a better program for me and the other participants.

I understand that my answers are private and my name will not be on any answer sheet. I will not get a grade for my answers and no one will discuss my answers unless I ask them to. I agree to participate in this survey through _____ (Insert appropriate date) as long as I am participating in the after-school program.

I can answer all the questions, or leave some blank without getting into trouble. If I do not answer the questions, I am still able to attend (Name of Program).

Child's Name (Print):_____

Child's Signature: _____

Date of Birth: _____

Adult Witness (Print):_____

Adult Witness Signature: _____

After the Survey

The Program Evaluator should collect and return the surveys to the Statewide Evaluator. Contact the NYSED managers for the state evaluator's contact information.

Appendix 7

Program Design Template Example Program

New York State Statutory Goal: To establish community learning centers that (a) help students in high poverty, low performing schools to meet academic achievement standards, (b) offer a broad array of additional services designed to complement the regular academic program; and, (c) offer families of students opportunities for educational development.

New York State Statutory Objective 1 and Sub-Objectives 1.1 and 1.2 are Outcome Objectives. Measurement of these performance indicators indicates if the program is having the desired effect.

New York State Statutory Objective 1: Participants of 21st Century Community Learning Center Programs will demonstrate educational and social benefits and exhibit positive behavioral changes.

New York State Statutory Sub-Objective 1.1: Regular attendees in the program will show continuous improvement in achievement through measures such as test scores, grades, and/or teacher reports.

Program Objective 1.1 - 1: To increase participants' math and science skills through the solving of real world problems in a constructivist learning environment.

Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
LEGO Robotics Lab offered to 30 students 3 X wk. for 10 weeks. These 10 week blocks will be offered 2 X per year – once in the fall and once in the spring.	1. 65% of regularly attending participants will increase performance in math and science. 2. 65% of students will exhibit improved student engagement in mathematics and science classes	Measure 1: Pre/Post report card grades 1st and 4th Quarter. Measure 2: Pre/Post Standardized test scores. Previous year as baseline. Measure 1: Teacher survey Measure 2: Student self-report	

Program Objective 1.1 - 2: To increase participants' ELAskills through project-based learning in and through the arts.

Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
Art infused activities that support the application of ELA skills such as reading and writing culminating in an Art Exhibit open to 21CCLC community including participants, parents, teachers, etc.	1. 65% of regularly attending participants will increase performance in English Language Arts.	Measure 1: Pre/Post report card grades 1st and 4th Quarter. Measure 2: Pre/Post Standardized test scores. Previous year as baseline.	

<u>Statutory Sub-Objective 1.2</u>: Regular attendees in the program will show continuous improvements on measures such as school attendance, classroom performance, and decreased disciplinary actions or other adverse behaviors.

Program Objective 1.2 – 1:To mitigate risky behaviors while building self-esteem, positive peer relationships, social, emotional and intellectual skills as a result of participation in conflict resolution skill development activities and other program activities.

Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
1. Conflict resolution skill development activities 2. Lego Robotics Activities 3. Art Activities 4. Nutrition and Health Activities	1. Reduction in detentions, bus referrals and suspensions and increased rates of attendance in school among regular attendees. 2. 50% of students report improved self-esteem. 3. 50% of students improve classroom behavior	1. Pre-post incidences of detentions, bus referrals, and suspensions, and school absenteeism. Previous year as baseline. 2. Student self reportsurvey 3. Teacher survey	

Program Objective 1.2 – 2: To increase school attendance and academic performance and decrease disciplinary actions or other adverse behaviors as a result of participation in enrichment in *nutrition and health* activities and other program activities.

Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
1. Nutrition, exercise and wellness education activities	1.65 % of students will exhibit improved student engagement and self responsibility for health	1. Teacher survey 2. Student survey	

2. Lego Robotics Activities 3. Art Activities 4. Conflict Resolution Activities	and wellness and increased self esteem, self-confidence and motivation to succeed. 2.65% of students will have a decrease in discipline referrals 3. 65% of regularly attending students will increase their attendance rates in school.	3. Pre/post discipline referrals. Previous year as baseline. 4. Pre/post school attendance records. Previous year as baseline.	
Statutory Objective 2 and Sub-Objectives 2.1, 2.2, 2.3, 2.4, and 2.5 are Implementation Objectives. Measurement of these Performance Indicators will ensure that appropriate services are being offered and that students are receiving enough dosage of the programming for the programming to have any effect.			
Statutory Objective 2: 21st Century Community Learning Centers will offer a range of high quality educational, developmental, and recreational services for students and their families.			
Statutory Sub-Objective 2.1:100% of Centers will offerhigh quality services in core academic areas, e.g., reading and literacy, mathematics, and science.			
Program Objective 2.1 – 1: Program will offer opportunities for participants to utilize math and science skills through the solving of real world problems in a constructivist learning environment.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Scheduling will result in LEGO Robotics Lab offered to students 3 X wk.	30 students attend LEGO Robotics lab for 30 days or more.	Program activity attendance records.	
Program Objective 2.1 – 2: Program will offer professional development opportunities for staff and will continually monitor program to ensure that programming is of high quality.			

Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective
Scheduling will result in professional development opportunities for staff throughout the year including a day long orientation for all staff in September. Key program staff will complete the NYSAN QualitySelf-Assessment tool 2 X year.	All staff attends. All staff participate and carryout all recommendations for improvement.	PD attendance records Program Director to monitor and enforce	
Statutory Sub Objective 2.2: 100% of Centers will offer enrichment and support activities such as nutrition and health, art, music, technology and recreation.			
Program Objective 2.2 – 1:To offer opportunities for participants to engage in project-based learning in and through the arts to help increase their ELA skills.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Scheduling will result in Art infused activities that reinforce ELA skills such as reading and writing.	45 students will participate for 30 days or more in art infused project based learning activities that teach the core subjects.	Program attendance records	
Program Objective 2.2 – 2: Program will offer opportunities for participants to learn about the benefits of making healthy choices by engaging in nutrition, exercise and wellness activities.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Scheduling will result in Nutrition, exercise and wellness education activities	45 students will participate for 30 days or more in nutrition, exercise and wellness education activities.	Program attendance records	
Statutory Sub-Objective 2.3: 100% of Centers will establish and maintain partnerships within the community that continue to increase levels of community collaboration in planning, implementing and sustaining programs.			

Program Objective 2.3 – 1: Program <u>will establish</u> a strong partnership with families and communities through the functioning of a 21st CCLC Advisory Board which includes program partners and other representatives from the community in addition to parents, students and key school and program staff working collaboratively to achieve program's goals.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Advisory Board established Scheduling results in Advisory Board Meetings Quarterly.	Advisory Board includes all key members as planned 75% of key members attend meetings	Roster review Program Attendance Records Observation of meeting activities	
<u>Statutory Sub-Objective 2.4</u>: 100% of Centers <u>will offer</u> services to parents of participating children.			
Program Objective 2.4 – 1: Program <u>will offer</u> services to engage parents of participants in literacy, ESL and other courses that will enhance their educational development.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Scheduling will result in60 hours of ESL classes offered during the program year.	20 parents will participate in at least 30 hours of ESL classes.	Activity attendance record	
Program Objective 2.4 – 2: To engage parents of participants in parenting classes that will increase their ability to support their child's education and well-being.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Scheduling will result in monthly parenting classes.	50 parents will attend at least 1 parenting class. 25 parents will attend 5 or more classes.	Activity Attendance record	
<u>Statutory Sub-Objective 2.5</u>: More than 75% of Centers <u>will offer</u> services at least 15 hours a week on average and provide services when school is not in session, such as during the summer and on holidays.			

Program Objective 2.4 - 3: To offer programming 15 hours per week after school, Monday through Thursday for 3 hours per day and on Saturday for 3 hours for students and at least once per week for adults.			
Activities to Support This Objective	**Indicators**	**Measures**	**Progress made in achieving this objective**
Scheduling will result in program hours M-Th 2:30 – 5:30 and on Saturdays 9:00 – 12:00. ESL and GED classes for parents will be held Wednesdays from 7-9 weekly. Parenting classes held first Tuesday of every month during times when school is in session.	Site will be open at regularly scheduled times from September – June and will be closed during all school holidays and closings.	Program Director to monitor and enforce program schedule	

Appendix 8

Program Design Template (Blank for reproduction)

Statutory Goal: To establish community learning centers that (a) help students in high poverty, low performing schools to meet academic achievement standards, (b) offer a broad array of additional services designed to complement the regular academic program; and, (c) offer families of students, opportunities for educational development.			
<u>Statutory Objective 1</u>: Participants of 21st Century Community Learning Center Programs will demonstrate educational and social benefits and exhibit positive behavioral changes.			
<u>Statutory Sub-Objective 1.1</u>: Regular attendees in the program will show continuous improvement in achievement through measures such as test scores, grades, and/or teacher reports.			
Program Objective 1.1 – 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective

<u>Statutory Sub-Objective 1.2</u>: Regular attendees in the program will show continuous improvements on measures such as school attendance, classroom performance, and decreased disciplinary actions or other adverse behaviors.			
Program Objective 1.2 – 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
Program Objective 1.2 – 2:			
Activities to Support This Objective	Indicators	Measures	Progress made in meeting this Objective
<u>Statutory Objective 2</u>: 21st Century Community Learning Centers will offer a range of high quality educational, developmental, and recreational services for students and their families.			
<u>Statutory Sub-Objective 2.1</u>:100% of Centers will offer high quality services in core academic areas, e.g., reading and literacy, mathematics, and science.			

Program Objective 2.1 – 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective
Program Objective 2.1 – 2:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective
<u>Statutory Sub Objective 2.2</u>: 100% of Centers will offer enrichment and support activities such as nutrition and health, art, music, technology and recreation.			
Program Objective 2.2 – 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective

Program Objective 2.2 – 2:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective
<u>Statutory Sub-Objective 2.3</u>: 100% of Centers will establish and maintain partnerships within the community that continue to increase levels of community collaboration in planning, implementing and sustaining programs.			
Program Objective 2.3 – 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective
<u>Statutory Sub-Objective 2.4</u>: 100% of Centers will offer services to parents of participating children.			

Program Objective 2.4 – 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective

<u>Statutory Sub-Objective 2.5</u>: More than 75% of Centers will offer services at least 15 hours a week on average and provide services when school is not in session, such as during the summer and on holidays.

Program Objective 2.5 - 1:			
Activities to Support This Objective	Indicators	Measures	Progress made in achieving this objective

Glossary

Annual Performance Report: The Annual Performance Report is a report that is required to be submitted by every grantee of a 21st Century Community Learning Center Program. The report includes information about each program and its participants as reported by grantees. The reporting is done using the Profile and Performance Information Collection System (PPICS) online interface. All grantees are required to enter information about their program and their students annually for compliance with the federal evaluation of the 21st Century Community Learning Center Program.

APR: Annual Performance Report

Comparison Group: A group of individuals whose characteristics are similar to those of a program's participants. These individuals may not receive any services, or they may receive a different set of services, activities, or products; in no instance do they receive the same services as those being evaluated. As part of the evaluation process, the experimental group (those receiving program services) and the comparison group are assessed to determine which types of services, activities, or products provided by the program produced the expected changes. (comparison group)

Dosage: The amount of programming time a participant is exposed to over a particular span of time, usually a program year.

Evaluability: Negotiation and investigation undertaken jointly by the evaluator, the evaluation sponsor, and possibly other stakeholders to determine whether a program meets the preconditions for evaluation and, if so, how the evaluation should be designed to ensure maximum utility (Rossi, 2004)

External Evaluator: An evaluator who is not an employee of the organization that designed or implemented/distributed the evaluand. This is an independent evaluation contractor (Davidson, 2005)

Frequency of Response: Used in data analyses to describe how often a particular response was given. It is usually quoted in reference to the frequency of other responses to the same question on a survey or other instrument where quantitative analysis of the data is appropriate.

Goal: A brief description of a project's overarching purpose or outcome. To be meaningful for the evaluation, program goals must describe what could be realistically attained as a result of program activities.

Government Performance and Results Act: Enacted in 1993, it is an Act to provide for the establishment of strategic planning and performance measurement in the Federal Government, and for other purposes. It is also referred to by its acronym, GPRA. Pursuant to GPRA, departments and agencies must clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring their progress, and regularly report on their achievements.

GPRA: Government Performance and Results Act

Implementation: The process of putting program activities into place.

Implementation Objective: Implementation objectives define your targets for implementing the program

Indicator: A pre-determined benchmark of success established by the evaluator in collaboration with program stakeholders. An indicator is what is measured to determine whether an objective has been met.

Institutional Review Board: An institutional review board (IRB), also known as an independent ethics committee (IEC) or ethical review board (ERB), is a committee that has been formally designated to approve, monitor, and review biomedical and behavioral research involving humans with the aim to protect the rights and welfare of the research subjects. In the United States, the Food and Drug Administration (FDA) and Department of Health and Human Services (specifically Office for Human Research Protections) regulations have empowered IRBs to approve, require modifications in planned research prior to approval, or disapprove research. An IRB performs critical oversight functions for research conducted on human subjects that are *scientific*, *ethical*, and *regulatory*. (institutional review board)

IRB: Institutional Review Board

Logic Model: A Logic Model is the profile of a program in a diagram form. It documents in a clear, simple and systematic fashion the essence of a program, what it does (activities), what it produces (outputs), and what effects these outputs have (impacts). Logic Models therefore help to identify and link the research base of initiatives - their program theory – with the operational basis of their implementation strategies – the implementation or process theory.

Measures: Data collection instruments that are used to measure your pre-established indicators of success.

Meta Analysis: An analysis of the effect size statistics derived from the quantitative results of multiple studies of the same or similar interventions for the purpose of summarizing and comparing the findings of that set of studies. (Rossi, 2004)

NYSED Manager(s): In this manual the NYSED managers are the team at the New York State Education Department who manage the administration of this federal funding stream at the state level.

Objectives: Specific measurable goals. Many people use the phrase *goals and objectives* in which broad-brush goals are broken down into specific measurable objectives (Davidson, 2005)

Organizational Plan: Assumptions and expectations about what the program must do to bring about the transactions between the target population and the program that will produce the intended changes in social conditions. The program's organizational plan is articulated from the perspective of program management and encompasses both the functions and activities the program is expected to perform and the human, financial, and physical resources required for that performance (Rossi, 2004).

Outcome: Outcomes are benefits or changes for individuals or populations during or after participating in program activities. They are influenced by a program's outputs. Outcomes may relate to behavior, skills, knowledge, attitudes, values, condition, status, or other attributes. They are what participants know, think, or can do; or how they behave; or what their condition is, that is different following the program. (Measuring Program Outcomes: A Practical Approach, 1996)

Outcome Objective: A statement about the expected change/changes in participants that are a result of their participation in program activities.

Outcome Theory: Can be used interchangeably with Impact Theory. It is the articulation of the theory that certain activities that make up the program's planned services will produce certain outcomes or changes in the participants.

Outputs: Outputs are the direct products of program activities and usually are measured in terms of the volume of work accomplished. For example, the numbers of classes taught, counseling session conducted, educational materials distributed, and participants served. Outputs have little inherent value in themselves. They are important because they are intended to lead to a desired benefit or change for participants or target populations. (Measuring Program Outcomes: A Practical Approach, 1996)Outputs are sometimes referred to as short term outcomes.

Performance Criterion/Indicators: The standard against which a dimension of program performance is compared so that it can be evaluated (Rossi, 2004)

PPICS: Profile Performance Information Collection System

Process Theory: The combination of the program's organizational plan and its service utilization plan into an overall description of the assumptions and expectations about how the program is supposed to operate. (Rossi, 2004)

Profile Performance Information Collection System: An onlinedata collection system used by grantees to report information being collected for the federal evaluation of this program. Grantees enter program and student performance information using this system as part of the required Annual Performance Report.

Program Administrator(s): In this manual, program administrator(s) is used as a generic term to mean the person or person from the lead agency who are in charge of managing the grant at the local level. Sometimes this person is called the program manager, program director, grant manager, program coordinator, etc. Occasionally the program director and the site coordinator are the same person with dual responsibilities. At other times there are several levels of management involved.

Program Theory: The set of assumptions about the manner in which a program relates to the social benefits it is expected to produce and the strategy and tactics the program has adopted to achieve its goals and objectives. Within program theory we can distinguish impact theory, relating to the nature of the change in social conditions brought about by program action, and process theory, which depicts the program's organizational plan and service utilization plan (Rossi, 2004)

Qualitative Data: Relating to, or expressed in terms of, quality. A general description of properties that cannot be written in numbers and that cannot be reduced to something that can be enumerated. Relating to or based on the quality or character of something, often as opposed to its size or quantity. Typically describes people's knowledge, attitudes or behaviors. *adj.* A type of data used as a method of labeling and identifying. Qualitative data are classified as being either nominal or ordinal. (qualitative)

Quantitative Data: Related to, or expressed in terms of measured numeric values, quantity or statistical comparison derived from systematic survey, observation or analysis of the subject; this may include probabilistic evaluation. A general description includes facts, figures and scientific observation that can be statistically analyzed and then can be reduced to something that can be enumerated. The collected data is often subjected to statistical tests to see if the results are internallyconsistent or representative of random chance. Typically, it describes patterns and trends in size and quantity. (quantitative)

SEAs: State Educational Agencies

Secondary Analysis: Any further analysis of an existing data-set which presents interpretations, conclusions, or knowledge additional to, or different from, those presented in the first report on the data collection and its results. (Marshall, 1998)

Service Utilization Plan: Assumptions and expectations about how the target population will make initial contact with the program and be engaged with it through the completion of the intended services. In its simplest form, a service utilization plan describes the sequence of events through which the intended clients are expected to interact with the intended services. (Rossi, 2004)

Short Term Outcomes: Initial changes in behavior that may predetermine other longer term outcomes such as improvement in academics, graduation, etc.

Short-term Student Outcomes Survey: Survey designed to collect information about early social-emotional indicators of program participants. This survey is to be administered by local evaluators to participants of a sample of programs annually and completed surveys submitted to the statewide evaluator. Evaluators of programs not part of the stratified sample each year are required to administer this survey or a similar survey that has been pre-approved by the statewide evaluator. Evaluators of programs not part of the stratified sample each year will not need to submit completed surveys to the State but should use the data from the survey to inform their local program evaluations.

Student Level Data: Information about individual students. This could be demographic, academic, or social but it is traceable to an individual through a unique student identifier such as an identification number. Often this data is linked to a number so that it remains anonymous. (Research Works, Inc., 2010)

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