

EVALUATION GUIDELINES FOR DEVELOPMENTAL DISABILITIES COUNCILS AND PROJECTS

**GUIDELINES FOR THE EVALUATION OF
STATE DEVELOPMENTAL DISABILITIES PLANNING COUNCILS,
COUNCIL-SUPPORTED PROJECTS, AND OTHER PROJECTS
FUNDED THROUGH P. L. 94-103**

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Edmund Ricci, Ph.D.

Graduate School of Public Health
University of Pittsburgh

Kathryn Greever, Ph.D.

West Virginia Research & Training Center
West Virginia University

William Hall, Ph.D.

Graduate School of Public Health
University of Pittsburgh

Dennis J. Parrucci, M.A.

Institute for Health Systems Research
and Development

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PREFACE

This report is the culmination of two developmental projects. The purpose of the first was to design and test guidelines for the evaluation of individual projects funded by State developmental disabilities planning and advisory councils. The second was devoted to the design and testing of guidelines for the evaluation of State developmental disabilities councils *per se*. Both sets of evaluation guidelines have been integrated into this one document which sets forth a protocol for the evaluation of all activities funded by P.L. 94-103 (the Developmentally Disabled Assistance and Bill of Rights Act).

The idea for this undertaking was conceived by George Bennett, Planning Director for the West Virginia Council, in discussions with Elizabeth Schoenfeld, Director, Developmental Disabilities Office, DHEW, Region III and Roy Bruninghaus, Developmental Disabilities Technical Assistance System.

The West Virginia Developmental Disabilities Council and staff who permitted the testing of these guidelines are to be commended for their genuine commitment to program evaluation and the role it should play in the decision-making process. Without their willing cooperation, this document would have not been possible.

TABLE OF CONTENTS

	Page
INTRODUCTION.	1
STATEMENT OF THE PROBLEM.	3
AN APPROACH TO EVALUATION.	5
What is Evaluation?.	5
Evaluation Questions.	5
Categories of Evaluation.	6
Evaluation of Effort	6
Evaluation of Effect	6
Evaluation of Adequacy.	6
Evaluation of Efficiency.	6
Evaluation of Process.	7
Prerequisites to Evaluation.	8
Statement of Problem.	8
Statement of Objectives.	8
Activities to Meet Objectives.	9
Resources.	9
Evaluation Plan.	9
HOW TO EVALUATE.	11
Evaluating Individual Projects.	11
Required Data and Data Acquisition Instruments.	11
Data Collection and Analysis Procedures.	11
Interpretation and Planning Implications.	12
Reporting.	12
Evaluating State Developmental Disabilities Planning and Advisory Councils.	12
Required Data and Data Acquisition Instruments.	13

Data Collection and Analysis Procedures.	13
Interpretation and Planning Implications.	14
Reporting.	14
SUMMARY AND CONCLUSIONS.	16
APPENDIX A, INTERVIEW SCHEDULE FOR EVALUATING INDIVIDUAL PROJECTS.	AI
APPENDIX B, SAMPLE WORKSHEET FOR THE EVALUATION OF INDIVIDUAL PROJECTS.	BI
APPENDIX C, STATE PLAN CHECKLIST.	CI
APPENDIX D, OPINION SURVEY OF DEVELOPMENTAL DISABILITIES COUNCIL MEMBERS.	DI
APPENDIX E, SAMPLE WORKSHEET FOR THE EVALUATION OF STATE PLANNING COUNCILS.	EI

INTRODUCTION

On October 4, 1975, the Developmentally Disabled Assistance and Bill of Rights Act (P.L. 94-103) was signed into law extending previous legislation (P.L. 88-164 and P.L. 95-517) and financing for services to the developmentally disabled. It also increased the comprehensiveness of the original mandate by including a separate title (Title II - Establishment and Protection of the Rights of Persons with Developmental Disabilities) which delineates the rights of the developmentally disabled and provides for the protection and advocacy of these rights.

Also, P.L. 94-103 specifically mandates the development of "a comprehensive system for the evaluation of services provided to persons with developmental disabilities". This system is to:

"(1) provide objective measures of the developmental progress of persons with developmental disabilities using data obtained from individualized habilitation plans or other comparable data;

"(2) provide a method of evaluating programs providing services for persons with developmental disabilities which method uses the measures referred to in paragraph (1); and

"(3) provide effective measures to protect the confidentiality of records of, and information describing, persons with developmental disabilities."*

The Secretary, with input from the National Advisory Council on Services and Facilities for the Developmentally Disabled, has two years from the enactment of P.L. 94-103 to develop such an evaluation system. Each state has another two years (from the date that the system is developed) to implement the system.

*Developmentally Disabled Assistance and Bill of Rights Act; Public Law 94-103; Title I; Part E; Section 110; p. 16.

STATEMENT OF THE PROBLEM

Evaluation is an integral component of the management process. It is essentially a decision-making tool which rationalizes the process whereby decisions are made on the design and operation of programs, and on the structure and content of related public policy.

This relevance for both program development and policy formulation requires that any discrete evaluation effort or comprehensive system for the evaluation of services to the developmentally disabled must be designed to answer many different types of questions. Not only must evaluation address questions of "outcome" (as mandated by P.L. 94-103), but also such questions as: (1) What types and amounts of resources have been expended? (2) How much of the total community problem has been alleviated or eliminated by the documented "outcomes"? (3) How much has it cost in terms of resources to achieve the documented "outcomes"? (4) How did the program operate in achieving the documented "outcomes"? and (5) Why did the program achieve the documented "outcomes" that it did?

Additionally, any evaluation system or study should: (1) Be relatively inexpensive to operate or conduct; (2) Be capable of comprehension by professionals who have not had the benefit of extensive and sophisticated training in evaluative research; (3) Be applicable to projects funded by State developmental disabilities planning and advisory councils, to the evaluation of State developmental disabilities councils, and to the evaluation of projects funded through either the Regional or Central Developmental Disabilities Office of the U.S. Public Health Service; (4) Permit repeated application at regular intervals or operation on an ongoing basis; and (5) Maximize the generation of data with cross-project or inter-council comparability.

The intent of this document is to present a set of guidelines for the evaluation of planning activities and projects funded through P.L. 94-103 (the Developmentally Disabled Assistance and Bill of Rights Act). Specifically, these guidelines will:

(1) Make it possible for State developmental disabilities planning councils to evaluate or assess the "worth" of projects which they have funded;

(2) Provide the Secretary of the Department of Health, Education and Welfare with a protocol for evaluating State planning councils; and

(3) Provide Regional Developmental Disabilities Offices with guidelines for the evaluation of projects funded through the Regional Special Project Grants Program authorized by Part D, Section 145 of the Developmental Disabilities Services and Facilities Construction Act, as amended by P.L. 94-103.

Additionally, these guidelines have been designed to supplement any ongoing comprehensive evaluation effort developed by DHEW in that they provide a protocol for evaluating State planning councils. They also address necessary aspects of service evaluation which have not been mandated by P.L. 94-103, i.e., evaluation of service adequacy (ratio of documented output to total known need),

evaluation of service efficiency, and evaluation of the service delivery process. Most importantly, these evaluation guidelines are inexpensive to implement, easy to use and understand, and have already been pilot tested.*

Under no circumstances should these evaluation guidelines be considered "a comprehensive system for the evaluation of services" to the developmentally disabled as defined by P.L. 94-103. However, this does not mean that these guidelines cannot provide a basis for the ongoing evaluation of services to the developmentally disabled. They have been designed to do just that until a "comprehensive system" can be developed and implemented - one which is both relatively inexpensive and readily comprehensible.

At the writing of this document, such a comprehensive evaluation system has not been implemented. While P.L. 94-103 mandates the development of "a comprehensive system for the evaluation of services provided to persons with developmental disabilities", its implementation by *all* State planning councils cannot be expected before 1980. Should the final design of this system adhere closely to the legislated mandates of P.L. 94-103, it will only have limited utility for evaluating the activities of State developmental disabilities planning councils or anything other than direct services.

There are no legislative assurances that this system will ever address anything other than service effectiveness, as measured by "outcome" indicators of the developmental progress of developmentally disabled clients. While this will significantly enhance the planning capabilities of State planning councils and the Federal government, other questions of equal or greater importance have to be asked. What effort was expended in achieving the documented level of output? How does this level of output compare with predetermined objectives and unmet needs? Why was this level of effectiveness achieved, but not some higher one? Only when answers to these and related questions become available, does it become possible to determine the "worth" of a program with any degree of certitude.

The following sections of this document present: (1) A discussion of the concept of evaluation and evaluative research; (2) A conceptual framework for the conduct of evaluative research; and (3) A discussion of implementation procedures for this conceptual framework (Here specific attention is given first to the evaluation of projects funded by State planning councils, and then to the evaluation of State planning councils.).

*Pilot testing of the various components of these evaluation guidelines began in West Virginia during the Fall of 1974 and was completed in September, 1976. That portion of these guidelines which pertains to the evaluation of projects funded by State planning councils has since been used by the West Virginia Developmental Disabilities Planning and Advisory Council to evaluate all of its supported projects, beginning with Fiscal Year 1973.

AN APPROACH TO EVALUATION*

What is Evaluation?

Basically, *evaluation is the process of deciding whether some activity is worthwhile or not*. Evaluation which initiates from within the program and which is carried out by program staff is called self-evaluation or self-assessment. *Evaluative research is research activity which generates those data necessary for determining whether some activity is worthwhile or not.* Evaluation, in and of itself, is a neutral activity. It can provide information about needs, about the effort (in program time, materials, money, and manpower) which has been expended to meet these needs, and about the effects this effort has produced. After the evaluation study, however, the staff must make some judgment, based on this information, about whether these effects are desirable in relation to the needs and whether they were worth the effort it took to produce them.

The amount of time, money, and expertise devoted to any one evaluation study will vary from program to program, according to the resources of the program and the purpose of the evaluation study.

Evaluation can be formal or informal, rigorous or non-rigorous. A half-day or one-day meeting in which evaluation issues are discussed can be profitable. These discussions enable one to question the functioning of the program, to establish a rough estimate of the program's effects, to re-examine the program's objectives, and to initiate program modifications. Of course, the conclusions made from such informal discussions can only be tentative. The more heavily the evaluation study relies upon the use of scientific research methods, the more conviction one can have in its results.

Many researchers feel that the immediate, practical needs of administrators for making day-to-day decisions are satisfied by informal, less sophisticated studies. Rigorous, experimental designs should probably be reserved for evaluation studies involving very basic, far-reaching decisions or for times when the information to be gained will considerably broaden the knowledge base of a specific substantive field.

Evaluation can be a one-time study, or an ongoing process. If it is ongoing, the information needed for certain decisions should be available from documents, such as intake forms, class attendance records, or medical records. This sort of ongoing evaluation mechanism is essential. However, it is important to remember that if program records and other quantitative data are used for ongoing evaluation (which is highly desirable), periodic, one-shot assessments using qualitative data should be considered. Several different kinds of measurements of the same activity will give a better understanding of the total situation.

Evaluation Questions

Any direct or indirect service program can ask itself three basic evaluation questions: (1) Are our program objectives reasonable, given the condition or needs of the relevant environment? (2) Is our program meeting its objectives, and if so, at what cost? (3) What else is happening within the program and as a result of the program?

*The following section is based upon and in part excerpted from *Guidelines for Self Evaluation of Programs Serving Adolescent Parents*, E.L. Husting, et al., University of Pittsburgh, Graduate School of Public Health Monograph. June, 1973.

Categories of Evaluation

Evaluation of Effort - The most basic questions which can be answered by an evaluation study center around a description of: (1) the resources available to and used by the program; and (2) the activities planned and actually carried out by the program. Evaluation at this level is called "evaluation of effort". "Evaluation of effort" is concerned with questions such as the following: What is to be done? By whom is it to be done? When and where is it to be done? What was actually done? Who actually did it? When and where was it done?

As an example, let us assume for a moment that each client, within the first month of entering a program, should have spent at least an hour with a social worker. This time is set aside specifically for the social worker and client to talk about and plan for employment. Let us assume, also, that it is learned, through casual conversation, that a client did not see a social worker within the first month, but they talked about problems with family. You might be interested in knowing if these two cases represent a pattern, that is, whether the planned activities for the social service component are different from the actual activities of that component. To accomplish this, you could initiate an "evaluation of effort" by randomly choosing a group of clients and following them closely through their first two months in the program. The clients' information sheets could be filled out to tell you whom they had seen each day, when and where, and what had taken place. Once data from the information sheets are compiled, one can determine whether there is, in fact, a difference between planned activities and actual activities; whether this difference is important; and whether new plans should be made.

Thus, "evaluation of effort" can be used to improve the program: (1) by providing information on resources (personnel, funds, materials, and facilities) and activities; and (2) by pointing out discrepancies between available resources and used resources, and between planned activities and actual activities. This information helps to understand the *functioning* of each of the program components and of the program as a whole.

Evaluation of Effect - While "evaluation of effort" focuses on input, the next category of evaluation focuses on output. A program's output can be thought of as the effects of the program. Consequently, this category of evaluation is called the "evaluation of effect". Each effect is the result of a program's activity. Each effect can be either short-term or long-term; either positive or negative; either anticipated or unanticipated. A program's effects are usually considered in terms of changes which take place in people - either clients or staff - who have been involved in the program. However, a program can produce changes in people, groups of people outside its own sphere, or even other organizations.

It is possible to just measure the effects of a program. However, by comparing the results of the program's activities (effects) with its pre-established objectives, a program can determine its *effectiveness* - the extent to which its objectives have been attained as a result of its activities.

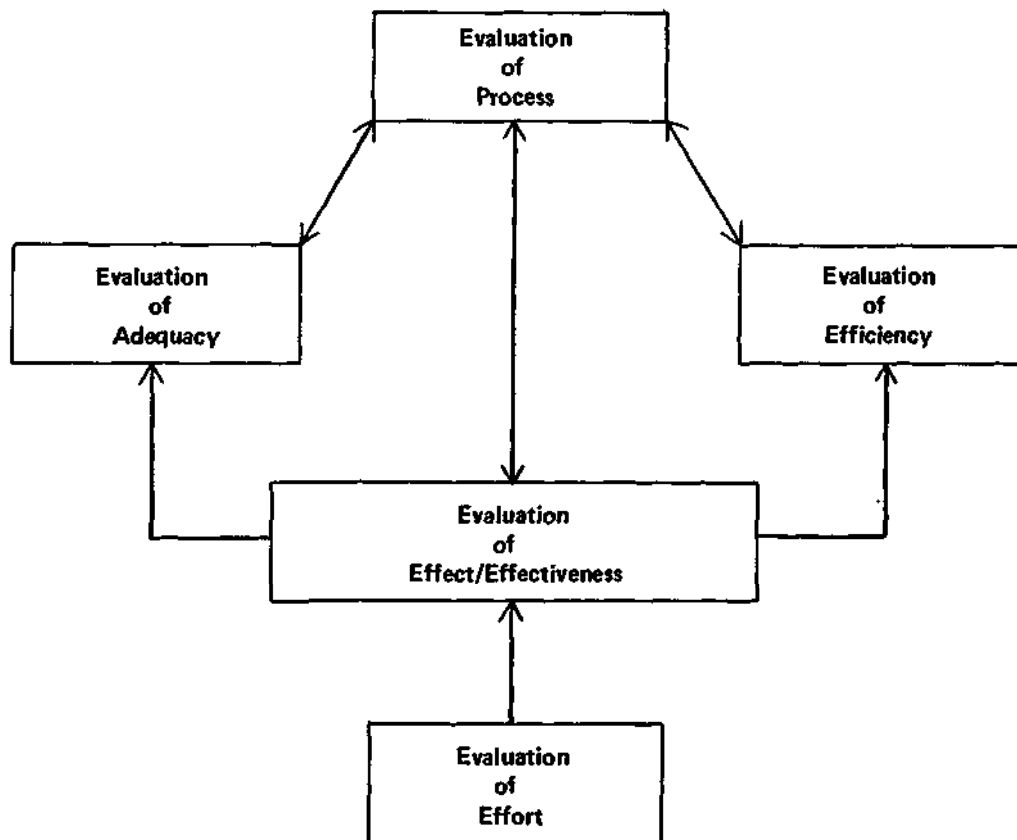
Evaluation of Adequacy - Adequacy is concerned with how much of the *entire* problem the program has overcome. Adequacy goes beyond just looking at the program's effects on its own clients or its effectiveness in achieving its objectives. Adequacy looks at a program's impact on the total community's need. Therefore, in order to do an "evaluation of adequacy", one must also have some information on total needs.

Evaluation of Efficiency - At some point, every program will have to determine the cost in resources (personnel, time, funds, materials, and facilities) of its effects. This kind of evaluation is called an "evaluation of efficiency". In order to conduct an "evaluation of efficiency", you need to know exactly how much each activity has cost; and to compare this cost with the activity's effect (benefit).

Evaluation of Process - The fifth category of evaluation addresses the questions of how and why. How does the program work? Why does it work this way? Why does the program have the effects that it does? Although it is possible to begin to answer these questions through speculation and introspection, a more specific and objective evaluation study is necessary to understand the real processes which are at work. This category of evaluation is called an "evaluation of process". Such an evaluation study can improve a program by helping to understand, in particular, where the assumptions between activities and objectives have broken down. The findings from an "evaluation of process" have the potential for being translatable to other programs, helping to modify ongoing ones, and to design new ones.

Each of the above categories of evaluation are interrelated, i.e., they interact and tend to be somewhat cumulative in nature (see Diagram I below). To determine the effectiveness of a program, it is first necessary to know what effects were intended, what resources were used by the program, and what activities were actually carried out. "Evaluation of adequacy" (ratio of effects to total needs) presupposes a determination of the program's effectiveness. The same is also true for an "evaluation of efficiency" (ratio of effects to cost in resources). And, finally, an assessment of process both describes how and explains why the documented levels of effectiveness, adequacy, and efficiency were achieved by the program. To evaluate a program from less than these five perspectives, invites the making of decisions on program operation and policy formulation with less than sufficient information.

Diagram I: CATEGORIES OF EVALUATION AND THEIR INTERRELATIONSHIP



In addition to measurement within these categories of evaluation, it is usually very informative to add a time dimension to the evaluation study. That is, measurement should be conducted at two or more times (usually before the program has started and after it has operated for a long enough period for its effects to have been felt). A much clearer picture of the program can be developed with such a "before/after" comparison.

Prerequisites to Evaluation

The evaluation of programs presupposes a clear program design or plan. When the original plan is unclear or lacking in detail, it might still be possible to create a picture of the program which can form the basis for evaluation. This is especially true for programs which have been operating for some time as it often happens that objectives and activities to meet objectives become clarified only after people begin to work on a particular problem. Delineated below is a set of program plan prerequisites which will permit program evaluation. The extent to which these elements are identifiable for a specific program will determine the extent and type of program evaluation possible.

Statement of Problem - The problem statement should be a clear expression of the conditions which the program is designed to ameliorate. It should, by implication at least, identify the need(s) to be met by the program and the significance of the problem in relation to any State or regional plans.

Statement of Objectives - Both professional and popular literature use words like "objective, goal, mission, purpose, and aim" interchangeably. For clarity and in keeping with recommendations made by a committee of the American Public Health Association (APHA), only the word "objective" will be used here. These recommendations distinguish between "ultimate objective", "program objective", and "subobjective". The definitions given are those selected by the APHA committee:

Ultimate Objective - a condition which is desired in and of itself according to the value system of those responsible for the program, e.g., to help the developmentally disabled individual to achieve his fullest potential;

Program Objective - a statement of that particular situation or condition which is intended to result from the sum of program efforts. It may or may not be considered inherently desirable, e.g., to assist the developmentally disabled individual to become self supporting or employable; and

Subobjective - a subordinate or subobjective is an objective within a program which a program operator believes must be attained before the program objective may be attained, e.g., to teach the developmentally disabled individual the use of sewing machines.

The ultimate objective is based on a value judgment or assumption about what is desirable. Thus, if one accepts the implied value system of the program, the ultimate objective is always intrinsically desirable. It represents a justification for seeking the program objective which may or may not be inherently desirable. While an ultimate objective may be more idealistic and may refer to a greater range of effects in the entire target group it should, so far as possible, be *realistic* and *attainable*.

The program objective mentions the specific situation which is desired and relates it to program activities. Achievement of a program objective should lead to partial achievement of the ultimate objective. And, program objectives may speak of limited effects of a relatively small target group or of a portion of a larger target group.

A set of subobjectives leads to the attainment of the program objective. Subobjectives relate , to specific activities, operations, or behaviors which are expected.

The differences between the program and the ultimate objective may be summarized as follows:

<i>Ultimate Objective</i>	<i>Program Objective</i>
(1) Statement of a desired situation.	(1) Statement of situation to result from the program.
(2) Justification for changes which are to occur.	(2) Statement of changes in knowledge, attitudes, or behavior.
(3) May be influenced by outside factors in addition to the program.	(3) Attainable by program efforts.
(4) May be broader, more general, more concerned with long-range statements.	(4) Limited to specific, attainable, and relatively short-term efforts and effects.
(5) May require follow-up or follow-through for assessment.	(5) Ongoing data collection assesses achievement to time clients leave program.
(6) Accountability may be less.	(6) Accountability is high.
(7) Useful for education of public or for evaluation.	(7) Useful for evaluation.

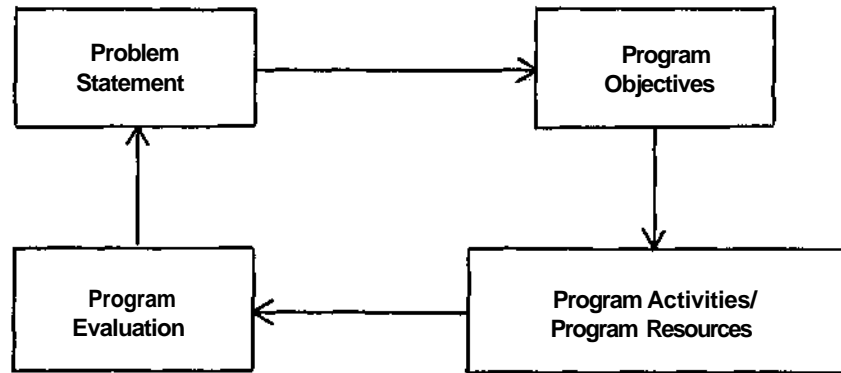
Activities to Meet Objectives - Ideally, each activity (subobjective) which is planned as part of the program should relate clearly to a stated program objective. Each activity should be both appropriate and feasible in terms of stated objectives and the resources and time available. It is quite possible to develop work plans which include activities which would lead to attainment of a particular objective, yet find these activities too costly or time consuming.

Resources - The program plan should include a detailed description of the resources (personnel and material) available to accomplish objectives. An estimate of the adequacy of the resources should be made in program planning. This would involve a judgment about the quality as well as the quantity of persons and material to be used.

Evaluation Plan - Each project should have a plan for evaluation. Evaluation plans should be (where possible) specified prior to the start of a new program. The collection of evaluation information should ideally be planned in advance; gathered as the project develops; and used to assess progress toward meeting program objectives.

The set of prerequisites stated above is illustrated in Diagram II below.

Diagram II: EVALUATION PREREQUISITES AND THEIR INTERRELATIONSHIP



HOW TO EVALUATE

The evaluation of activities carried out under the provisions of developmental disabilities legislation (P.L. 91-517 as amended by P.L. 94-103) should have two major foci:

(1) Individual projects financed by developmental disabilities monies. This activity includes projects funded by State developmental disabilities planning and advisory councils, projects funded through the Regional Special Project Grants Program, as well as projects funded by the Central Developmental Disabilities Office of the U.S. Public Health Service; and

(2) The State developmental disabilities planning and advisory councils.

This report will now address each focus in greater detail. The evaluation of individual projects will be addressed first; followed by the evaluation of State planning councils. For each of these considerations, the following will be identified and/or discussed: (1) Required data and relevant data acquisition instruments; (2) Procedures for data collection and analysis; (3) Interpretation of study findings and implications for planning; and (4) Reporting considerations.

Evaluating Individual Projects

Required Data and Data Acquisition Instruments - Appendix A contains a common checklist (interview schedule) for the collection of those data necessary for the evaluation of specific, individual programs. Not only are all program objectives to be delineated, but also objective-specific data are to be collected on program effort, effect, adequacy, efficiency, and process. This interview schedule also provides for the collection of line item-specific budget information, broken down by source.

Data Collection and Analysis Procedures - For all projects funded by State developmental disabilities planning councils, the specified data should be collected and analyzed by a staff person from either the State council or administering agency. This person should have overall responsibility for all project evaluation. The data should be collected during site visits where relevant project staff are interviewed and appropriate project records reviewed. The evaluations should be performed at the end of each funding period.

All individual projects funded by either the Regional Developmental Disabilities Office or the Central Developmental Disabilities Office should have an evaluation plan built into their proposals. These plans should indicate how, when, and by whom data on effort, effect, adequacy, efficiency, and process will be collected, analyzed, and reported. Each project should have available sufficient monies specifically budgeted for the performance of the necessary evaluation. Thus, the responsibility for evaluating projects funded by the Regional Office or the Central Office should belong to project staff or outside consultants.

Appendix B contains a sample worksheet. The completion of such a worksheet for each individual project being evaluated facilitates data analysis and interpretation. This worksheet provides for the identification of each project objective. Having listed all project objectives, the next step is to transfer those data from the interview schedule which pertain to the aspects of program performance identified below. This should be done for each objective.

- 1) *Effort:* Refers to the amount of work performed by program staff and participants which include such factors as number of persons served, number of products produced, number of referrals and follow-up procedures, etc.

(2) *Effect*: Refers to the result of the effort or activities of the program, such as the number of persons placed in competitive employment, skill level achieved by persons in the program, extent to which clients remain out of institutions, extent to which degree of habilitation achieved by clients coincides with targeted levels of habilitation identified in respective habilitation plans, etc.

(3) *Adequacy*: Refers to how much of the total community need is met by the program. A project may function very effectively in serving a group of developmentally disabled persons, but be rated low in adequacy if it serves only a small number of the total persons in the community who need the service.

(4) *Efficiency*: Refers to the cost of achieving a certain level of effectiveness, e.g., cost per unit of output or effect.

(5) *Process*: Refers to the manner in which the project is organized and operates. Should describe how a project is organized and how it operates. Should also explain why documented levels of program effect, adequacy, and efficiency were achieved.

Where State planning councils, Regional Offices, or the Central Office have funded a significant part of the project, evaluation involves a rather straightforward decision. However, in many cases, only a small portion of a larger project or program is funded. In these instances, evaluation will be more complex, since it will be quite difficult to assess the exact effects of the support provided by either councils, Regional Offices, or the Central Office.

Interpretation and Planning Implications - Evaluation studies should not only tell what happened, but also why it happened. They should provide sufficient information for the determination of future funding directions, as well as facilitating the decision as to whether the project should be operated on anything other than a demonstration basis. Should a decision be made that a specific project has "worth", then the evaluation study should provide enough information for the planners to determine where and under what circumstances it should be implemented.

For State planning council-supported projects, the council and its staff both evaluate the projects and make funding decisions. On the other hand, for individual projects funded by either the Regional Offices or the Central Office, evaluation should be conducted by project staff or outside consultants. However, decisions on project "worth" and funding have to be reserved for the funding agency.

Reporting - The evaluation study and its findings should be communicated by written report. This report should contain the following components:

(1) *Summary of Findings and Recommendations*: This should include a very brief statement of the problem, a very brief summary of findings, and a listing of recommendations.

(2) *Introduction*: This should include a statement of the need which gave rise to the project, the objectives of the project, and the resources which the project used in trying to attain the objectives.

(3) *Analysis*: This section should report on the progress according to the five types of evaluation, i.e., effort, effect, adequacy, efficiency, and process.

(4) *Interpretation*: This should entail an assessment of the project's "worth" and include specific recommendations for funding, planning, and policy formulation.

Evaluating State Developmental Disabilities Planning and Advisory Councils

In evaluating State developmental disabilities planning and advisory councils, three major areas should be addressed:

(1) Assessing the extent to which the State planning council is fulfilling the Federal requirements in terms of council structure and assuring that the developmentally disabled receive the services defined in the legislation. Within the Federally defined plan, one can expect considerable variation in emphasis from state to state. The unique approach taken by each state should be justified, and it should be the goal of the evaluation study to assess its "worth".

(2) The activities of the developmental disabilities council must be placed in historical perspective. Each state began at a different level of organizational development, with different resources and needs. Progress should be judged relative to the limitations imposed by the initial level of organizational development, by available resources, and by the unique need configuration of the state.

(3) Both appropriateness and creativity in the adaptation of Federal guidelines and the use of scarce resources should be considered in the evaluation of State councils.

Required Data and Data Acquisition Instruments - Appendix C contains a State Plan Checklist. This form is to be used in the review of State plans to assess the extent to which the state has adhered to the Federal mandates regarding planning council structure and the provision of required services.

Appendix D contains a questionnaire to be completed by planning council members. It has been designed to tap the opinions of council members relative to council operations, the effectiveness of council operations, and the interactions between the planning staff and the council.

Appendix E contains a sample worksheet to be used during data analysis and interpretation when evaluating State planning councils. This worksheet provides for the identification of each council objective and respective indicators of effort, effect, adequacy, efficiency, and process for each of these objectives. Examples of indicators for each of these five categories of evaluation include:

(1) *Effort*: Refers to the amount of work performed by council, council staff, and staff of projects funded by the State planning council. This includes such items as number of meetings held, number of programs for deinstitutionalization conducted, summary of effort for each of the 16 mandated developmental disabilities services, etc.

(2) *Effect*: Refers to the results of the State planning council's activities, such as the number of developmentally disabled individuals who have been deinstitutionalized, the extent to which all developmentally disabled persons are experiencing developmental progress in accordance with their predetermined habilitation plans, etc.

(3) *Adequacy*: Refers to how much of the state's need is being met by the planning council's activities, e.g., ratio of the number of developmentally disabled who have been deinstitutionalized to the number who still remain in institutions.

(4) *Efficiency*: Refers to the comparative cost of achieving a certain level of effect, such as the relative cost of deinstitutionalizing all those developmentally disabled persons who were released from institutions within the past year.

(5) *Process*: Refers to the manner in which the State planning council is organized and operates and how this impacts upon the state's developmental disabilities needs. For instance, the type of deinstitutionalization effort mounted by the State planning council, and the effects achieved, could well be influenced by the relationship between the planning director and the council.

This list of indicators is not exhaustive, but it does give the reader some insight into the types of questions to be addressed during an evaluation of a State planning council.

Data Collection and Analysis Procedures - State developmental disabilities planning councils should be evaluated on a yearly basis. Councils can either evaluate themselves, or they can be evalu-

ated by some outside entity. This could be either Federal officials (at the Regional Office or at the Central Office) or the administering State agency. In either case, time and personnel would probably be lacking. Should this be the case, recourse could be taken to outside consultants or to specially designated task forces.

For the first time that a council is evaluated, the State Plan Checklist should be applied to the five most recent State plans. This will provide insight into the developmental process and provide an indication of the continuity of the planning process. Subsequent evaluations would then involve only the current State plan.

The questionnaire for the Opinion Survey should be completed by *all* developmental disabilities council members. This is necessitated by the fact that councils are relatively small, and only total participation will insure the validity of the findings. Promptings by the council's executive director and/or the council's chairperson may be necessary to insure a 100% response rate.

The sample worksheet for analyzing data from an evaluation study of a State planning council indicates types of questions which will have to be answered before the evaluators can assess effort, effect, adequacy, efficiency, and process. These questions are only examples. The exact list of questions can and should be determined by the uniqueness of the council and its specific objectives. Most of the worksheet questions can be answered by reviewing relevant council documents. After documents have been reviewed, interviews will have to be conducted with relevant council staff. The content of the interviews should be determined by what is learned from reviewing the documents, i.e., staff will have to be interviewed for possible clarification of existing information, and for additional information not contained in documents. Thus, the interviews with staff are supplemental.

Interpretation and Planning Implications - Evaluation studies on individual projects provide decision-makers with information so that funding decisions can be made. They not only allow for program modification, but also can suggest specific modifications. On the other hand, evaluation studies on State planning councils provide decision-makers with information so that council organization, priorities, or activities can be modified should deficiencies be uncovered. They also make it possible to reformulate public policy, if not suggest specific reformulations. Thus, evaluation studies at the council level have implications for both planning at the State level (for either the council, or the administering State agency) and at the Federal level.

Reporting - The evaluation study and its findings should be communicated by written report. This report should contain the following components:

(1) *Summary of Findings and Recommendations*: This should include a very brief statement of the council's objectives and activities, a very brief summary of findings, and a listing of recommendations.

(2) *Introduction*: This should cover a brief statement about the council, the administering State agency, and should specify the objectives of the evaluation and the general approach taken.

(3) *History of the Developmental Disabilities Council*: Emphasis should be placed on trends and evolution of the council, calling attention to any major constraints on the council and describing success, or lack of it, in operating within these constraints.

(4) *Analysis*: This section should report on the five types of assessment, i.e., effort, effect, adequacy, efficiency, and process. More specifically, each council objective should be considered in terms of: effort expended; effects from expended effort; adequacy of effects to total needs; ef-

iciency in achieving documented effects; and the process whereby the objective was, or was not, effectively and efficiently met.

(5) *Interpretation:* This should set forth all resulting recommendations with supporting rationale.

SUMMARY AND CONCLUSIONS

The Developmentally Disabled Assistance and Bill of Rights Act (P.L. 94-103) has mandated the evaluation of all direct service programs in that it has provided for the creation and implementation of "a comprehensive system for the evaluation of services provided to persons with developmental disabilities". This system will essentially focus upon outcome indicators of the developmental progress of clients with one or more disability. *When implemented*, it will make a definite contribution to the planning process. However, it will probably not be implemented by *all* states until the early 1980's. Also, there are no legislative assurances that this system will ever address anything other than service effectiveness. There are other questions which have to be asked which are at least as critical to the planning process as service effectiveness. These focus upon program effort, adequacy, efficiency, and process.

Evaluation, to be of value, must be reasonably comprehensive. However, comprehensiveness must be balanced against judgments about available funds, time, and personnel. Also, complex, lengthy reports are less likely to be used by administrators because they provide more detail than is needed to make sound management decisions and require more time to digest than can be allotted by persons who are deeply involved in day-to-day management and service provision.

The evaluation guidelines presented here have been developed with these considerations in mind. Not only do they present a comprehensive, relatively inexpensive and readily comprehensible approach to evaluating direct service programs, but they also make it possible to evaluate the operation of State developmental disabilities planning and advisory councils. These guidelines either can be used in lieu of the comprehensive system legislated by P.L. 94-103, or as a supplement to that system, once it is implemented.

APPENDIX A

*INTERVIEW SCHEDULE FOR THE EVALUATION OF
INDIVIDUAL DEVELOPMENTAL DISABILITIES PROJECTS*

Title of Program: _____

Location: _____

A. INTRODUCTION (Identify all objectives of the program.)

(1) _____

(2) _____

(3) _____

B. PROGRAM OPERATION AND PERFORMANCE Questions 1 - 5 should be asked for each objective identified in Part A above.)

1. Effort (number and types of services/service units provided.)

(1) _____

(2) _____

(3) _____

2. Effect (Number of products produced, number of clients in long-term employment, level of training attained by clients, extent of clients' habilitation, etc.)

(1) _____

(2) _____

(3) _____

3. Adequacy (Percent of total community need being met.)

(1) _____

(2) _____

(3) _____

4. Efficiency (Cost per unit of outcome or documented effect.)

(1) _____

(2)

(3)

5. Process (Describe how program operated and explain why documented levels of effect, adequacy, and efficiency were achieved.)

(1)

(2)

(3)

- C. DD COUNCIL, REGIONAL OFFICE, OR CENTRAL OFFICE SUPPORT IN RELATION TO TOTAL PROGRAM (Indicate what was supported by DD Council, Regional Office, or Central Office by specifying the amount of support for each budget line item. Also, indicate the total amount of the budget by line item.)

APPENDIX B

**SAMPLE WORKSHEET FOR THE EVALUATION OF INDIVIDUAL
DEVELOPMENTAL DISABILITIES PROJECTS,
SHELTERED WORKSHOP XYZ**

Categories of Evaluation with Indicators					
<i>Objectives</i>	<i>Effort</i>	<i>Effect</i>	<i>Adequacy</i>	<i>Efficiency</i>	<i>Process</i>
1. place 12 DD clients in permanent employment	1. description of present structure and staff 2. number DD served 3. number transported 4. number and type of skills taught 5. number and type of items produced	1. number contracts and products sold 2. skill level achieved by DD clients 3. social adaptability & level of functioning achieved 4. support provided by community	1. % of total community need met	1. cost per client served 2. product cost ratios	1. description of evolution of project 2. description of how organization functions in pursuing major objectives
2. ↓ n	1. ↓ n	1. ↓ n	1. ↓ n	1. ↓ n	1. ↓ n
	1. ↓ n	1. ↓ n	1. ↓ n	1. ↓ n	1. ↓ n

APPENDIX C

STATE PLAN CHECKLIST

(Indicate which of the following items are contained in the State plan being reviewed by placing a check mark in the corresponding blank.)

- _____1. Description of scope of services currently available for the developmentally disabled
- _____2. Estimates of the total number of developmentally disabled receiving services
- _____3. Estimates of the total number of developmentally disabled requiring services
- _____4. Provision for the following services:

- | | |
|--|--|
| <input type="checkbox"/> evaluation | <input type="checkbox"/> early screening |
| <input type="checkbox"/> diagnosis | <input type="checkbox"/> early diagnosis |
| <input type="checkbox"/> treatment | <input type="checkbox"/> support for community |
| <input type="checkbox"/> information & referral | <input type="checkbox"/> alternatives |
| <input type="checkbox"/> day care | <input type="checkbox"/> coordination |
| <input type="checkbox"/> self care | <input type="checkbox"/> educational programs |
| <input type="checkbox"/> community alternatives | <input type="checkbox"/> mental health |
| <input type="checkbox"/> training | <input type="checkbox"/> social services |
| <input type="checkbox"/> education | <input type="checkbox"/> evaluation efforts |
| <input type="checkbox"/> sheltered employment | <input type="checkbox"/> maternal care |
| <input type="checkbox"/> counseling | <input type="checkbox"/> developmental screening |
| <input type="checkbox"/> recreation | <input type="checkbox"/> home care |
| <input type="checkbox"/> follow-along | <input type="checkbox"/> infant and preschool |
| <input type="checkbox"/> advocacy/legal services | <input type="checkbox"/> stimulation |
| <input type="checkbox"/> domiciliary care | <input type="checkbox"/> parent counseling |
| <input type="checkbox"/> transportation | |

- _____5. Habilitation plan
_____planning _____development _____implementation
- _____6. Plan to eliminate inappropriate institutional placement (10% funds allocated for FY 1976; at least 30% thereafter)
- _____7. Plan to improve quality of institutional care for those requiring it
- _____8. Provide for maximizing use of all available community resources, including volunteers
- _____9. Provide for review of State plans for other agencies that serve the developmentally disabled

10. Design for implementing State plan
including:

- _____ priorities for expenditure of funds
- _____ plan for use of funds
- _____ specific, measurable objectives to be achieved
- _____ programs and resources to be used to achieve objectives
- _____ method for evaluating State plan implementation
- _____ method for evaluating funded projects/service programs
- _____ method for evaluating the State developmental disabilities
planning and advisory council

11. Comments: State plan characteristics

APPENDIX D

*OPINION SURVEY OF
DEVELOPMENTAL DISABILITIES COUNCIL MEMBERS*

1. What was the *most important* issue which arose during the last planning year in your state? (We are interested in issues such as: developing the State plan; establishing priorities; the relationship of mental health services to developmental disabilities services; an emphasis on community-based programs; local as opposed to State funding and control; which agency (ies) assumes direction or control of the program and so forth. Do not restrict yourself to issues which have been resolved as we are also interested in learning of issues which continue to present difficulties.)

2. What was the *next most important* issues which arose during the last planning year in your state?

3. For the most important issue indicated in Question * 1, indicate briefly: (a) How the issue has been resolved, or (b) If unresolved, how the issue stands today.

4. Creating a plan to combat developmental disabilities requires many different skills. Who in your state most influenced the planning during the past year by performing the tasks listed below? (*Do not mention names*; merely specify the job title of the position which he/she held last year and the agency in which he/she was employed. For example: Director, Division of DD, Department of Public Health; Exec. Director, Commission on Mental Retardation; or, Past President, State Association for Retarded Children. The position listed as "1" beside each task should have been held by the individual who most influenced the final State plan by performing the task; the position listed as "2" should have been held by the second most influential person. Any position may be listed more than once. Do not hesitate to insert your position where appropriate.)

<i>Task</i>	<i>Position (Job Title)</i>	<i>Agency</i>
Administrative - day-to-day management of planning effort	1. _____	_____
	2. _____	_____
Innovator - source of new ideas	1. _____	_____
	2. _____	_____
Provided technical information about mental retardation	1. _____	_____
	2. _____	_____
Primary source of impetus or drive	1. _____	_____
	2. _____	_____
Acted as arbitrator when disagreement occurred	1. _____	_____
	2. _____	_____
Established broad goals for the planning group	1. _____	_____
	2. _____	_____
Coordinative - brought appropriate individuals together and influenced them to contribute	1. _____	_____
	2. _____	_____

5. Prior to the start of developmental disabilities planning in 1971, what, in your opinion, were your state's *three* most pressing service needs? (Rank the *three most critical* in order of priority: 1=highest priority; 2=next highest priority; and 3=least highest priority.)

<i>Service Needs</i>	<i>Rank</i>
a. evaluation	
b. diagnosis	
c. treatment	
d. information & referral	
e. day care	
f. self care	
g. community alternatives	
h. training	
i. education	
j. sheltered employment	
k. counseling	
l. recreation	
m. follow-along	
n. advocacy/legal services	
o. domiciliary care	
p. transportation	
q. Other (Specify)	

6. *To the best of your knowledge, how do you feel your state ranked in 1976, relative to the other states, in providing the following services for the developmentally disabled? (Place an "X" under the phrase which, in your opinion, most closely describes your state.)*

<i>Service</i>	<i>Among the Very Best</i>	<i>Better Than Average</i>	<i>Average</i>	<i>A Little Below Average</i>	<i>Among the Worst</i>
a. evaluation					
b. diagnosis					
c. treatment					
d. information & referral					
e. day care					
f. self care					
g. community alternatives					
h. training					
i. education					
j. sheltered employment					
k. counseling					
i. recreation					
m. follow-along					
n. advocacy/legal					
o. domiciliary care					
p. transportation					

7. As of this date, what are your state's *three greatest* service needs for the developmentally disabled? (Rank three in order of priority: 1=highest priority; 2=next highest priority; and 3=least highest priority.)

<i>Service Needs</i>	<i>Rank</i>
a. evaluation	
b. diagnosis	
c. treatment	
d. information & referral	
e. day care	
f. self care	
g. community alternatives	
h. training	
i. education	
j. sheltered employment	
k. counseling	
l. recreation	
m. follow-along	
n. advocacy/legal services	
o. domiciliary care	
p. transportation	
q. Other (Specify)	

8. Which professional, civic, or consumer organization was *most* actively involved in development disabilities planning last year in your state?

8a. Indicate the nature of its involvement by placing a check mark in the blank corresponding to the statement which best describes its role.

☐ Provided technical knowledge
☐ Public education and public relations
☐ Financial support
☐ Was generally constructive when asked for advice
☐ Was silent observer
☐ Was generally antagonistic
☐ Other (Specify) _____

9. Which professional, civic, or consumer organization was *next most* actively involved in developmental disabilities planning last year in your state?

9a. Indicate the nature of its involvement by placing a check mark in the blank corresponding to the statement which best describes its role.

☐ Provided technical knowledge
☐ Public education and public relations
☐ Financial support
☐ Was generally constructive when asked for advice
☐ Was silent observer
☐ Was generally antagonistic
☐ Other (Specify) _____

10. Which professional, civic, or consumer organization was not actively involved in developmental disabilities planning last year in your state, but should have been?

11. In your opinion, how successful has the developmental disabilities planning effort in your state been over the past year in achieving the following goals? (Base your rating upon your own estimate of what is reasonably ideal. When rating, use the following code: 1=Very Successful; 2=Average Success; 3=Not Very Successful; and 4=Was Not a Goal of the Planning Effort in this State.

<i>Goals</i>	<i>Rating</i>
a. Informing the public	
b. Identifying the needs of the State	
c. Bringing together governmental officials thus informing them of potential areas of cooperation	
d. Developing an ideal toward which the state may strive	
e. Developing a plan which is likely to be in a large part implemented within the next three years	
f. Developing a means to achieve coordination among governmental agencies	

12. Using the vantage of hindsight, how would you change the planning process were you to begin again? Please comment on each of the following areas:]

(a) *Formal orgnaization for planning*

(b) *Role of individuals outside of government*

(c) *Role of government officials*

(d) *Other*

13. In general, how were last year's priorities established? (Indicate the extent of the role played by *each* method in setting these priorities. 1=Largest Role; 2=Next Largest Role .. .6=Smallest Role.)

<i>Method</i>	<i>for</i>	<i>Setting</i>	<i>Priorities</i>	<i>Rating</i>
a.	Federal legislation/mandates			
b.	Analysis of "needs" data			
c.	Compromise among interest groups			
d.	Domination by interest groups within the DD Council			
e.	Suggestions by Planning Staff, e.g., Director			
f.	Other (Specify)			

14. To what extent did the developmental disabilities council agree on priorities and objectives last year?

- ☐ High agreement
☐ Some agreement
☐ No agreement

15. Are you a (Check one):

- ☐ Consumer
☐ State agency representative
☐ Interested citizen
☐ Other (Specify) _____

16. Comments:

APPENDIX E

*SAMPLE WORKSHEET FOR THE EVALUATION OF STATE DEVELOPMENTAL
DISABILITIES COUNCILS, COUNCIL ABC*

Categories of Evaluation with Indicators

<i>Objectives</i>	<i>Effort</i>	<i>Effect</i>	<i>Adequacy</i>	<i>Efficiency</i>	<i>Process</i>
1. to plan for increasing the the availability of community-based services for the severely, multiply handicapped	1. description of organiza- tions and staff work- ing on de- veloping the plan 2. number of planning meetings be- tween DD council and other rele- vant agencies 3. content of these plan- ning meet- ings 4. type of plan- ning data on needs and re- sources col- lected and ana- lyzed 5. amount of staff time de- voted to develop- ing the plan	1. extent to which a plan for increas- ing the availa- bility of com- munity based services for the severely handicapped has been de- veloped	1. extent to which the plan is suf- ficiently com- prehensive, flexible, and takes into considera- tion short- and long- range needs (to deter- mine ade- quacy, plan- ning data on needs and re- sources will be needed)	1. cost of developing the plan	1. descrip- tion of the plan- ning effort 2. descrip- tion of DD coun- cil's re- lation- ship to the other organi- zations involved in the plan- ning ef- fort, es- pecially as it might impact upon this ef- fort

Sample Worksheet (Cont.)

Objectives	Effort	Effect	Adequacy	Efficiency	Process
2. desinstitutionalize 25% of all DD clients throughout the state who have been unnecessarily institution- alized	1. description of present organizations and staff working to achieve the state's deinstitutionalization goal 2. number of group homes started 3. number of model deinstitutionalization projects started 4. number of brochures distributed to public on the nature and causes of DD	1. number of DD clients who were actually deinstitutionalized 2. % of DD clients out of institutions who are meeting the goals of their habilitation plans 3. % of DD clients still in institutions who are meeting the goals of their habilitation plans	1. % of all institutionalized DD clients who are no longer in institutions	1. cost of deinstitutionalizing those DD clients who are no longer in institutions as compared to cost of still maintaining them in institutions	1. description of evolution of deinstitutionalization effort 2. description of DD council's relationship to the service delivery system, especially as it might impact upon the success of the deinstitutionalization effort

