### **Contents**

PART ONE A SECOND

Introduction and Basic Issues in Program Evaluation	1
Chapter One The Program and Policy Evaluation Field: Histor of Evaluation, Leading Controversies, and Some Agreed-upon Practives of the Program of Evaluation of Evaluation of Evaluation of Practives of Evaluation	y, Types tice

A Brief History of Social Policy and Program Evaluation in the United States 2

Early Roots: Two Enduring Lessons from the First and Second Generations of the Practice of Program/Policy Evaluation 2
The Golden Age: The Third Generation of Program/Policy Evaluation 3 After the Boom Comes the Bust: The Years Since 1980 6

Bright Prospects for the Future: Fourth Generation Program and Policy Evaluation 6

Types of Social Policy and Social Program Evaluation 8
Principle: Choices Among Evaluation Types Should Be Based on the Questions One Wishes to Answer 9 Principle: Types of Evaluation are Specific to Organizational Self-Interest 10
Principle: Program and Policy Evaluations are Always Political in Nature 11 Quantitative and Qualitative Types of Program Evaluation 12

Major Problems and Controversies in the Field of Social Program and Policy Evaluation 16

The Paradigm Problem 17 The Measurement Problem 19
The Implementation Problem 21 The Utilization Problem 24

Chapter Two • Ethics, Legal Issues, and Professional Standards in the Evaluation of Social Programs 29

Introduction 29

Ethics in Conducting Evaluation Research 33

Important ( Issues 33	Concepts and Di	stinctions Relevant to Ethical	
Types of Moral Pri	nciples 35		
Ethical Premises in	the Protection of	Human Subjects Document	36
Ethical Issues in the from Laboratory, Bi	e Prooram and Da	line Paral 1 1 mm	oo ifferent
Etnical Dilemmas	<i>38</i>		
Ethical Issues in Pr	otecting Individu	al Research Subjects 39	
Informed Consent	40	The state of the s	

## Chapter Three • Legal Issues and Professional Standards in Evaluation Research 46

Professional Standards 46

Basic Assumptions Underlying the ERS Standards 48

Standards for the Formulation Phase of an Evaluation Project 50

Standards for the Design and Structure of an Evaluation Project 50

Standards for Data Collection and Preparation 51

Standards for Analysis and Interpretation of Evaluation Data 51

Standards for Communication and Disclosure 51

Standards for the Use of Evaluation Results 52

A Critique of the Standards 52

Legal issues in Evaluation 62

Contract Performance 63 Malpractice and Confidentiality 64 Defamation of Character 65

# PART TWO Evaluation in Initial Stages of Program Development 68

# Chapter Four • Needs Studies 68 Conceptual Dimensions of Need 68 Assessment of Need 70 Identifying Needs 70 Need Technology 71 Methodology in Need Studies 73

147

Qualitative Approaches 74 Quantitative Approaches 86 Needs Assessment Survey 93 Multiattribute Utility Analysis 99

Controversies About Needs Studies 101

#### Chapter Five • Describing the Policy or Program Theory Base for **Evaluation Purposes** 107

Introduction 107

The Importance of Program Theory 107

Differentiating Program Theory from the Theory of a Social Problem 111

Making Program Theory Explicit 115

#### Chapter Six • The Assessment of Social Program Evaluability 119

Information Needs 121

Clarifying the Purpose of Program Evaluation 121 Program Reality Information 121 Information on Technical Feasibility 122

Methodology in Evaluability Assessment 125 Assessment of Purpose 125 Program Assessment 126 Feasibility Assessment 135 Human and Political Feasibility 138

Evaluability Analysis and Decision Making Recommend Against Evaluation 142 Recommend Program Changes 142 Recommend Qualitative Evaluation 142 Recommend Partial Evaluation 143

Controversies About E.A. 143

#### Chapter Seven • Monitoring Social Policy and Program Implementation, Part I: Program Participants' Characteristics, Utilization, Selection Bias, and Discontinuance/Drop-Out Rates

The Importance of Implementation Monitoring to Program Evaluation 147

The Status of Implementation Monitoring in Evaluation 153

Some Important Distinctions and Some Basic Terminology for Monitoring 155

Monitoring for Program Utilization, Selection Bias, and Program Discontinuance/Dropout 156

Monit	toring for Selection Bias ctent of Program Utilizat	157 ion	Monitoring to Determine
4.4.4.4	160		

Summary 169

#### Chapter Eight • Monitoring Social Policy and Program Implementation, Part II: Program Activities

Introduction 172

Three Implementation Errors 173

Constructing Program Specifications 179

Observing Implementation 185

Introduction 185 Choosing an Observational Strategy 186

#### **PART THREE**

Quantitative Approaches to Program Evaluation 189

#### Chapter Nine • Measurement Strategies in Program Evaluation 189

By James A. Rosenthal and Kenneth R. Wedel

Distinguishing Between Reliability and Validity 189

Reliability: The Consistency of Measurements

Methods for Assessing Reliability 191 Reliability of Judgments and Observations 192 The Importance of Reliability 193

Validity: Measuring What Is Intended 194

Definitions 194 Factors Influencing Validity 195 Reliability versus Validity 198 Multiple Measures 199 Measurement Tools 201 Developing Questions and Measures 203

#### Conclusion 208

#### Chapter Ten • Designing Research for Evaluating Outcomes 212

Introduction 212

Necessary Preliminaries to the Design of Research Evaluating of Program Outcomes 212

Drawing Conclusions About "Causal Relationships" in Evaluating Program

Types of Validity

Methods and Issues in Protecting the Validity of Findings 220

272

Introduction 220 Further Complications in Protecting the Validity of Findings 228 Paired Treatment—Withdrawal Designs 231 Generalizing Findings Across Places, Times, and People: External Validity 234

#### Chapter Eleven • Cost-Effectiveness and Cost-Benefit Studies 238

Definition of Terms 238

Cost-Effectiveness Defined 238 Cost-Benefit Defined 239

Rudimentary Concepts in Cost-Effectiveness and Cost-Benefit Studies 239

Determination of Costs 239 Valuing Costs 241 Sensitivity

Analysis 243

Cost Per Unit of Service 243

Applying Cost-Effective Analysis 250

An Example of Cost-Effectiveness Analysis 250

Applying Cost-Benefit Analysis 255

Identifying and Valuing Program Benefits 255 Discounting to Present Value 257 Comparing Costs and Benefits 258 An Example of Cost-Benefit Analysis 260

Controversies in Cost-Effectiveness and Cost-Benefit Analysis 266

#### **PART FOUR**

#### Alternative Approaches to Social Program Evaluation

Chapter Twelve • A Critique of the Quantitative Approach to Program Evaluation 272

A Brief History of Evaluation from a Non-Quantitative Perspective 272

The First Critique: The Quantitative Approach Hasn't "Worked" 275

The Second Critique: The Quantitative Approach Can't Work Because Its Premises are Wrong 277

Arguments Regarding the Nature of Reality 279 Arguments Regarding the Nature of Research 281

Conclusions 284

## Chapter Thirteen • Qualitative Research Methods and the Constructivist Paradigm in the Evaluation of Social Programs and Policies 288

Introduction 288

Supremacy 289 Synthesis 290 Contingency 290 Dialectic 290 Anything Goes 291

Evaluation Research Implications Based on a Paradigm Choice 293

Methodologic Consequences of the Constructivist Paradigm Natural Setting 294 Emergent Design 295 Human Instrument 296 Tacit Knowledge 296 Qualitative Methods 297 Grounded Theory 298 Purposive Sampling 299 Inductive Data Analysis 300 Problem-Determined Boundaries 300 Idiographic Interpretations 301 Tentative Application 302 Negotiated Results 302 Case Study Reporting Mode 303 Trustworthiness 304

Principles of Constructivist Evaluation Practice 304

Methods of Constructivist Evaluation 306

Research Design: Emergent Design, Problem-Determined Boundaries, Purposive Sampling 308 Data Collection and Recording: Qualitative Methods, Human Instrument, Tacit Knowledge 311 Data Analysis: Grounded Theory, Inductive Data Analytic Procedures 318 Reporting: Case Study Reporting Mode, Idiographic Interpretations, Tentative Application 321 Rigor: Trustworthiness, Negotiated Outcomes, Authenticity 322

Distinctive Features of the Constructivist Evaluation and the Constructivist Evaluator 328

Index 333