Evaluation and Logic Models

By Karen Norris, Principal
Kanoco Consulting

Prepared for
Governor’s Office of Planning and Research
State of California
OPR Federal Assistance

We serve the Governor and the Cabinet as staff for long-range planning and research, and constitute the comprehensive state planning agency.
Review of Federal Programs

The State Clearinghouse (SCH) serves as the state's Single Point of Contact for the review of federal assistance applications pursuant to Presidential Executive Order No. 12372. Notification of all federal assistance applications must be provided to the SCH pursuant to Assembly Bill No. 1348, which in turn publishes this information for review and comment by State and local elected officials. SAM Section 0912 requires that departments submit new federal funds through the SCH and then through Finance through a DF-24 notification prior to applying for funds.

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Webinar Presentation

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Attendee Polls

Who is attending today?
Learning Objectives

• Define a logic model.
• Identify common challenges when communicating outcomes and results.
• Recognize a variety of logic model formats.
• Use logic models to demonstrate outcomes linked to resources and activities.
Logic Models

A Few Words
A Few Words

The uniform guidance requires performance and results. Federal agencies and nonfederal entities must demonstrate performance and deliverables under grant award agreements (200.210).
Learning Objective #1

Define a Logic Model
LO1: Define a Logic Model

In General

• Effective evaluation tool.
• Component of an evaluation plan.
• The entire evaluation plan.
• Greatest assets:
  • Demonstrates performance and results over time.
  • Aligns program progress with financial data.
Definition

• A logic model is a formatted, prescribed way to develop relationships among the activities you plan to do, the change you plan to achieve, and your program operating resources.
LO1: Define a Logic Model

Visual Display

• Formatted as a chart or table.
• Demonstrates cause/effect relationships.
• Four basic components:
  • Inputs or resources.
  • Activities.
  • Outputs.
  • Outcomes (change, impact).
Components

• **Inputs/Resources**: What resources, such as funding, personnel, or equipment, that support the program.

• **Activities**: What work, such as a training program, will accomplish the objectives.
Components

• **Outputs**: What is produced, such as the number of workshops, number of attendees.

• **Outcomes**: What benefits or change, such as increased knowledge, resulted.
Components

• The first three components (resources, activities, outputs) are used to achieve results or make change happen.

• The fourth component (outcome) is the change that resulted, the impact.

Cause/effect.
Causal Relationships

- Logic models show cause/effect relationships:
  - What is the effect of using the resources?
  - What work/activities are performed using the resources?
  - What is produced from the activities?
  - What benefits or impacts would result?
Logic Models and Uniform Guidance

• All four components are based on terms frequently used in grants.
• Many grant professionals use some of these terms in evaluations as standard practice.
• Logic models are well-aligned with the focus of the uniform guidance and its performance-based requirements.
LO1: Define a Logic Model

Attendee Poll

Logic models show:
1. Cause/effect relationships
2. Stop/go relationships.
3. On/off relationships.
4. In/out relationships.
Learning Objective #2

Common Challenges When Communicating Outcomes and Results
LO2: Outcomes and Results

Common Challenges

• Address uniform guidance requirements.
• Demonstrate long-term results.
• Manage cause and effect relationships.
• Distinguish between outputs and outcomes.
Address Uniform Guidance

• Federal agencies must note performance goals and outcomes intended to be achieved in the award agreement (§200.210).

• Performance goals must be associated with a timeline for completion (§200.210).
Address Uniform Guidance

• Recipients must related financial data to performance accomplishments (§200.301).
• Recipient performance should be measured in a way to improve program outcomes (§200.301).
Address Uniform Guidance

• Performance reporting should reflect recipient progress and identify promising practices to build evidence upon which future federal agency awarding decisions are made (§200.301).
Address Uniform Guidance

• Nonfederal entities must monitor activities under federal awards to assure compliance and performance expectations are being achieved (§200.328).
Address Uniform Guidance

• Nonfederal entities must submit performance reports using OMB-approved government-wide standard information collections (§200.327 and §200.328).
  • Comparison of accomplishments to objectives.
  • Reasons why goals were not met.
  • Additional information about any cost over-runs or high unit costs.
Long-Term Outcomes

- Long-term outcomes are often difficult to articulate in a proposal.
- If the awarded program is for a short period of time, long-term outcomes would likely occur beyond the end date.
Demonstrate Long-Term Outcomes

• Challenge to commit to long-term outcomes:
  • Often would occur beyond end date.
  • Federal agencies seek sustainability.

• Logic models can help demonstrate the likelihood of long-term outcomes without committing the recipient beyond the end date.
Manage Cause and Effect

• Some financial managers, for example, monitor the amount of funding spent (resources).
• While important, it is not the best indicator of achieving results.
  • What occurred after spending the resources?
  • What was the change, the impact, the effect?
Manage Cause and Effect

• Some program managers monitor the number of participants served or amount of hours logged (activities, production).

• Production numbers provide an indication that something happened or was produced, but don’t reflect that needs were met or desired goals achieved (the effect).
Distinguish Between Outputs and Outcomes

• To manage cause/effect, grant managers (financial and program) must correlate their data and understand outputs and outcomes.
  • An output is usually a measure, such as the number of classes attended.
  • An outcome is a benefit, a change.
Outputs

• Example: 30 participants, 5 workshops = 150 trained.
• Many evaluations stop with outputs and miss the significance of the work effort, the outcomes.

What was the result or change because of the training?
Outcomes

• From the training example, what increased knowledge or skills resulted from the workshops?
• What were the benefits, change, impact:
  • Were attendees better qualified to work?
  • Did they earn a credential?
  • Were they promoted?
  • Were they retained?
Another Example - Athlete

• An output: The number of coaching sessions an athlete received.
• An outcome: How well the athlete ran.
Example - Athlete (cont)

• Other associated measures:
  • Improved speed of the athlete.
  • Number of races won.

Associated measures would support or provide evidence for the primary outcome, how well the athlete ran.
Variety of Logic Model Formats
Typical Format

• Several ways to present a logic model.
• Typically presented as a table with columns.
• Could be a diagram or chart.
Column Format

• Captures information as a progression from cause to effect.

• There are generally four columns:
  • Col. #1: Resources or inputs.
  • Col. #2: Activities.
  • Col. #3: Outputs.
  • Col. #4: Outcomes.
LO3: Logic Model Formats

Formats

• Some formats include the objective written above the columns.
• Some formats split the outcomes column into three:
  • Col. #4a: Short-term outcomes.
  • Col. #4b: Mid-term outcomes.
  • Col. #4c: Long-term outcomes.
Other Formats

• Some awarding agencies have their own version of the basic logic model format.

• More funding agencies and nonfederal entities are using logic models:
  • EPA, ED, CDC, HUD.
  • WK Kellogg Foundation, United Way.
Let’s look at some formats on the next slides.
## LO3: Logic Model Formats

<table>
<thead>
<tr>
<th>INPUTS</th>
<th>ACTIVITIES</th>
<th>OUTPUTS*</th>
<th>SHORT TERM OUTCOMES*</th>
<th>MEDIUM TERM OUTCOMES*</th>
<th>LONG TERM OUTCOMES*</th>
</tr>
</thead>
<tbody>
<tr>
<td>In order to accomplish our goals will need the following resources</td>
<td>Accomplishing the following activities will result in the following measurable deliverables</td>
<td>Accomplishing these activities will result in the following evidence of progress</td>
<td>We expect the following measurable changes within the life of the grant</td>
<td>We expect the following measurable changes within the next one to three years</td>
<td>We expect the following impacts/trends within the next three to seven years or more</td>
</tr>
</tbody>
</table>

**Column style of logic model.**
A research logic model – no activities.
A linear progression to demonstrate cause/effect from resources to results.
Starts with “problem.” Merges activities and participation under outputs.
## LO3: Logic Model Formats

<table>
<thead>
<tr>
<th>Obj: To ...</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inputs</strong></td>
</tr>
<tr>
<td>Resources</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Four basic components, includes objective.
Learning Objective #4

Use Logic Models To Demonstrate Outcomes that are Linked to Activities and Resources
Goals and Objectives

• A goal establishes the overall direction of a program.
• Goals are typically broad statements of intent.
• Examples:
  • To improve academic achievement of students.
  • To reduce adverse environmental impacts of pollution.
  • Often start with “To.”
LO4: Use Logic Models

Goals and Objectives

• An objective defines the steps to achieve the goal.
• Objectives are specific and measurable.
Attendee Poll

• Well-written objectives are:
  • Generally vague.
  • Optional components in an evaluation.
  • Specific and measurable.
  • Almost always an estimation.
Objectives

• There are several kinds of objectives:
  • SMART objectives.
  • Process objectives.
  • Outcome objectives.
SMART Objectives

• SMART objectives follow a formula:
  • Specific.
  • Measurable.
  • Achievable.
  • Realistic.
  • Time-dependent.
Weak vs SMART Objective

- **Weak objective**: Increase math achievement scores for Program X attendees.
- **SMART Objective**: The percentage of students in Program X who meet or exceed the math standard will increase by 10 percent by the end of the school year.

*Which sounds more worthy of funding?*
Process Objectives

• All about actions, activities, numbers, tasks to complete:
  • Production.
  • Outputs.
  • Numbers of activities.
Outcome Objectives

• All about results of the actions and activities:
  • Impact.
  • Benefit.
  • Change.
Process vs. Outcome Objectives

• **Process**: 85% of students will participate in at least one academic activity a week throughout the year.

• **Outcome**: 85% of students will participate in at least one academic activity a week throughout the year, thereby engaging in learning and increasing retention rates by 20% compared to students who do not participate in the program.

*Which one sounds more worthy? Which is easier to measure?*
Process vs. Outcome Objectives

• **Process**: 80% of Program X attendees will participate in at least three recreational programs a season.

• **Outcome**: 80% of Program X attendees will participate in at least three recreational programs a season, promoting healthy behavior and making good choices, thereby improving healthcare data for 75% of participants.

*Which one sounds more worthy? Which is easier to measure?*
Process vs. Outcome Objectives

- **Process**: By the end of Year 1, a minimum of 30 parents/guardians will participate in an extended day activity at the school.

- **Outcome**: By the end of Year 1, a minimum of 30 parents/guardians will participate in an extended day activity at the school to enable them to develop their own skills and better help their children with homework, as evidenced by pre- and post-surveys.
A Few More Words

• Process objectives measure outputs, and assume that benefits and change take place.

• Outcome objectives measure outcomes, and document that benefits or change take place.
More Objectives

• We will hold a conference in the spring offering a session on grant writing attended by 50 staff (assumes increased skills).

• 75% of staff attending the grant-writing session in the spring will demonstrate an increase in knowledge of strategies for writing based on pre- and post assessments (documents increased skills).
More Objectives

• We will create a new math computer lab that includes the latest software designed to help students learn college algebra (*assumes that learning takes place*).

• Students enrolled in college algebra in the fall semester who complete 30 hours of computer-based academic support in the new math lab will reflect a course completion rate 10% higher than a comparable cohort of students with no access to the lab (*documents that learning takes place*).
## LO4: Use Logic Models

**Obj:** To ... (workforce development)

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resources</td>
<td>Work in progress</td>
<td>Production #s</td>
<td>Change/Impact</td>
</tr>
<tr>
<td>Funding</td>
<td>30 participants per workshop</td>
<td>150 trained</td>
<td>150 eligible to work</td>
</tr>
<tr>
<td>Personnel</td>
<td>5 workshops</td>
<td></td>
<td>120 earned a required credential and gained employment.</td>
</tr>
<tr>
<td>Classrooms</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Instructional mat’ls</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>105 remained employed after there years.</td>
</tr>
</tbody>
</table>
# LO4: Use Logic Models

**Obj: To ... (parenting skills)**

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resources</td>
<td>Work in progress</td>
<td>Production #s</td>
<td>Change/Impact</td>
</tr>
<tr>
<td>Funding</td>
<td>Develop parent curriculum</td>
<td>200 parents trained</td>
<td>Parents understand their own parenting style</td>
</tr>
<tr>
<td>Staff</td>
<td>Deliver 8 sessions for 25 parents each session</td>
<td>100 parents receive supplemental support services</td>
<td>Parents gain confidence in their abilities</td>
</tr>
<tr>
<td>Partners</td>
<td>Conduct 8 support groups each month over 6 months</td>
<td></td>
<td>Parents identify appropriate actions to take</td>
</tr>
<tr>
<td>Research evidence</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**LO4: Use Logic Models**

<table>
<thead>
<tr>
<th>Obj: To ... (improve access to health information)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inputs</strong></td>
</tr>
<tr>
<td>Resources</td>
</tr>
<tr>
<td>Funding</td>
</tr>
<tr>
<td>Staff</td>
</tr>
<tr>
<td>Partners</td>
</tr>
<tr>
<td>Research evidence</td>
</tr>
<tr>
<td>Curriculum</td>
</tr>
<tr>
<td>Equipment</td>
</tr>
<tr>
<td>Internet</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

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## LO4: Use Logic Models

**Obj: To ... (bike helmets)**

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resources</td>
<td>Work in progress</td>
<td>Production #s</td>
<td>Change/Impact</td>
</tr>
<tr>
<td>Funding</td>
<td>Locate data about deaths and brain injury</td>
<td>Produce special report</td>
<td>Bike riders use helmets more frequently (survey data)</td>
</tr>
<tr>
<td>Staff</td>
<td>Develop public service annn’s</td>
<td>Produce press kits</td>
<td></td>
</tr>
<tr>
<td>Volunteers</td>
<td>Hold award event</td>
<td>Obtain air time for PSAs</td>
<td>Deaths and rate of traumatic brain injury decrease (ER data)</td>
</tr>
<tr>
<td>Associations</td>
<td>Develop press kits</td>
<td>Conduct award recognition for 300 attendees</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conduct focus groups</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Logic Models and Performance

Summary
Summary

• Uniform guidance focuses on program and financial performance.

• Award agreements include deliverables that must be met.

• Deliverables are based on promises (objectives) presented in the proposals.
Logic Models and Performance

Summary

• Nonfederal entities are under increased scrutiny to demonstrate performance – financial and program.
• Awarding agencies have more responsibility to select low-risk programs that deliver results.
Summary

• Logic models reflect performance and results linked to expended resources.
• Logic models demonstrate impact, change, and benefits of the work effort.

*Logic models provide a tool to demonstrate results.*
Logic Models and Performance

Q & A
Please be reminded:

*This presentation is intended to provide general information and does not constitute legal or financial advice. Please consult with your legal and financial advisors. I hope, however, that the information helps provide some insights as you further pursue your work in the grants community.*
Webinar

Prepared For

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