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**INTERIM SUMMATIVE EVALUATION: ASSESSING THE VALUE  
OF A LONG TERM OR ONGOING PROGRAM  
DURING ITS OPERATION**

**by**

**Sharon Craven Dodson**

**A Dissertation  
Submitted to the  
Faculty of The Graduate College  
in partial fulfillment of the  
requirements for the  
Degree of Doctor of Philosophy  
Department of Educational Leadership**

**Western Michigan University  
Kalamazoo, Michigan  
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# INTERIM SUMMATIVE EVALUATION: ASSESSING THE VALUE OF A LONG TERM OR ONGOING PROGRAM DURING ITS OPERATION

Sharon Craven Dodson, Ph.D.

Western Michigan University, 1994

Evaluation conducted for the purpose of certifying a program's utility or summarizing its value is summative in nature. Most commonly, summative evaluations are conducted retrospectively to provide a record for program accountability. In the case of long term programs that may run ten or twenty years, however, there is often a need to conduct summative evaluations while the program is operating, so that value and utility can be assessed at various stages of the program's development. This study was designed to develop the concept and methodology for conducting these interim summative evaluations.

Through a review of research, characteristics of interim summative evaluations were identified and then used to design and conduct such an evaluation for one particular application. A framework and process for summatively evaluating ongoing programs were thus articulated. The process was then analyzed to critically examine the concept and operationalization of interim summative evaluation and to produce guidelines and recommendations for application.

Definitions of formative and summative evaluation, independent of the timing of the evaluation, are suggested by this work. One finding of the study was that Stufflebeam's CIPP model for program evaluation, augmented by "Sustainability" evaluation, could be particularly useful in designing summative evaluations for long term programs. Recommendations included: (a) that the Joint Committee's Standards

for Educational Programs, Projects, and Materials be used to design and evaluate interim summative evaluation reports; (b) that evaluations of long term programs include summative components that are planned in the context of ongoing evaluation and clearly bounded; and (c) that evaluators attempt to anticipate informational needs of clients.

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**Dodson, Sharon Craven, Ph.D.**

**Western Michigan University, 1994**

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Sharon Dodson

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## CHAPTER I

### INTRODUCTION

#### The Problem and Its Background

Since Michael Scriven first coined the terms "formative evaluation" and "summative evaluation" in 1967, there has been considerable discussion about the differences between these two roles of evaluation. In numerous writings, role distinctions have been made based on function, audience, timing, instrumentation, and reporting. In general, formative program evaluation is identified with prospective evaluation, and is done while a program is operating for the purpose of improvement. Summative program evaluation, by contrast, is identified with retrospective evaluation done after the program has run its course for the purpose of summing up the value of the program.

Scriven (1992) distinguished formative evaluation from summative evaluation by the following definitions: formative evaluation is "typically conducted *during* the development or improvement of a program or product (or person, and so on) and it is conducted, often more than once, *for* the in-house staff of the program *with the intent to improve*." Summative evaluation, by contrast, is "conducted *after* completion of the program (for ongoing programs, that means after stabilization) and *for* the benefit of some *external* audience or decision maker."

Applying the definition of summative evaluation has proven problematic in a variety of contexts, but especially in evaluations of long term or ongoing programs. In cases where programs may run ten, twenty, or more years, it is clear that efforts to summarize value must be studied and reported long before the program ends, even if

the program never "stabilizes." Funding sources for long term programs must know about program value while the program is operating, so that decisions can be made regarding continuation, modification, and termination (decisions in the summative domain). Yet it is not clear from theory or from practice, how a long term or ongoing program can be summatively evaluated while it continues to operate.

This study is designed to develop the concept of interim summative evaluation--its definition, methodology, and application. Characteristics of interim summative evaluations, which were identified by a review of research, are used to design a summative evaluation for one particular application. Through this example, a methodology for evaluating ongoing programs is articulated. The process of summatively evaluating a program while it is operating is then reviewed and analyzed to critically examine the concept and operationalization of interim summative evaluation and to produce guidelines and recommendations for conducting these evaluations.

Findings of this study will be of practical interest to program administrators and evaluators, who face the challenge of evaluating programs that extend over a number of years or program cycles. The resulting guidelines and recommendations for conducting interim summative evaluations will be instructive for a variety of applications with a number of potential users, e.g., philanthropic organizations, schools and school districts, state departments, and federal agencies.

Another audience that will potentially benefit from the findings of this dissertation are executive decision makers and board members. By increasing attention to interim summative evaluation, this audience can better commission and utilize evaluations to support their program decisions. By gaining a clearer view of the relationship between the formative and summative roles of evaluation, decision makers will be better guided for determining their information requirements. The guidelines



and recommendations for conducting interim summative evaluations are intended to provide this group with a useful tool for negotiating evaluation agreements.

### Context

A twenty-year, multi-site program, intended to improve the quality of life for youth, served as the example for developing the concept of interim summative evaluation. The program, funded by the W. K. Kellogg Foundation, had been evaluated by external evaluators (The Western Michigan University Evaluation Center) for its entire five year history. In addition to annual reports that updated the Foundation on the progress and impact of the program, there were periodic requests to summarize evaluation findings and to provide for the Board of Directors, an assessment of the Program's value.

The Evaluation Center projected that a retrospective assessment of what the program had accomplished in the first five years would be potentially very useful to the Foundation's program directors and officers. Based on past exchanges with the Foundation's Board, it was predicted by The Evaluation Center's director, that soon the Board would be interested in information that summed up what the Program had accomplished since its inception.<sup>1</sup>

It was hypothesized that such a report could be written by summing the tremendous volume of information that was collected and reported over the first five years. Scriven (1990) claimed that the formative and summative roles of evaluation could be fulfilled in a single design, and envisioned that summative evaluation could

---

<sup>1</sup> This line of thinking is consistent with The Evaluation Center's view that to help assure that evaluations will be used and that they will make important impacts, evaluators must anticipate and address the information needs of decision makers, often before decision makers realize what information they need.

even be manifested as the final iteration of previous formative evaluations. If Scriven was right, these concepts could be of enormous value in conducting interim summative evaluations of ongoing or long term projects that were periodically evaluated for the purpose of program improvement.

A literature review revealed that there were few examples to serve as models for such a process. In most long term or ongoing programs, summative evaluation was conducted after the program had concluded operations (if it was done at all); and bore little resemblance to the formative evaluation of the same program. In the few studies where interim summative evaluations had been conducted, it appeared that there was wide variance in questions asked, methods used, and the role summative evaluation played in the overall evaluation plan.

A study to operationalize the concept of interim summative evaluation--definition, methods, and guidelines for application--thus appeared to be a valid and potentially useful area of research.

#### Dissertation Purpose

The main purpose of this dissertation is to examine the concept of summative evaluation in the context of an ongoing, long term program for youth. Questions of interest include:

1. What are characteristics of interim summative evaluations? (How does interim summative evaluation differ from formative evaluation and post-program summative evaluation?)
2. How can the concept of interim summative evaluation be applied?
3. What guidelines and recommendations can be proposed for other applications?

Three objectives of the dissertation follow directly from the questions. They are: to clarify the concept of interim summative evaluation as applied to long-term programs; to enrich the concept by showing how it applies to summative evaluation of a foundation-supported, sustained, social/educational youth program; and, using this major example of interim summative evaluation, to generate guidelines and recommendations for other applications.

### Significance

Summative evaluations of educational, health, and social programs for youth are exceedingly important, as resources are becoming more scarce and problems more prevalent. There is a tremendous need to know what makes a difference in these programs, and to know what benefits can be obtained. The technology for summative evaluations, enhanced by this dissertation, can be of great value in improving the knowledge base for successful youth programming.

Summative evaluations in general are of great importance in program evaluation, as Scriven (1993) asserted.

Every non-random decision rests on summative evaluation, and many such decisions are life-saving, life-threatening or radically life-enhancing, whether they occur in drug evaluation, the evaluation of weapons systems and aircraft, or to guide investment in and regulation of business. Hence improving the quality of those evaluations is a way to very large gains. . . . While we would often die without good summative evaluation, we would only have less good options to choose from if there were no formative evaluation. . . . So the bottom line is that summative is essential and is rightly and usefully done on a colossal scale (p. 59).

Thus, providing new methodology for summative evaluation, in the particular form of interim summative evaluation is an important endeavor to enrich the conceptual base of program evaluation.

## Organization of the Dissertation

To investigate current practice in conducting summative evaluations, a literature review was conducted with special attention to summative evaluations of long term or ongoing programs. From this search, key characteristics of summative evaluation reports were identified. Expert opinion and evaluation theory, including application of the Joint Committee's Standards for Evaluations of Educational Programs, Projects, and Materials (1981), also served as input to the design of an interim summative evaluation report. Results of this analysis are found in Chapter II.

A systematic review of past evaluation designs, reports, and contracts for one specific Program was then conducted to collect information for writing a summative evaluation report. Reports issued over the first five years of the Program's operation, Program files, and written Program and evaluation records provided the raw data; key informants were interviewed to obtain additional information. A summary of the Program design and the evaluation design are provided in Chapters III and IV respectively.

Because summative evaluation is concerned with questions of value, it was also necessary in this dissertation to explicate and apply criteria for that purpose. Three sets of criteria, developed in connection with the evaluation of the Program, are identified and described in Chapter V.

The interim summative evaluation report of the Program was planned, then written using the design characteristics identified in Chapter II, program informational needs (Chapter III), and overall evaluation design (Chapter IV). A draft copy of the report was reviewed by Program staff at the Kellogg Foundation and evaluation staff at The Evaluation Center for completeness and accuracy before being finalized. The

process of writing the interim summative evaluation report is described in Chapter VI; the final product is included as Appendix A.

The process of conducting an interim summative evaluation in the context of a long-term commitment was critically examined using Scriven's Key Evaluation Checklist (1985) and the Joint Committee Standards, as documented by the author in Chapter VII. Findings and recommendations and guidelines that resulted from the process of conducting the interim summative evaluation are included. Guidelines will be reviewed by the dissertation committee and experts in the field of evaluation, before being finalized for a field test and publication.

## CHAPTER II

### LITERATURE REVIEW

#### Formative and Summative Evaluation--Origin of Terms

In a discussion of improvement of school courses through the application of evaluation, Cronbach (1963) distinguished three "purposes of evaluation."

We may separate three types of decisions for which evaluation is used:

1. Course improvements: deciding what instructional materials and methods are satisfactory and where change is needed.
2. Decisions about individuals: identifying the needs of the pupil for the sake of planning his instruction, judging pupil merit for purposes of selection and grouping, acquainting the pupil with his own progress and deficiencies.
3. Administrative regulation: judging how good the school system is, how good individual teachers are, etc. (p. 673).

Throughout the paper, Cronbach juxtaposed evaluation for "improvement" against evaluation for "certification" and consistently argued that improvement was the more important role. Statements that exemplify his position include:

When evaluation is carried out in the service of course improvement, the chief aim is to ascertain what effect the course has--that is, what changes it produces in pupils. This is not to inquire merely whether the course is effective or ineffective.

Evaluation, used to improve the course while it is still fluid, contributes more to improvement of education than evaluation used to appraise a product already placed on the market.

The follow-up study comes closest to observing ultimate educational contributions, but the completion of such a study is so far removed in time from the initial instruction that it is of minor value in improving the course or explaining its effects.

Evaluation will have contributed too little if it only places a seal of approval on certain courses and casts others into disfavor. Evaluation is a fundamental part of curriculum development, not an appendage (pp. 675, 678, 683).

In response to Cronbach's article, Scriven (1967) proposed that the goals of evaluation needed to be separated from the roles of evaluation, which included both aspects that Cronbach identified.

One role that has often and sensibly been assigned to evaluation is as an important part of the process of curriculum development (another is teacher self-improvement). Obviously such a role does not preclude evaluation of the final product of this process. . . . Educational projects, particularly curricular ones, clearly must attempt to make best use of evaluation in both these roles. As a matter of terminology, I think that novel terms are worthwhile here to avoid inappropriate connotations, and I propose to use the terms "formative" and "summative" to qualify evaluation in these roles (p. 43).

Scriven was adamant that there was no basis for Cronbach's assertion that formative evaluation was more important than summative. He argued that the confusion between the role of evaluation as a non-threatening, improvement-directed activity and the goal of evaluation to assess merit, worth, and value, was encouraged by some to allay anxiety about evaluation. From this beginning, debates about formative and summative evaluations--their relative worth, characteristics, and application ensued.

Scriven and Stufflebeam debated the issues of formative/summative and decision-based evaluation in a number of settings in the late 1960s, bringing these concepts to a broad audience of evaluation practitioners. Eventually, Stufflebeam's Context-Input-Process-Product (CIPP) model for evaluation and the formative/summative distinction were combined in a format (1985) that contrasted "Decision Making" with "Accountability" roles, as shown in Table 1. In this way, the concept and terminology of formative and summative roles became part of the vocabulary and practice of evaluation.

Further development of the summative evaluation concept motivated Scriven's development of the Pathway Comparison Model. In this model, the pathway "stones"

Table 1  
Formative and Summative Roles in the CIPP Model

Roles of Evaluation		
CIPP Components	Formative	Summative
Context	Guidance for choice of objectives and assignment of priorities.	Record of objectives and bases for their choice along with a record of needs, opportunities, and problems.
Input	Guidance for choice of program strategy. Input for specification of procedural design.	Record of chosen strategy and design and reasons for their choice over other alternatives.
Process	Guidance for implementation	Record of the actual process
Product	Guidance for termination, continuation, modification, or installation.	Record of attainments and recycling decisions.

Source: Stufflebeam, D. L. (1983). The CIPP Model for Program Evaluation. In Madaus, G. F., Scriven, M. S. & Stufflebeam, D. L. (Eds.), Evaluation models (p.125). Boston, MA: Kluwer-Nijhoff.  
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represented key pieces of information needed to summarize a program's value. The Key Evaluation Checklist (1985), which evolved from the Pathway Comparison Model, was developed as a guide for ensuring good (summative) evaluation.

#### Distinguishing Formative and Summative Roles

Since the formative/summative terminology was introduced, distinctions between the two roles have been suggested by many authors; and in the attempt to



clarify the differences, the original meanings have become somewhat blurred. Various authors have contrasted and compared formative and summative roles along dimensions of timing, audience, instrumentation, design, and personnel. Worthen and Sanders (1987) summarized some of the differences as illustrated in Table 2.

Table 2  
Formative versus Summative Evaluation Characteristics

Roles of Evaluation		
Dimensions	Formative	Summative
Purpose	To improve the program	To certify program utility
Audience	Program staff and administrators	Potential consumer or funding agency
Who should do	Internal evaluator	External evaluator
Major characteristic	Timely	Convincing
Measures	Often informal	Valid/reliable
Frequency of data collection	Frequent	Limited
Sample size	Often small	Usually large
Questions asked	What is working? What needs to be improved? How can it be improved?	What results occur? With whom? Under what conditions? At what cost?
Design constraints	What information is needed? When?	What claims do you wish to make?

Source: Worthen, B. R. & Sanders J. R. (1987). Educational evaluation: Alternative approaches and practical guidelines. New York: Longman. p. 36.  
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Although these lines of distinction are generally useful, Scriven (1990) charged that the formative/summative debate is often confounded with other dichotomies in evaluation; and he further illustrated that formative and summative roles can often apply to both sides of a dichotomy rather than be identified with one side or the other. Concepts of holistic/analytical, external/internal, formal/informal, black box/causal, and dimensional/componential, often applied as descriptors of summative/formative respectively, were argued to transcend the role division.

The idea that formative is associated with ongoing evaluation and summative with post-program evaluation is another dichotomy that has been used extensively to distinguish the two roles. As early as 1969, Stake suggested that this association was not useful.

These terms have a dramatic effect, distinguishing between what is done *during development* and what is done *when development is finished*. For the purpose of choosing an evaluation strategy, I find this a trivial distinction. . . . We can make a non-trivial distinction between formative evaluation for the program developer who is planning ahead and trying to choose the best ingredients, and summative evaluation for anyone who is looking at the program, past or present, and who is trying to find out what it is and what it does (p. 36).

Other authors have also defined formative and summative in terms that are not dependent upon timing. As Shadish, Cook, and Leviton (1991) wrote,

Formative evaluations improve program performance by influencing immediate decisions about the program, especially about how its component parts and processes could be improved. Summative evaluations judge program worth by assessing program effects in light of relevant problems (p. 59).

Even so, the notion that summative evaluation should be performed only after the program ends, has persisted (Chambers, 1991). One reason for the persistence is that authors continue to use timing as a basis for differentiating formative from summative evaluation, as demonstrated by Sergiovanni (1987), Worthen and Sanders

(1987), and Council on Foundations (1993). Even in the most recent Evaluation Thesaurus (Scriven, 1991), timing is used to distinguish the two roles.

Summative evaluation of a program (or other evaluand) is conducted after the completion of the program (for ongoing programs, that means after stabilization). . . . Formative evaluation is contrasted with summative evaluation. It is typically conducted during the development or improvement of a program or product (pp. 340, 168).

In other works, the during/after distinction is not used as a relevant aspect of formative and summative definitions, as in Fitzgibbon and Morris (1978); and Shadish, Cook, and Leviton (1991). The result of varying definitions and applications is that there remains uncertainty as to the real distinction between formative and summative evaluations (Russell and Blake, 1988).

Authors who do not use timing as a critical element of the definitions of formative and summative generally employ characteristics of evaluation purpose or use to distinguish the roles. Taking this position, Chambers (1991) demonstrated that evaluation for program improvement can and does occur both during and after a program's operation, and evaluation for proving the program's worth also can and does occur in both time frames. He argued that unless the various combinations of timing and purpose were more fully recognized, evaluations would not succeed in bringing about appropriate actions.

Particularly, it is necessary to dispel the illusion that to carry out an evaluation concurrently is sufficient to ensure that we are concerned with effectiveness and efficiency of the format of that particular programme. In its stead must be placed the criterion that one must be both willing and able to modify the innovation in the light of the evaluation's findings. . . . It would seem, therefore, that it is necessary, if we are to attempt to ensure evaluation is fully planned and utilized, to state explicitly not just whether an evaluation is formative or summative, but whether an evaluation is primarily intended as being: (1) concurrently formative; (2) concurrently summative; (3) post-programmatic formative; (4) post-programmatic summative (p. 12).

Even in Scriven's writings, (1990, 1993) concurrent summative and post-program formative roles of evaluation are acknowledged (but not defined), as illustrated by the following quotes.

In the first place, the formative evaluation is worth nothing at all unless it at least includes a preview of good summative evaluation. In the second place, a summative evaluation is quite a good starting point for improvement, even if it is global. It tells you how well you are doing which is the essential starting point.

What formative must cover is the basis for an early-warning summative evaluation and in that lies much of its value. . . . Valid formative must incorporate the essence of summative, whether or not summative is ever done. And summative, in a way, is just formative done too late to help improve the program--it is life after death for formative. These are complementary, not competing activities (pp. 21, 61).

Thus, all four timing/role combinations (concurrent formative, post program formative, concurrent summative, and post program summative) are possible in a given application, and may be distinguished on the basis of either purpose or use, as demonstrated in Table 3.

#### The Relative Importance of Formative and Summative Evaluations

A final note on the formative/summative debate is that the utility of summative evaluation has also been a point of contention. On one end of the continuum, are Cronbach and Stake, who argue against summative evaluations, as described in Shadish, Cook, and Leviton (1991).

Cronbach sometimes likens the evaluator to the historian and the engineer. He chooses the historian to stress evaluating a program on its own terms, documenting important contextual and process factors. . . . Engineers evaluate objects, particularly at the breadboard stage, to diagnose problems and fix them. Their purpose is to develop a better automobile or whatever else they are working on; rarely is their purpose to assess merit to help potential purchasers know which car to buy. According to Cronbach, their justification is for doing formative and not summative evaluation.

Table 3  
Purposes/Uses of Evaluation

	Ongoing Program		Post Program	
	Formative	(Interim) Summative	(Reflective) Formative	Summative
Purpose	Guidance for improving the program as it is operating	Accounting of program value and activities as a function of time	Guidance for implementing same or similar programs in the future	Retrospective accounting of program value and activities
Form	FEEDBACK	WORKING PAPER	FEED-FORWARD	FINAL REPORT
Use	To identify needed program changes	To support decisions of continuation, termination, funding level; provide record of program changes	To identify areas for improvement in future applications	To support decisions of future investment; convey what was learned; derive implications

Stake wants evaluation clients, not evaluators, to make those value judgments. He disagrees that the evaluator's job is to render summative judgments. . . . Stake prefers to describe values rather than to make value judgments. The evaluator performs services for a client, and has ethical responsibilities to all who even indirectly acknowledge the evaluation--these are more important than identifying which values are correct (pp. 341, 274).

Scriven and Campbell, on the other end of the continuum, contend that summative evaluations are extremely important, again as described by Shadish, Cook, and Leviton:

Campbell's earliest and best-known theory of practice relied on experimental design to answer summative questions. . . . He emphasizes the causal effects and pilot programs of interest to legislators and senior managers who seek genuine reform.

Both formative and summative have an important place in Scriven's evaluation, but he prefers summative when a choice must be made. Even when formative is undertaken, it should be in the service of summative evaluation (pp. 163, 166, 79).

Acknowledging this diversity of opinion, this author recognizes the need for both roles of evaluation, with relative importance of each role varying by application.

In general, however, the author agrees with Scriven (1993) that,

While life-and-death matters can hinge on good summative evaluation, however, we would only have fewer good options to choose among if there were no formative evaluation. Even if perfect formative evaluation were to be done by every educator, manager, manufacturer, and vendor, perfect ethical character and unlimited resources and creativity and reliability of these individuals would still be necessary before we consumers could take the risk of abandoning summative evaluation. So the bottom line is that summative is essential and is rightly and usefully done on a colossal scale (p. 59).

If the relative importance of formative and summative is application-specific, then the duration of a program is one determining factor of role importance. In evaluations of short term programs or projects, there may be little use for summative evaluation during the operation of the program; but in long term or ongoing programs, this role may be critical. In many, if not all programs that extend over a number of funding cycles, program administrators and funding agents require periodic updates on the progress of the program in terms of what has been accomplished and at what cost. Questions dealing with accountability and program value must be answered on a continuing basis, not only when the program is concluded.

To investigate how summative evaluations are designed and conducted during the operation of long term or ongoing programs, a literature review was conducted. It was anticipated that characteristic evaluative questions, methodologies, and lessons for conducting interim summative evaluations could be learned.

## Characteristics of Interim Summative Evaluations

### Model Selection

One hundred ten reports on summative evaluation appeared in ERIC during the period from January 1992 through September 1993. Program evaluations accounted for 57 of the reports/articles; while personnel evaluations, student evaluations, and other (miscellaneous) types of evaluations accounted for 18, 8, and 27 articles respectively.

The majority of the program evaluations published in this time period provided post-program evaluation findings, but there were two examples of interim summative evaluations. One example was found in a series of papers from the Kansas City, Missouri School District. In seven different reports, a variety of ongoing, magnet school programs were evaluated retrospectively at the three-year mark of their operation. Each program followed an evaluation plan (1986) for conducting both formative and summative evaluations on a set schedule, in fulfillment of a court order requiring proof of school desegregation.

A second current application was found in a study of the Minnesota Educational Effectiveness Program (MEEP), which commissioned a "major impact evaluation" after seven years of operation.<sup>2</sup> In this ongoing program, which was intended to improve the existing Minnesota educational system, evaluation was considered "an integral part of the MEEP process." The evaluation plan used formative evaluation continuously, and both formative and summative questions to examine the program after seven years of operation (1993).

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<sup>2</sup> Although impact evaluation has been distinguished from summative evaluation by some authors (see Hass, 1988), this report treats impact as one aspect that may be addressed by summative evaluation, in keeping with Scriven's definition of impact evaluation as synonymous with outcome evaluation.

Two historical examples of summative evaluations of long term or longitudinal programs were also identified. A Canadian High/Scope preschool program, which operated from 1973 to 1983, utilized formative evaluation to improve and modify the program during its operation. Summative evaluations of both immediate and long term impacts were also conducted during the operation of the program. At the ten-year mark, a retrospective evaluation report presented findings from the interim summative evaluations and social implications that followed from the study (1985).

A second historical example was the Eight Year Study, a program conducted during the 1930s to improve high schools' service to students. In this study (which predated the terminology of formative and summative), both roles of evaluation were apparent in the design and published findings (1942). Interim summative evaluation of the program concentrated on the college success of students who had graduated from the thirty high schools that participated in the study.

These four examples were used to examine the concept and characteristics of interim summative evaluations. A conceptual model of interim summative evaluation, derived from Scriven's writings also served as input to this analysis.

The actual and theoretical examples of interim summative evaluation were compared in two ways. First, the conceptual issues were addressed via dimensions of purpose of the interim summative evaluation and the relationship between formative and summative evaluation. Second, application issues were investigated through the evaluation questions, measures, and methods used in the various programs.

#### Conceptual Issues Related to Interim Summative Evaluations

As noted in Table 4, the four programs used for the analysis demonstrated a variety of purposes for interim summative evaluation. Three of the four programs were



Table 4  
Characteristics of Interim Summative Evaluations

Characteristic	Programs Evaluated				
	Kansas City School District	Minnesota MEEP	Canadian High/Scope	Eight Year Study	Theoretical Model
Program goal	Improve student achievement; desegregate schools	Long term school improvement	Young child development for at risk children	Improve services to high school students	
Years of study	1983-present	1985-present	1973-1983	1930-1942	ongoing, long term
Purpose of interim summative evaluation	assess program impact, assess goal attainment, provide record of services	assess program impact, assess effectiveness, obtain data for assessing long term impact	assess immediate and long term impacts	assess achievement of goals during program operation	"early warning system"

Table 4--Continued

Characteristic	Programs Evaluated				
	Kansas City School District	Minnesota MEEP	Canadian High/Scope	Eight Year Study	Theoretical Model
Relationship between formative and summative evaluation	formative aspects addressed separate from summative; court ordered sequencing of reports (formative first two years; summative every third year thereafter)	formative evaluation used extensively in first six years; seventh year report used formative and summative orientation to assess impact	formative evaluation used extensively throughout operation; interim summative reports focused on immediate impacts, then longer term	evaluations of students used formatively and summatively; interim summative reports focused on college outcomes (4 years into program)	complementary "valid formative must include the essence of summative"

specifically interested in the impacts of the programs being evaluated. Two programs required information about their achievement of goals, and one required a record of program activities and services.

The relationship between formative and summative evaluations in these four programs was also varied. Although all four programs made use of formative evaluation to improve program operations, there was no direct relationship between the two roles of evaluation in two of the four studies. In the Kansas City, Missouri School District studies and the Canadian High/Scope program, interim summative evaluations reflected little on the changes in operation that shaped the programs, even though there was evidence that such changes did occur. Information used for the formative evaluations were not used in the summative reports. In the MEEP evaluation and the Eight Year Study, interim summative reports were intended to provide input for improvement as well as retrospective analysis of value through a study of impacts, effectiveness, and goal achievement.

From these few studies, it is theorized that interim summative evaluations may be integrally, minimally, or moderately related to the formative evaluations of the program. Further, interim summative evaluations may serve a number of purposes, which may include any combination of assessing goal attainment, impacts, program effectiveness, program value, or providing documentation of program implementation and accomplishments.

#### Application Issues Related to Interim Summative Evaluations

The four studies were used to operationalize the concept of interim summative evaluation, through an analysis of their evaluation questions, and the methods and measures that were used. As implied by the analysis of evaluation purpose (Table 4)

and as evidenced in Table 5, the studies were designed around questions of context, program implementation, social value, effectiveness, goal achievement, impacts and outcomes, and lessons learned.

Table 5  
Application of Interim Summative Evaluation

Questions	Measures and methods
<b>CONTEXT</b>	
2* What other types of change efforts are schools involved with?	written survey
2 How does MEEP interact with PER process and accreditation process?	written survey, structured telephone interviews
4 What are the schools doing to improve service to students?	records analysis
<b>IMPLEMENTATION (PROCESS)</b>	
1 What are the general perceptions of teachers and administrators concerning implementation?	written surveys
1 Was the program implemented as planned?	records analysis
2 How is MEEP being implemented?	written survey
<b>EFFECTIVENESS</b>	
1 How effective is the program in preparing students for 1st grade?	Iowa Test of Basic Skills
2 How effective is MEEP's current organization and administration?	written survey
3 Is the program up to date?	literature review
* Number refers to program:	
1=Kansas City School District studies	2=MEEP
3=Canadian High/Scope	4=Eight Year Study

Table 5--Continued

Questions	Measures and methods
<b>VALUE (SOCIAL UTILITY)</b>	
2 What specific change outcomes do educators attribute solely to MEEP?	written survey and structured telephone interviews
<b>ACHIEVEMENT OF GOALS</b>	
1* Has the school met established enrollment goals?	records analysis
2 What is the perceived mission/goal of MEEP?	written survey and structured telephone interviews
3 Were program objectives reached?	battery of standardized tests
4 Did the high schools meet their goals?	records analysis, program-specific instruments
<b>LESSONS LEARNED</b>	
2 What aspects of MEEP have been the most/least helpful?	written survey and records analysis
<b>OUTCOMES, IMPACT</b>	
1 What are the levels of achievement?	Iowa Test of Basic Skills
2 What impact has MEEP had on schools, school personnel, and students?	written survey and structured telephone interviews
2 What impact has MEEP had towards stimulating long-term educational change in schools?	written survey and structured telephone interviews
2 What impact has MEEP had on student learning?	to be determined
3 What immediate and long term impacts were observed?	battery of standardized tests
4 How did students from the Thirty Schools compare with controls regarding college success?	records analysis, instruments developed for determining types of success
* Number refers to program: 1=Kansas City School District studies 3=Canadian High/Scope	
	2=MEEP 4=Eight Year Study

Outcome and goal achievement questions were asked in all four studies, while effectiveness was investigated in three of the four. Process and context questions were each used in two of the four studies, and inquiries regarding lessons learned and social utility appeared in one study each.

Generally, methods and measures included standardized tests, records analysis, or program-specific surveys and interviews. There was no preferred method for answering various types of question, as evidenced by three methods used by three different programs to address questions related to program effectiveness.

Further analysis revealed that each evaluation approached interim summative evaluation uniquely in terms of questions asked and methods used. As summarized in Table 6, the Kansas City School District studies asked questions about context, goal achievement, effectiveness, and outcomes, relying heavily on record analysis and standardized tests for the data. The evaluation of MEEP was much broader, and included questions from all seven categories. Survey instruments, developed internally, were used extensively to collect data for this evaluation. Similar to the Kansas City studies, the evaluation of the High/Scope Program was primarily intended to answer questions related to goal achievement, effectiveness, and outcomes. Batteries of standardized tests, and literature reviews provided data for the evaluation. The Eight Year Study used a variety of surveys, program-specific instruments, and records analysis to answer questions about process, goals achievement, and outcomes.

Two other findings from this review, relevant to application issues, were identified. First, evaluation plans--including plans for interim summative evaluation--were subject to change during the life of the program. This was illustrated particularly well in the example of the evaluation of the Kansas City, Missouri magnet schools. In

Table 6  
Questions and Methods by Program Evaluated

Questions	Programs			
	Kansas City Schools	Minneapolis Program	Canadian High/Scope	Eight Year Study
Context	surveys, records	surveys		
Process		surveys		records
Social Value		surveys, interviews		
Goal Achievement	records	surveys, interviews	tests	records, surveys
Effectiveness	standard tests	surveys	literature	
Lessons Learned		surveys		
Outcomes	standard tests	surveys	standard tests	records, surveys

a revision of the evaluation plan (1992), the structure and content of the evaluation was significantly changed to incorporate the CIPP model in an ongoing evaluation that would provide information for both accountability and informed decision-making within the program.

Questions of interest were identified for all four evaluation stages in the model, and multiple methods (observation, personal interviews, telephone interviews, survey questionnaires, and document review) were specified for many of the questions. A tentative evaluation schedule for 1993-1994 was outlined: starting programs were charged with answering context and input questions, while established programs were

to address process and product questions. The significance of this finding is that interim summative evaluation, while context specific, is also subject to change over time, as the informational needs, purposes, audiences, and evaluation skills of the program staff change.

A second finding, from the review of the two historical evaluations was that retrospective summative evaluation questions were asked by both programs, after the program concluded. Questions like: Would we do it differently? Can this program be justified? What are the implications for social policy? and Did we gain new insights? were important "big picture" questions. In the interim, these types of questions may also have some value. The evaluation of MEEP in this study, was the only one of the four that included a question of social value as part of the interim evaluation.

Interim summative evaluations then, are not limited to a single design or approach, but rather, can exhibit several conceptual and application characteristics. Designing an appropriate interim summative evaluation is dependent on the purpose, intended use, questions of interest, and intended audiences. Thus, the program's informational needs, the overall plan for program evaluation, and standards for the evaluation of programs are necessary inputs to a good design.

### Designing an Interim Summative Evaluation

Of the thirty Standards for Evaluations of Educational Programs, Projects, and Materials, (1981), sixteen are of particular importance in reporting evaluation, as outlined in the functional Table of Contents. Those standards can be applied to the specific application of reporting interim summative results, as demonstrated below.

1. Audience Identification (A1). An interim summative evaluation may be intended to serve a broader audience than formative evaluations of the ongoing



program. In addition to program personnel, the report may be used to communicate with Board members; people, organizations, or communities affected by the program; legislators; and groups considering replication of the program. The evaluation should be designed to meet the informational needs of the highest priority audiences first, and yet consider what secondary audiences might also want or need to know.

2. Information Scope and Selection (A3). An interim summative evaluation may be used to ask a number of questions, concerning context, program design, process, outcomes, lessons learned, social value, effectiveness, and goal achievement. The evaluation should consider the importance of all of these types of questions in deciding the scope of information used. If formative evaluations have also been conducted, it will also be important to determine whether the scope of information used for the formative evaluation is identical, sufficient, or not adequate for conducting the interim summative evaluation.

3. Valuational Interpretation (A4). If there is ongoing formative program evaluation, an interim summative evaluation may use the same perspectives and rationale for assigning value to findings. However, it should not be assumed that this is the case, as the key audiences may use different criteria for making value judgments. It is also important to consider whether and how value systems change over time. The articulation and use of both long term and short term goals for interpreting value should also be considered in ongoing programs.

4. Report Clarity (A5). Because of its potential use in communicating evaluation findings to a number of audiences within and outside the program staff and funding agency, an interim summative report should be jargon-free and should present descriptions and findings in a way that is understandable by audiences unfamiliar with the program.

5. Report Dissemination (A6). Because an interim summative evaluation report may have a different purpose and intent from other evaluation reports of the program, it is important that evaluators identify, with the client, who will have access to the report. Right-to-know audiences should be considered.

6. Report Timeliness (A7). The timing of an interim summative evaluation report should correspond to some meaningful period. Years of operation, accomplishment of some goal, or a significant change in the program may indicate the need for such an evaluation. It may also be advantageous, as in this case, to anticipate clients' informational needs.

7. Evaluation Impact (A8). Interim summative evaluation may serve a formative role in impacting the direction of the program or the evaluation, since it is delivered while the program is continuing to operate. The report can be a powerful tool because of its retrospective viewpoint and its ability to communicate program history, development, learnings, and value to a wide range of audiences.

8. Full and Frank Disclosure (C3). The standard for full and frank disclosure is not to be confused with a mandate to disclose information prematurely. Especially in a summative evaluation of an ongoing program, it is necessary to discern carefully between early and premature findings. The program should be evaluated in light of its continuing operation, acknowledging when information is likely to be misinterpreted or misunderstood because it was collected at a stage too early for reliable interpretation.

9. Public's Right to Know (C4). The interim summative evaluation represents a particularly useful tool for communicating program history, progress, and accomplishments to a variety of audiences.

10. Balanced Reporting (C7). Strengths and weaknesses of the ongoing program should be considered in retrospect as well as in the current time. A discussion

of how the strengths and weaknesses changed over time, and how the program responded to formative evaluation findings would be extremely useful for understanding the development of the program.

11. Object Identification (D1). Because the summative evaluation is retrospective in nature, it should describe the evolution of the program as well as giving some clear description at the point in time when the evaluation is being conducted. Descriptions of an ongoing program should be continually reviewed and brought up to date. A history of programmatic changes, provided in an interim summative evaluation report, would assist audiences in distinguishing the stable characteristics of the program from the evolving ones.

12. Context Analysis (D2). Changes in context--social, political, and economic--that affect the program's ability to function should also be described in sufficient detail to facilitate understanding of the evaluation findings. Again, because long term programs may extend over a number of contextual changes or shifts, it is especially important to document events or circumstances that affected the evaluation or the program.

13. Described Purposes and Procedures (D3). Because a program evaluation may develop and change over time, purposes and procedures should also be reviewed and described at different stages of the program. Interim summative evaluations can be used to review changes and describe how and why the changes were manifested.

14. Defensible Information Sources (D4). At the beginning of long term or ongoing programs, it may be difficult to determine how the program may evolve and where its effects will need to be measured. Thus, important information sources may change over time. Those who use the evaluation will need to know how and why information sources were added or deleted. Thus, it is important to document the

process that was used to identify new data sources, eliminate unnecessary data, and to defend the changes.

15. Justified Conclusions (D 10). As in any evaluation report, judgments and recommendations must be explicitly defensible and defended. Of particular importance in interim summative evaluations is that premature conclusions be avoided and tentative conclusions be clearly identified.

16. Objective Reporting (D11). In a long term program with regular formative feedback, evaluators must guard against being coopted by the program. An ongoing relationship between evaluators and program staff, although necessary and valuable for carrying out the evaluation, should not be allowed to bias results or hinder the ability of the evaluators to report findings.

The following two chapters provide the historical perspective of program informational needs and overall evaluation design that were also used as input to the development of the interim summative evaluation design.

## CHAPTER III

### DESCRIPTION OF THE PROGRAM

#### The Kellogg Youth Initiatives Program Goals

In 1987, the W.K. Kellogg Foundation began its Kellogg Youth Initiatives Program (KYIP), intended as a "long-term commitment . . . to assist Michigan communities in addressing the needs of youth" (1987). The Program was projected to operate for twenty years in three distinct geographic areas of Michigan: Alger and Marquette counties in the Upper Peninsula (an isolated area with large distances between population centers), Calhoun County (an area with urban, rural, and small town settings), and a section of Detroit (urban). Capitalizing on the range of possible environments for youth in those locations, KYIP allowed for a great variety of programming opportunities.

In an early brochure describing KYIP (1987), two program goals were articulated.

It's primary goal is to improve the quality of life for young people by strengthening positive environments in which they can best develop and grow. A secondary goal, in the interest of youth everywhere, is to create program models which can be adapted by other towns, cities, or regions (p. 2).

Four unique features of KYIP were described.

1. KYIP represented a "partnership between the W.K. Kellogg Foundation and selected communities willing to make a commitment of human and financial resources" (1989). Communities would be responsible to identify local youth-related needs and present proposals for various projects, tailored to the unique resources and needs of the

community. The Foundation would not prescribe programs but would work with communities to establish priorities.

2. The Program was wide-reaching and inclusive in its definitions of youth (prenatal through young adult, at risk or not) and projects (preventative or remedial, basic needs through enhancements). Limitations were not placed on what would be considered a project, within the guidelines of the Foundation's overall funding principles.

3. Collaboration among agencies and organizations was a priority of the Foundation, that was to be addressed by all projects funded in the target areas. As stated in the "Chairman's Message" of the Foundation's Program Information/Program Guidelines (1988), Russell Mawby wrote,

We at the W.K. Kellogg Foundation do not believe that society's problems are beyond *anyone's* power to address, but we do believe that they are often too complex to be resolved by *any one* institution, *any one* discipline, or *any one* profession. . . . Therefore, increasingly, the Kellogg Foundation is supporting projects in which coalitions of professions or institutions use multidisciplinary methods to attack problems (p. 3, 4).

4. Evolution of the Program was expected. Many aspects of KYIP were not defined at start-up, but rather, were allowed to develop over time. The Program was to be self-learning and formative evaluation played a key role in that process.

#### Field Offices Established

In November 1986, the Kellogg Foundation consulted with the Marquette-based Michigan State University District Extension Leader, to lay the conceptual groundwork for KYIP. Starting in March 1987, the Extension Leader was hired half-time as an Associate Program Director (APD) for the Foundation, and assigned to develop and implement the Youth Initiatives Program in Marquette and Alger counties.

The APD maintained a half-time position with MSU's Extension Service and continued to use the Extension office to administer the Youth Initiatives Program for the two-county target area.

The Marquette/Alger Associate Program Director brought to the job an understanding of local power structures and personalities, a network of associates, and an awareness of local youth issues and problems--assets that could be used to implement the "partnership" between the community members and the Foundation. The strategy of employing a target area resident to direct the local implementation of KYIP was extended to the other two target areas.

The Detroit and Calhoun County target areas were established in October 1987. The first recorded activity in the Calhoun target area was a meeting the APD held with an advisory group in November 1987. A KYIP-Calhoun office was established in March 1988 in the Calhoun Intermediate School District building, which was located centrally within the county.

Detroit presented some unique start-up considerations for the Program. The Foundation desired to implement KYIP in a section of Detroit rather than city-wide to increase the likelihood of making a difference in the selected area. One of the first tasks assigned to the Detroit APD was to identify potential target areas and to investigate various feasibility factors in the sites. The APD and Foundation representatives studied school constellations--high schools and their feeder elementary and middle schools--and met with a number of stakeholders in the city, including Detroit Public Schools, City Recreation Department, New Detroit, United Community Services, colleges and universities, churches, and a number of community organizations and businesses. After much deliberation, the attendance area for Detroit Northern High School was selected. Factors considered in the choice were: strong community and school

leadership, demographics representative of the larger city, evidence of prior community activism and programming, local availability of health and service institutions, and a desire of community representatives to work for the benefit of youth. The target area choice was announced in June 1988. The Detroit KYIP office, which began operating in January 1988, was physically located within the targeted area.

The three Associate Program Directors reported to the Foundation through the Program Director for Youth and Education Programs, Dr. Jack Mawdsley. An early job description for the APD position included the following responsibilities:

- Maintain accurate and current knowledge in regard to youth programs, trends, movements, and policies
- Develop and manage a series of seminars and learning experiences for community leaders
- Provide leadership within the target area in bringing about an increase in collaborative efforts among youth serving agencies
- Review, assess, and act on proposals
- Make site visits to existing and potential projects
- Develop evaluation and dissemination strategies
- Monitor active projects
- Develop positive relationships with community organizations, institutions, and the media (p. 1, 2)

APDs were also responsible to supervise office staff which originally consisted of half-time secretarial positions in Marquette/Alger and Calhoun and a full time position in Detroit.

### Program Expansion

As the Program expanded and evolved, staffing changes were necessary. In August 1989, a new Program Director, Dr. Tyrone Baines, began to coordinate and supervise the three target areas. Dr. Mawdsley, who continued to oversee the Program, assumed more responsibilities within the Foundation as the Coordinator of Youth and Education Programs.



The role of the Associate Program Directors became more complex over time; and workloads increased sharply as awareness of KYIP in the target areas increased. APDs also began to assume a more proactive role, working with groups and individuals to stimulate proposal activity in specific sectors of the target areas, and networking the resources providing services for youth in addition to the tasks listed in the job description. Consultants were hired to complete specific tasks that the APDs could delegate, e.g., conduct needs assessments, assist with traveling KYDS seminars, and visit and report on project progress.

The expanding role of the APDs was acknowledged and met in two ways: the promotion of the APDs to Program Directors (PDs) in Year 4 (1991-1992), and the addition of programming staff to the local offices. In Detroit, a Program Associate was hired in Spring 1992; in Marquette/Alger, a Program Associate joined the staff in early 1993; and in Calhoun, a second Program Director was added in late April 1993.

Field offices also changed/expanded during the first five years. A major change in the Marquette/Alger target area was the addition of an office in Munising (in Alger County) to increase support to residents in that area. Originally open in Year 3 (1990-1991) for one day per week, the Munising office operated two days per week by the end of Year 5. The Marquette KYIP office was relocated in mid-1993 also, to accommodate the growing staff which by then included two full-time clerical/support positions in addition to the PD and the Program Associate. The Calhoun office was maintained in its original location, with one additional office for the new Program Director.<sup>3</sup> One full time clerical/support position served both Program Directors, although the authorization for another full time staff person was approved. The Detroit

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<sup>3</sup> Early in 1994 (midway through Year 6), the Calhoun office also moved to larger and more appropriate offices to to accommodate the expanded staff.

target area secured new office space in Year 5, housing three full time clerical/support persons, as well as the PD and APD by the end of the fifth year.

### **Program Components**

#### **Kellogg Youth Development Seminars**

One of the first activities undertaken by each of the target area APDs was to develop and deliver a training program for community members. The Kellogg Youth Development Seminars, or KYDS, was to be an "extensive and informative 2-year training program" built around a schedule of monthly meetings. Through nominations and publicly-advertised applications, the Associate Program Directors chose from thirty to fifty people for each KYDS group, representing a variety of interests, backgrounds, communities, and occupations. Youth participants, which composed about one fifth of the group, were selected from recommendations from high school principals.

The seminars were organized and run by the Associate Program Directors with assistance from advisory groups composed of community leaders. Topics, speakers, and activities for the seminars were chosen to meet the specific needs of the target area groups within the four major goals of the KYDS program, which were outlined in the application forms as:

1. Give participants a better understanding of young people and their needs.
2. Enhance the planning, implementation, and assessment of youth programs.
3. Increase the capacity of participants to help community groups develop and conduct quality youth programs.
4. Encourage collaboration among community groups in youth programming (p. 1).

KYDS groups were initiated in Marquette and Alger in November 1987, in Calhoun in March 1988, and in Detroit in September 1988; with participants meeting

one evening each month except during the summer months. In Marquette and Alger, seminar topics included: Youth Issues--A Local View, Visioning Possible Futures, Adolescent Health and Healthy Lifestyles, Effective Schools, Building Community Collaboration for Youth, and Youthifying KYDS (seminar planned and presented by youth participants). Examples of Calhoun seminars were: Crime and Youth Violence, Youth Service Corps, Technical Education, "I Have a Dream" (Eugene Lang), The Development of the Young Child, and Community-School Collaboration. In Detroit, seminars on Health and Developmental Needs of Youth, Coalition Building, Local Demographics, Visionary Leadership, and Youth Involvement in Crime Prevention served as foci for discussing the needs within the Detroit KYIP target area. Also during seminars, local projects that had received KYIP funding were featured to keep KYDS participants aware of local work and to facilitate collaborations and communications.

Seminar meetings in all target areas also provided training in group process skills and opportunities for developing interpersonal relationships between KYDS participants. In Calhoun, a full day "ropes course" taught participants about self-confidence and trusting others, as one means of bonding participants in the group. Two-day retreats, organized in all three target areas, provided additional opportunities for KYDS participants to develop interpersonal ties and cohesiveness as a group.

In addition to the seminars, KYDS participants visited exemplary youth programs in areas across the nation. Each target areas organized 3-4 day trips for six to eight participants at a time. The small group travel included trips to: Minneapolis, Oregon (Bend area), New York City, Raleigh-Durham area, Chicago, San Francisco, Tucson area, Seattle, Boston, and Duluth. To share what was learned from these trips,

oral presentations were made during the monthly seminar meetings and written reports were distributed to the members of the KYDS group.

A unique meeting of all KYDS participants from all three target areas took place in August 1989 at the Shanty Creek Resort in the northern part of Michigan's lower peninsula. In addition to guest speakers and discussion workshops, the participants were provided opportunities to learn, share ideas and experiences, plan directions for the coming year, and network.

KYDS groups in Marquette, Alger, and Calhoun concluded their meetings at the end of the two year period: Marquette and Alger met for the last scheduled meeting in October 1989, and Calhoun in March 1990. In Detroit, however, the group did not stop meeting at the conclusion of the seminars. After deciding in January 1990 to establish a post-KYDS plan, a special task force began meeting in February to find ways the group could engage in long range or strategic planning for the youth in the community. At seminar meetings, the "preplanning committee" brought issues to the participants for a full-group decision on such topics as: how to choose planning group members, who the planning group should report to, and what the relationship between this group and the Kellogg Foundation should be. KYDS participants indicated their interest in working towards a strategic plan by means of a telephone survey, which found that 35 of the 42 contacted participants wanted to continue the process.

When the regular KYDS seminars concluded in June 1990, the planning group was established and meeting regularly. Participants were joined by other community members in forming a group called K/NAP (Kellogg/Northern Area Planning) which began meeting June 14, one day after the conclusion of the KYDS seminars. Although this development was not encouraged by the Foundation, the APD and KYDS

participants made a strong case for the necessity of this direction and the Foundation agreed to test the idea.

The planning group's key leadership was vested in three general cochairpersons with a separate task force (and cochairpersons) designated to oversee committees organized by seven "challenge areas" of family; culture, arts, and recreation; health; employment; crime; neighborhood revitalization; and education. Additionally, a youth caucus was established to provide youth perspectives and inputs on all seven challenge areas. United Community Services, one of the leading nonprofit community planning agencies in Detroit, was approached by the APD to lead the K/NAP effort. UCS staffed and provided assistance to all levels of the K/NAP group, to articulate visions and develop plans. Town meetings, a windshield survey, and demographic analyses were also conducted by UCS staff to provide input to this planning process.

The Challenge Area Committees (CACs) met individually from June 1990 through April 1991 and reported back to the general cochairs in monthly meetings on development of goals and strategies. The entire K/NAP group of about 75 people met quarterly during this period. The work of the task forces were realized in the form of Community Action Committee statements which were tested and confirmed at a total membership retreat in May 1991. Outcomes of the K/NAP retreat included a common vision of the Detroit Northern area, prioritized goals for the area, and concrete strategies within the CACs for achieving the goals.

Following the retreat, each CAC developed action plans which were unanimously approved by the K/NAP membership in November 1991. Public hearings were held to present these plans, and a final report, Designs and Directions: A Vision for the Northern High School Area was published and formally unveiled at a town meeting in February 1992.

In the other two target areas, KYDS participants did not develop structures like K/NAP as outcomes of the seminars. Instead, a second session of KYDS seminars (KYDS II) were initiated, using what had been learned during the first round to improve the process. In Marquette and Alger, KYDS II participants were selected in Summer 1990 and seminars began in September. In Calhoun, the second group of participants began to meet in January 1991. Several opportunities were provided for the KYDS II participants to meet and interact with their KYDS I counterparts, expanding the networking potential within the target areas.

The KYDS II seminars were completed after 18 months in the Marquette/Alger target area (February 1992) and after 2 years in Calhoun (January 1993). KYDS II in Detroit was initiated after the strategic planning was completed. The group, which drew from the K/NAP membership, met for the first time in December 1992.

### Funded Projects

Initially, it was thought that the Foundation's plan was to fund projects after the KYDS groups had concluded their training, with the projects coming either from or through this group of community representatives. But in a presentation before the Marquette and Alger KYDS groups in December 1988, Dr. Mawdsley announced that the Foundation was ready to accept proposals immediately.

Through KYDS and community presentations, the site-based Program Directors encouraged a varied audience to participate in proposal writing. Representatives of hospitals, schools, local government, law enforcement, churches, businesses, state agencies, and civic organizations were all informed of KYIP's mission and process. All types of projects were encouraged that would serve youth from infant to young adult, across the entire spectrum of possible needs.

Proposals were submitted to the site-based Program Directors, who often worked with proposers to increase the likelihood of receiving Foundation money. Using what became known as the Five C criteria, Program Directors encouraged applicants to address aspects of Collaboration, Creativity, Comprehensiveness, Community Support, and Continuity in their proposals. In many cases, the Program Directors worked with proposal-writers to strengthen their proposals, suggesting improvements that would increase the likelihood of obtaining funding.

During the first few years of KYIP, projects were often funded for reasons besides their ability to meet the Five C criteria. Some were funded to demonstrate that the Foundation's commitment was real; some were funded to connect the Foundation with key players in the target area; and other projects were funded because they presented a unique opportunity for the Foundation to make an impact in the target areas.

However, using this strategy, the evaluation found that there was little chance that significant impact in the target areas would be observable. The Program became more proactive, and priorities for addressing unmet needs of youth were developed. At a retreat for KYIP staff at the beginning of the fifth year (Summer 1992), the concept and implementation of KYIP were examined. From this retreat, a strategy for the next five years was developed. Three main points of the strategy included:

1. The original vision of KYIP; to form a partnership with three Michigan communities to make them the best places they can be for kids to grow and develop, and to disseminate model projects; was unchanged.

2. Themes and principles to guide programming were outlined, including: "prevention and proactivity will be key concepts in programming," "sustained institutional and public policy change will be encouraged," and "KYIP will focus on individual youth, families, and the environment for youth in the communities."

3. Indicators of success were developed using two questions: (a) What will the youth in our target areas need to grow into healthy, contributing adults, and (b) What do communities need in order to create an environment where kids can grow into healthy, contributing adults? Four categories of indicators were identified as: Health, Education, Family Support, and Community Climate; and within these categories, specific programming priorities were established.

From this program strategy, the individual target areas developed specific programming strategies to outline what types of projects were priorities for their areas. In Marquette/Alger, the plan was completed in June 1993; in Calhoun, the plan was shared in September 1993, and in Detroit, the plan developed by the K/NAP group fulfilled this need.

In the first five years of KYIP, the Kellogg Foundation provided funding for a total of 210 projects in the three target areas representing a \$38,166,526 commitment. Forty-seven projects were funded in Marquette/Alger for a total of \$8,705,705; 133 projects totaling \$13,080,021 were funded in Calhoun; and 26 projects in Detroit accounted for \$15,516,757 of the committed dollars.<sup>4</sup>

#### Program and Project Evaluation

An extensive plan for evaluation was another key component of the Youth Initiatives Program. External evaluators hired at the onset of the Program, were contracted to provide "ongoing process and impact evaluation at various stages of the effort." Evaluation of target area progress and Program progress was planned and

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<sup>4</sup> The remaining four projects, totaling \$864,043, were projects of a general nature that were not assigned to one particular target area.



carried out by The Evaluation Center at Western Michigan University. A detailed description of the external evaluation of KYIP follows in Chapter IV.

Additionally, KYIP-funded projects were required to conduct evaluations and submit evaluation reports in each Annual Report to the Foundation. APDs worked with funded projects to specify appropriate evaluation questions about the project's Context, Implementation, and Outcomes. Projects were encouraged to conduct their own evaluations (especially the smaller projects); although some chose to hire external evaluators.

Efforts were initiated within the Foundation to assist Program Directors in developing knowledge and skills in evaluation, so that they could work with projects in articulating evaluation questions to be answered by the funded projects. The Foundation's Department of Evaluation was strengthened to provide assistance and training to the Program Directors. Dr. James Sanders, who was the Associate Director for The Evaluation Center (and KYIP Evaluation Manager in Year 2) was hired by the Foundation for two years to develop the organization's internal evaluation capabilities.

The Program Directors were assisted in their evaluation work during Year 4 by consultants who were hired to visit funded projects and provide an evaluative summary of the projects' progress. The value of performing this function internally was used as an argument to justify additional programming staff in the target areas, and to initiate training in evaluation for KYIP staff.

Emphasis on evaluation within the Foundation at large increased over the period of KYIP's operation. The Board of Directors were particularly interested in seeing impacts of KYIP (as well as other programs); and informational needs for evaluation expanded as a result. Additionally, changes in the organization's philosophy for using marketing and dissemination to effect public policy began to materialize in Years 3 and

4. At the end of Year 5, KYIP was viewed within the Foundation as being an ideal case for piloting a system that would utilize evaluation in various forms to market programs; market the Foundation; disseminate findings within projects, clusters of projects, and programs; and influence public policy decisions.

## CHAPTER IV

### DESCRIPTION OF THE PROGRAM EVALUATION

#### Planning for Program Evaluation

In August 1987, Dr. Mawdsley sent letters to ten organizations, outlining KYIP and requesting evaluation proposals. Dr. Daniel Stufflebeam, Director of The Evaluation Center at Western Michigan University, responded to Dr. Mawdsley's letter with a written proposal in September 1987. The proposed evaluation plan consisted of four types of services: technical assistance, community level evaluation, program level evaluation, and metaevaluation.

In the description, Dr. Stufflebeam acknowledged the need for both summative and formative evaluation of KYIP. "We assume you want formative feedback to assist Foundation and community personnel to guide the program. We also assume that you desire summative evaluation in order to help interested groups to know what was accomplished and to assess whether the approaches followed are worthy of adoption." The proposal further suggested that community based evaluators would provide detailed, objective accountings of what happened in the targeted areas. From these reports, summative evaluations of process and impact were to be written.

The Kellogg Foundation assessed all evaluation proposals and invited the top three candidates to make oral presentations to program staff. In November, Evaluation Center staff met with Foundation representatives to present and discuss their evaluation plan. This plan was judged by Foundation personnel as being most directly responsive to their evaluation requirements, and a six-month contract for the detailed planning of the evaluation was initiated in January 1988.

At the end of the contract period, a report was issued which proposed a ten-task model for evaluating KYIP. The plan, which was based on Stufflebeam's CIPP model, addressed the Context, Input, Process, and Products of KYIP through multiple approaches and methods. Depicted in Table 7, this design provided cross-checks and complementary data to assess each aspect relative to KYIP.

Table 7  
KYIP Tasks Addressing CIPP Components

Tasks	Context	Input	Process	Product
1. Longitudinal studies	X			X
2. Aspirations of and for youth	X			X
3. Surveys of KYDS participants			X	X
4. Target area progress	X		X	X
5. Goal free evaluation	X	X	X	X
6. Analysis of proposals		X		
7. Technical assistance				
8. Feedback workshops				
9. Literature review		X		
10. Newsletter				

The task structure allowed for flexibility so that emerging informational needs could be met within a stable design. "Due to the evolving nature of KYIP, the overall

evaluation must also evolve with the program. The scope of work proposed to the Foundation for the 1988-1989 year sets forth the structure of the overall evaluation."

The evaluation contract was to be reviewed annually to assess and adjust the individual tasks. In this manner, five tasks were added and two were deleted during the first five years of the evaluation. Another benefit of this structure was that it allowed for variable frequency of task work--some tasks were required every year while others would be done every two, three, or five years. A brief description of the tasks, shown in Table 8, demonstrates how the tasks evolved during the first five years of the evaluation.

### Levels of Evaluation

The evaluation plan responded to a need for multi-level assessment; providing evaluative information at the target area level and at the program level. Data from all tasks were collected and analyzed first at the target area level. By examining results across target areas, program level analyses were also conducted.

Also within the original design, a component of technical assistance was built in to assist the Foundation in its early stages of commissioning, understanding, and utilizing the evaluation results. Task 7 allowed for The Evaluation Center to provide assistance to Foundation personnel as well as to projects in planning evaluation strategies; Tasks 8 and 10 were included to assist the dissemination and use of evaluation findings.

Project level evaluation was not included in The Evaluation Center plan for KYIP evaluation, since the funded projects were to be responsible for their own evaluations, but it was later decided that some level of involvement in the evaluations of projects was necessary to assist projects in this work. Task 13, added in Year 3,

Table 8  
Task Work Descriptions by Year

Task	Evaluation Years				
	Year 1 7/88-6/89	Year 2 7/89-6/90	Year 3 7/90-6/91	Year 4 7/91-6/92	Year 5 7/92-6/93
1. Longitudinal studies of youth and youth environments					
1A. Collect and analyze demographic data on 10 indicators	identify wellness indicators to focus study	compare target areas to similar areas	analyze target area progress on indicators	continue	expand indicators within Education, Community, Health, Parenting; community and target area reports
1B. Analyze newspaper articles from target areas	examine youth problems and programs, assess youth environment	continue	continue	INACTIVE	assess changes in articles over time
1C. Describe features of KYIP target areas	describe start-up of KYIP by target area	describe youth and communities in target areas	study high school graduates' perceptions and activities	INACTIVE	INACTIVE
1D. Assess high school climate using NASSP instrument		survey four target area high schools	survey one additional target area high school	INACTIVE	survey four additional target area high schools

Table 8--Continued

Task	Evaluation Years				
	Year 1 7/88-6/89	Year 2 7/89-6/90	Year 3 7/90-6/91	Year 4 7/91-6/92	Year 5 7/92-6/93
2. Study of aspirations of and for youth	survey leaders in communities about aspirations for youth	survey leaders in communities about aspirations for the community	INACTIVE	survey high school juniors regarding personal aspirations	INACTIVE
3. Study of satisfaction with and outcomes of KYDS	questions about knowledge in ten content areas	questions about gaps in and use KYDS training	new participants asked about satisfaction	continue	questions about changes due to KYIP, participant activities
4. Monitor progress in the target areas related to youth	semiannual report on KYIP progress by Traveling Observers	continue	continue	continue	continue
5. Goal-free evaluation	effects of KYIP identified by goal-free evaluator	continue	continue	continue	continue
6. Analysis of funding patterns					

Table 8--Continued

Task	Evaluation Years				
	Year 1 7/88-6/89	Year 2 7/89-6/90	Year 3 7/90-6/91	Year 4 7/91-6/92	Year 5 7/92-6/93
6A. Analyze proposals	analyze funded and unfunded proposals for patterns	continue	continue	continue	continue
6B. Case study selected projects				visit and report on 15 KYIP projects (five per target area)	visit and report on 15 KYIP projects (five per target area)
7. Technical assistance in evaluation	provide assistance to projects and KYIP staff	continue	continue	continue	continue
8. Feedback workshops	present and discuss evaluation with KYIP staff semiannually	continue	continue	continue	continue
9. Literature review of model programs	Keep abreast of youth program literature, develop catalogue of model youth programs	continue	continue	DISCONTINUE	DISCONTINUE



Table 8--Continued

Task	Evaluation Years				
	Year 1 7/88-6/89	Year 2 7/89-6/90	Year 3 7/90-6/91	Year 4 7/91-6/92	Year 5 7/92-6/93
10. KYIP evaluation newsletter	Issue quarterly newsletter to disseminate evaluation findings	continue	Issue newsletter semiannually	DISCONTINUE	DISCONTINUE
11. High school based longitudinal study		Describe youth environments with high schools as the focus (4 schools)	Study one additional high school	INACTIVE	Study four additional target area high schools
12. Study of target area youth-serving agencies		Describe and list youth-serving agencies in each target area	INACTIVE	INACTIVE	INACTIVE
13. Comparative studies of KYIP projects			Study one project per target area to assess long term effects	continue	continue

Table 8--Continued

Task	Evaluation Years				
	Year 1 7/88-6/89	Year 2 7/89-6/90	Year 3 7/90-6/91	Year 4 7/91-6/92	Year 5 7/92-6/93
14. Cohort study of target area parent priorities			Survey parents of kindergartners and newborns regarding needs and services	continue	continue
15. Project cluster evaluation					Develop common instruments for measuring effects in projects with similar goals

intended to strengthen and lengthen the evaluation of three projects (one in each target area) over the full twenty years of KYIP, documenting outcomes resulting from the projects. Task 6B, added in Year 4, allowed for case studies of individual projects, which provided considerable insight on the ability of projects to conduct evaluations. Finally, Task 15 (added in Year 5), assisted projects with similar focus in designing instruments for measuring impacts.

### Evaluation Orientation

From the beginning, the evaluation plan was organized to define and detect change relative to youth needs (needs-based) as opposed to change relative to goals (goals-based), since the goals of the Program were broadly aimed and long term. Task 1 was used in the first few years to establish the common and target area-specific needs of youth, through the collection and interpretation of baseline data. A wide variety of data were used in this task including: newspaper articles concerning the youth environment, youth needs, and youth programs; demographic indicators of community "wellness;" climate surveys of high schools in the target areas; profiles or descriptions of the target areas and their communities; and studies of high school graduates.

The purpose of the evaluation, through the first five years, was intended and used to improve the operation and functioning of the Program, rather than to assess accountability or establish extrinsic value. Thus, the orientation of the evaluation was primarily formative.

### Evaluation Reporting

The evaluation tasks provided a wealth of data that was provided in various forms for the Foundation's use. As one means of communicating evaluation findings,

written reports were submitted to the Foundation twice per year; at the midyear (December) and year end (June). Task finding reports, which formed the base of information, were presented as appendices to summary reports. Additionally, a "Synthesis Report" was produced in Year 3 which utilized data from all tasks to answer seven evaluation questions<sup>5</sup>; a memorandum titled "Update on the Progress and Effectiveness of the Kellogg Youth Initiatives Program" was distributed at the midyear point of Year 4, and "Highlights Reports" in Years 4 and 5 drew from across tasks to assess the progress of KYIP with respect to stages of program development.

In addition to written reports, Evaluation Center staff met regularly with target area Program Directors and Program officers to discuss evaluation findings. Following the mid-year and annual report distribution, individual Feedback Workshops (Task 8) were scheduled to facilitate understanding and use of the evaluation reports.

The Director of The Evaluation Center was also asked to address the Foundation's Board of Directors on two occasions during the first five years of KYIP to discuss the evaluation plan and findings. On the second occasion (June 1991), Dr. Stufflebeam described how evaluations of programs differentially concentrate on different stages of a program,<sup>6</sup> following a general sequence of: establishing the program's plans and policies, implementing the plans, making an impact, achieving effectiveness, and finally, achieving and sustaining long term goals.

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<sup>5</sup> The seven evaluation questions were:

- (1) What impacts has KYIP made on the targeted youth and their environments?
- (2) To what extent has KYIP addressed identified needs in the target areas?
- (3) To what extent is information about KYIP and KYIP projects being disseminated?
- (4) How effective is the design and process of KYIP in achieving program goals?
- (5) To what extent is grass-roots programming working to meet community needs?
- (6) Is KYDS an effective vehicle for developing the capacity for change?
- (7) Of what value is K/NAP (Kellogg/Northern Area Planning (a result of KYDS)) in implementing KYIP in Detroit?

<sup>6</sup> Stufflebeam began with the "Input" component rather than "Context" so that the Board would not become diverted by a discussion of the need for KYIP.

This five stage model, depicted in Table 9, was used in annual and midyear reports for KYIP starting in January 1992 (midyear of Year 4) to summarize findings across tasks for each year.

Table 9  
Program and Evaluation Stages

Stages					
Program	Formulation of sound policies and plans	Successful implementation of policies and plans	Making an impact by delivering services to targeted individuals and organizations	Achieving effectiveness in bringing about desirable behavioral and organizational changes	Sustaining successful program operations by turnkeying them to the targeted community
Evaluation	<u>Input evaluation</u> Are the policies and plans clear, appropriate, feasible, and potentially successful?	<u>Process evaluation</u> Are the plans successfully implemented and do they work well in the communities?	<u>Impact evaluation</u> To what extent are the targeted individuals and organizations reached by program services?	<u>Effectiveness evaluation</u> To what extent do persons and organizations that are impacted by the program benefit from it?	<u>Institutionalization evaluation</u> To what extent do targeted communities institutionalize support for and successfully sustain meritorious program operations?

Source: Stufflebeam, D.L. Prepared for a 5-4-92 presentation to the W.K. Kellogg Foundation Board. Also appeared in: Stufflebeam, D.L. & Dodson, S.C. (1992). Update on the progress and effectiveness of the Kellogg Youth Initiatives Program. Unpublished report, Western Michigan University, The Evaluation Center, Kalamazoo. p. 2.

## CHAPTER V

### CRITERIA FOR EVALUATION OF THE PROGRAM

Three sets of criteria developed in connection with the evaluation of KYIP: the Five Cs, the Evaluation Center/ KYIP Cube, and the Big Footprint Approach.

#### The Five Cs

The Five Cs, discussed previously as criteria used by the Program Directors to guide proposal development, were found useful and relevant criteria for assessing the overall Program as well as the projects. The definitions of the Five C characteristics of a "good program" are presented in Table 10.

Table 10

#### The Five Cs

Characteristic	Definition
Comprehensive	Addresses needs holistically rather than meeting a single need in isolation of other, related needs
Creative	Represents a unique approach that takes local resources and context into account
Collaborative	Links a variety of resources in the delivery of service
Community-based	Responds to a recognized, local need; is supported by community groups and individuals
Continuous or sustainable	Has ability and makes plans for continuing services after the funding period ends

The Five Cs originated from the KYIP Program Directors' interpretation of the vision for the Program, established by Dr. Mawby, CEO of the Kellogg Foundation. Community-based, collaborative partnerships that would comprehensively address needs were the "new course" charted by the Foundation in 1988. Aspects of creativity and sustainability were taken from programming guidelines in operation at the same time: "The Foundation does not make loans and does not provide grants for operational phases of established programs;" "Grantees must have the financial potential to sustain the project on a continuing basis after Foundation funding is ended."

In various evaluation reports, the Five Cs were used to analyze the funding patterns of the Foundation with respect to the Youth Initiatives Program (under Task 6A) and to examine individual projects through case studies (Task 6B).

#### The KYIP/Evaluation Center Cube

A three-dimensional framework for conceptualizing the Program was developed in Year 1 (1988-1989) by Evaluation Center staff. By framing the scope of the Program in dimensions and categories within the dimensions, a universe of possible youth needs, services, and program impacts was described. The KYIP/Evaluation Center Cube, depicted in Figure 1, illustrates the three dimensions of: age of youth, developmental need of youth, and community systems.

The first dimension of the model, that of youth needs, was scaled using categories developed by Stufflebeam (1977), and explicated by Nowakowski, et.al. (1985). Social, intellectual, vocational aesthetic/cultural, recreational/health, moral, and emotional needs of youth, compose the horizontal axis.

The second dimension, age of the youth, was divided both by years (3 year groupings) and by educational status (infant/toddler, preschool, lower elementary,

upper elementary, middle school, high school, and post high school.) Used in conjunction with the needs dimension, a matrix allowed for description and analyses of needs across different age groups.

The third dimension acknowledged the various community systems that could impact the environment for youth. Systems listed along this axis were: housing, social services, health services, economic development, public works, justice, education, and religion. This dimension was also useful in conjunction with the youth needs dimension to portray the extent to which different needs were met by these different community systems.

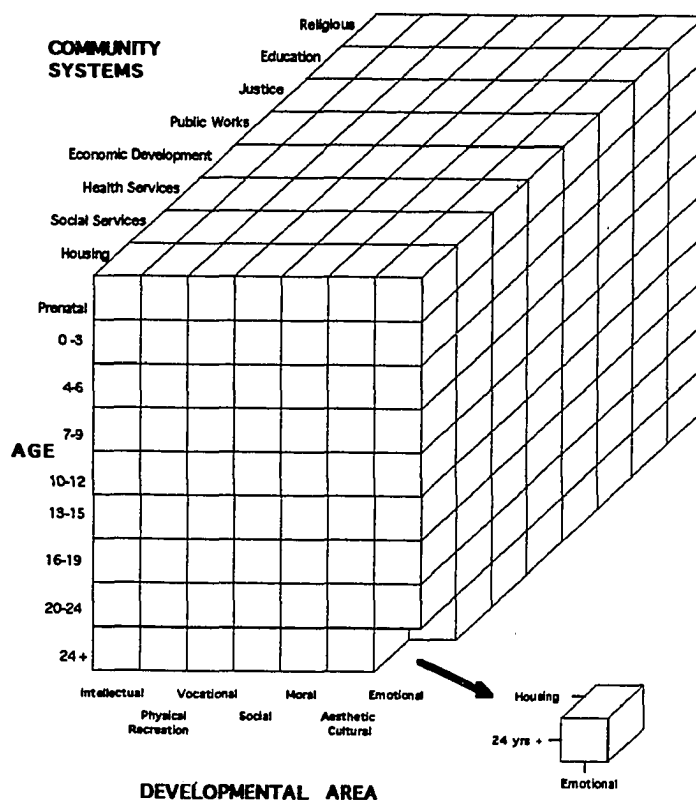


Figure 1. The KYIP/Evaluation Center Cube.



The KYIP/Evaluation Center Cube was used to analyze proposals that were submitted to the Foundation so that gaps and redundancies could be identified. The Cube was also used as a framework for analyzing newspaper articles from the target areas (Task 1) and the extent of youth services available in the target areas (Task 12).

Variations on the Cube (using additional dimensions of project focus and service area) were used by Program Directors to track the types of projects funded and to illustrate the range of programming options.

### Big Footprint Approach

As the Goal Free Evaluator of KYIP, Dr. Michael Scriven developed a third set of criteria for KYIP. The Big Footprint Approach "judges proposals (and, for that matter, completed programs) by the size of the footprints they leave in the sands of time." According to Scriven (1992), "Footprint size is measured in terms of length x width x depth, as follows: length is the duration of the effects; width is the number of people who are benefitted (or harmed); depth is the extent to which each affected individual is benefitted or harmed." A depiction of the Big Footprint Analysis model is presented as Figure 2.

The Big Footprint Approach was used by Scriven in the Year 2 Goal Free Evaluation of KYIP to assess the potential for program impact.<sup>7</sup> Scriven's use of the model, to describe potential large-impact projects, was originally met with skepticism by the PDs. However, the appeal of the model in terms of providing an efficient means of visualizing the effects and value of KYIP, ensured its use. The Big Footprint model became a third set of criteria for evaluating KYIP.

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<sup>7</sup> In the context of CIPP, this was retrospective input evaluation, since it focused on project proposals and their potential impact.

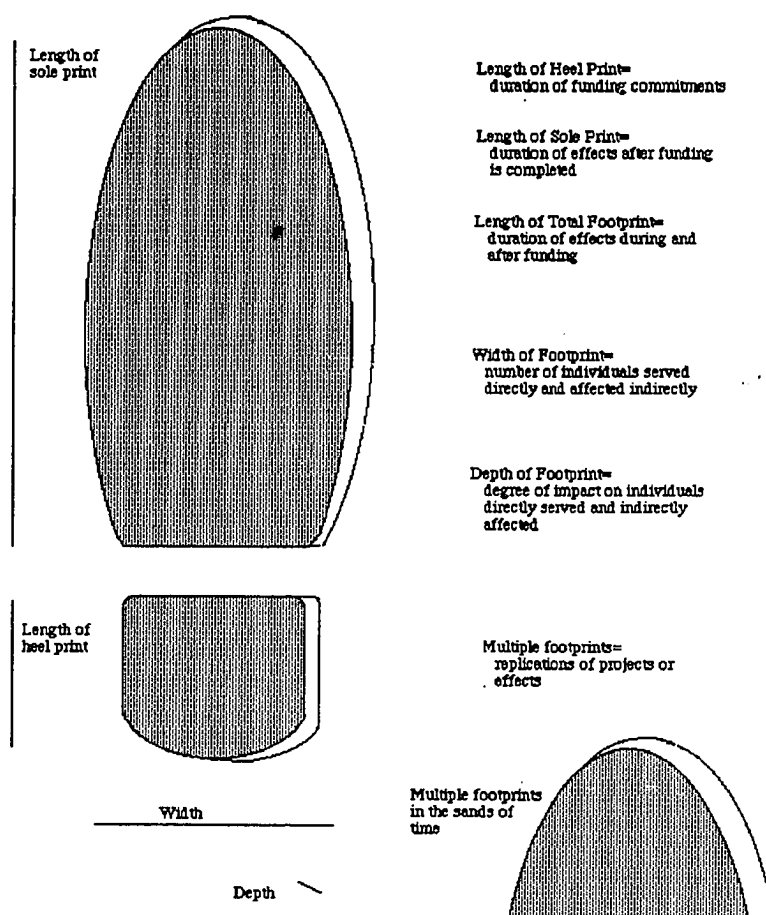


Figure 2. The Big Footprint Analysis.

## CHAPTER VI

### INTERIM SUMMATIVE EVALUATION REPORT

Input to the planning process for the interim summative evaluation report included both program-specific and theoretical aspects. Overall evaluation design and the informational needs of the Program were necessary to consider in developing the report plan, as were the characteristics and theoretical frameworks of interim summative evaluations that were identified in the review of literature. Also, the sixteen Standards for Evaluations of Educational Programs, Projects, and Materials (1981) relevant to evaluation reporting played a role in the planning process.

In considering the overall evaluation design, it was noted that evaluation reports were written to an audience of Program Directors and KYIP program officers at the Foundation headquarters. In general, reports summarized one year of data and findings; utilizing an update rather than a retrospective approach to reporting. Recommendations for program improvement were included in the annual reports, and discussed with Program Directors in semi-annual Feedback Workshops. From these characteristics, the evaluation reporting was described as primarily formative. A summative evaluation report was seen as a potentially important addition that would provide: (a) a retrospective summary of findings across years, and (b) a statement or summary of the Program's value to date.

Regarding informational needs of the Program, the interim summative evaluation report of KYIP was not commissioned by The Kellogg Foundation, as noted earlier. Instead, it was written in anticipation of informational needs of the Program staff and the Kellogg Foundation Board of Directors. The Board's growing interest in

cumulative effects and sustained efforts was evidenced in the KYIP Program staff's annual reports of Years 4 and 5. Program staff also communicated in Year 5, a growing need to inform the Board about the development of KYIP, so that accomplishments and plans would be seen in context of program maturation. The interim summative evaluation report was thus planned to assist Program staff to communicate the range of KYIP's accomplishments and associated value to the Board. Stufflebeam's five stage model was seen as one vehicle for framing the report.

By mapping the five stage model against the types of questions found in the literature, it was found that there was generally good correlation between the two sets of questions. Table 11 illustrates the degree of match by marking the types of questions that appear in both the five stage model and the examples in the literature. Three areas of discrepancy (where no Xs appear), were thus identified: (1) context evaluation questions, apparent in the examples studied, were not included in the five stage model; (2) input evaluation questions, included in the five stage model, had not been identified in the four interim summative evaluations studied; and (3) the five stage model did not separately address the question of what lessons were learned.

To address these discrepancies, two questions were considered.

1. Is it important in this particular application of interim summative evaluation to include both context and input evaluation? Since the report was not defined by the client, the evaluator was responsible to decide what would be important and useful components. Context questions were left out of the draft version of the report, but later deemed to be essential to the evaluation, as the orientation of the evaluation, historically, was primarily needs-driven. The identification and validation of youth needs were an important part of the evaluation and Program development.

Input evaluation, although not evidenced in the example studies, was also judged to be essential to provide information about how well the plans and policies of KYIP were positioned to meet the identified needs.

2. How can the lessons learned best be included in the interim summative evaluation? Lessons can be learned in all stages of a program's development and can potentially be reported under each stage. Alternatively, or additionally, a summary section of the report could be used to highlight the important lessons. For this application of interim summative evaluation, it was decided to report lessons learned both by stage and in summaries.

Table 11

Program Stages versus Summative Domain Questions

Five Stage Model (CIPP)	Summative Domain Questions						
	Context	Process	Impacts	Effective- ness	Goals Achieved	Value	Lessons Learned
(Context)	X						X
Plans and policies (Input)							
Implementation (Process)		X					X
Impact (Reaching those targeted) (Product)			X				X
Effectiveness (Serving those targeted) (Product)				X			X
Sustainability						X	X

Thus, the five-stage model, expanded to include Context evaluation, was used as an outline for the interim summative evaluation report. For each stage, the Program's history and development were described, and a summary of findings and a summative evaluation statement was written. When completed, the draft interim summative report was distributed to one Program officer at the Kellogg Foundation and two Evaluation Center staff for their comments regarding accuracy, completeness, balanced reporting, and utility. Changes were incorporated into the final version, which is included as Appendix A.

## CHAPTER VII

### EVALUATION OF THE SUMMATIVE EVALUATION REPORT

A method for summatively evaluating ongoing programs was developed through a specific example. To assess the quality of the product that resulted from this study, two analyses were performed. First, an analysis of the Interim Summative Evaluation Report, using Scriven's Key Evaluation Checklist (1985), provided a means of assessing the comprehensiveness of this individual report as an example of interim summative evaluation. Second, the report was examined for adherence to the Joint Committee's Standards for Evaluations of Educational Programs, Projects, and Materials. Following these analyses, findings from the study and implications in the form of recommendations are presented.

#### Analysis of the Interim Summative Evaluation Report

##### Key Evaluation Checklist

According to Stufflebeam (1990), Scriven's Key Evaluation Checklist can be "used to draw together the evaluative information obtained in all phases of an evaluation and use it to examine the importance as well as the extent of impacts." It is used here to determine the overall comprehensiveness of the interim summative evaluation report written for this study. The fifteen items in the checklist are examined individually in Table 12, to assess the strengths and weaknesses of this individual interim summative evaluation report.

Table 12

## Key Evaluation Checklist Applied to the Interim Summative Evaluation

Checklist Items	Extent Addressed
1. Description	Section 2 provides a history of the Program. Design and development are addressed. Function, operation, and delivery system are described.
2. Client	Page 1 describes the intended audience and potential audiences.
3. Background and Context	Section 1 describes the context of the Program in the Foundation and in relation to youth needs.
4. Resources	There is some discussion of human resources in the target areas, but little information about additive resources, provided by other organizations, is presented.
5. Consumer	Targeted populations and impacted populations are described in Section 4.
6. Values	The source of values for the evaluation are provided and described. Goals of the program are clearly identified.
7. Process	Process is described and evaluated in Section 3.
8. Outcomes	Impacts and effects are described and evaluated in Sections 4 and 5.
9. Generalizability	Some exploration of generalizability of program model, and target area adaptations are covered in Section 6.
10. Costs	Project costs are summarized in Section 3. Information about <u>total</u> program costs (personnel, supplies, offices, travel, etc.) are not known and do not appear in the report.
11. Comparisons	Common factors of projects are analyzed in Section 4. No comparisons are made between target areas and similar areas without the program.
12. Significance	An assessment of program significance is provided in Sections 6 and 7.



Table 12--Continued

Checklist Items	Extent Addressed
13. Remediation	Aspects of the program requiring improvement were identified, but not written as recommendations for improvement, keeping to the summative nature of the report.
14. Report	Report intent is described in the introduction. Other means of reporting were not discussed or presented.
15. Metaevaluation	Some discussion of where improved evaluation efforts are needed are discussed in summative evaluation statements that conclude each section.

### Evaluation Standards

The draft version of the Interim Summative Evaluation Report was reviewed by Dr. James Sanders, Chairman of the Joint Committee on Standards for Educational Evaluation, and two evaluation specialists, to determine the extent to which the report met the Standards.<sup>8</sup> The results of the metaevaluation, shown in Table 13, indicated that the draft report met eighteen of the thirty standards. Information from the metaevaluation regarding standards that were "not adequately addressed" or "partially addressed," was used formatively to strengthen the final product, as discussed below.

### Standards Met by the Draft Interim Summative Evaluation Report

Eighteen standards were judged to be addressed satisfactorily: Evaluator credibility (U2), Report Timeliness (U6), Practical Procedures (F1), Political Viability (F2), Service Orientation (P1), Rights of Human Subjects (P3), Complete and Fair

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<sup>8</sup> An updated version of the Standards, to be published by Sage in 1994, were used for this analysis.

Table 13  
Metaevaluation of the Interim Summative Evaluation Report

Standard		Ability to meet Standards	Comments
U1	Stakeholder Identification	not addressed	unclear who the summative evaluation is for
U2	Evaluator Credibility	met	
U3	Information Scope and Selection	not addressed	unclear whether information needs of audience are addressed
U4	Values Identification	partially addressed	basis for judgments not always clear
U5	Report Clarity	partially addressed	information sources not always clear
U6	Report Timeliness and Dissemination	met--not addressed	the report is timely--unclear how the report will be disseminated
U7	Evaluation Impact	not addressed	unclear how follow-through will be encouraged
F1	Practical Procedures	met	
F2	Political Viability	met	
F3	Cost Effectiveness	??	This one is hard to assess, i.e., whether the information is of sufficient value to warrant the expense
P1	Service Orientation	met	
P2	Formal Agreements	met elsewhere	Although how this was met is not evident from the report
P3	Rights of Human Subjects	met	
P4	Human Interactions	??	Cannot determine

Table 13--Continued

Standard		Ability to meet Standards	Comments
P5	Complete and Fair Assessment	met	
P6	Disclosure of Findings	met	
P7	Conflict of Interest	met	
P8	Fiscal Responsibility	??	Cannot determine
A1	Program Documentation	met	
A2	Context Analysis	met elsewhere	Not in this report
A3	Described Purposes and Procedures	partially addressed	Sources of data and methodology not always clear
A4	Defensible Information Sources	met	
A5	Valid Measurement	met	
A6	Reliable Measurement	met	
A7	Systematic Information	met	
A8	Analysis of Quantitative Information	met	
A9	Analysis of Qualitative Information	met	
A10	Justified Conclusions	partially addressed	Conclusions not always supported in the report
A11	Impartial Reporting	met	
A12	Metaevaluation	met	

Assessment (P5), Disclosure of Findings (P6), Conflict of Interest (P7), Program Documentation (A1), Defensible Information Sources (A4), Valid Information (A5), Reliable Information (A6), Systematic Information (A7), Analysis of Quantitative Information (A8), Analysis of Qualitative Information (A9), Impartial Reporting (A11), and Metaevaluation (A12).

#### Standards Not Adequately Addressed

Four standards: Stakeholder Identification (U1), Information Scope and Selection (U3), Report Dissemination (U6), and Evaluation Impact (U7) were judged to be "not addressed" by the report.

As mentioned previously, the Interim Summative Evaluation Report was written in anticipation of information needs, rather than in response to a request by the client. Thus in this case, the author wrote the report to the intended audience of KYIP Program Officers, responsible for making decisions about the Program and based the scope and selection of information on the types of information and findings this group had received and requested in the past. It is acknowledged that, by not working with the client to set limits on the scope, the report may err on the side of being too comprehensive and not selective enough.

The Standards concerning impact and dissemination are related to this particular arrangement as well. Based on past experience, dissemination within the KYIP staff at the Foundation will be good. Beyond that audience, as with other Evaluation Center reports for KYIP, dissemination is controlled by the Foundation. While the Program is now strategizing and planning for the next few years, it is anticipated that potential for impact is good. The KYIP Program staff has indicated that they need to "tell the story" of the first five years to the Board of Directors so they can connect what has been

learned to future directions of the Program. Because the information needs were anticipated, the evaluators are now in an excellent position to offer assistance in this effort. As noted in the metaevaluation, the timing was on target.

#### Standards Partially Addressed

Values Identification (U4), Report Clarity (U5), Described Purposes and Procedures (A3), and Justified Conclusions (A10) were judged to be partially met.

In an effort to make the report more readable (since it is quite dense with information), references and background information were not always made available to the reader. Comments on these standards resulted in a separate document to the final version of the report, listing sources and supporting evidence by report section.

#### Standards Met Elsewhere

The metaevaluators noted that Context Analysis (A2) and Formal Agreements (P2) standards were addressed in other evaluation reports for KYIP, but were not included in the Interim Summative Evaluation Report.

Context was judged by the author to be an important aspect of the Interim Summative Evaluation that needed to be added. Thus, a section to discuss the context of the program and to provide context evaluation, was included in the final version.

#### Standards Judged "Cannot Determine"

The metaevaluators indicated that they could not determine whether three standards had been met, based on the Interim Summative Evaluation Report: Cost Effectiveness (F3), Human Interactions (P4), and Fiscal Responsibility (P8).

## Findings and Recommendations

Five findings resulted from the process of conducting an interim summative evaluation of an ongoing, long term program. Recommendations, derived from the findings, are also presented.

1. Few Examples of Interim Summative Evaluations. While summatively evaluating ongoing programs is clearly possible to do, not many examples were found that demonstrated how these evaluations should be done. Two significant challenges were encountered in this study that were thought to contribute to the sparsity of examples in the literature.

First, it was difficult to keep the evaluation focused on the "first five years" as the Program continued to evolve and change while the report was being written. There was new information that could have been added to show change and to substantiate earlier findings, yet to extend past the five year limit would have taken away what boundary existed. While analyses were easily kept to the time frame by using reports and data from the first five years only; it was more difficult to assess program progress, without using up-to-date information to temper the assessment.

Secondly, it was difficult to judge whether conclusions were premature. Although the conclusions were written within the context of the five year analysis, it was noted that many project outcomes and benefits of the Program may not be seen for many years to come. Thus, there is some danger in presenting interim findings when the intended results are long term.

These challenges indicate that the interim summative evaluation is not easily bounded and framed, and it is therefore recommended that some clear definition of what time frame (or program frame) is to be examined and a clear statement about the interim nature of findings and conclusions be included in the report. It may also be

advantageous to hire an interim summative evaluator who is not involved in the continuing evaluation of the program.

2. A Modified CIPP Model was a Useful Organizer. In this approach to interim summative evaluation, a modified CIPP model was used as an organizer and found to be extremely helpful. The draft version of the report contained sections pertaining to Input, Process, Product (Impacts and Effects), and Sustainability, in agreement with the model of program and evaluation stages presented to the Foundation's Board. Context, which had been originally left out of the model to avoid a discussion about the need for the Program amongst the Board (see page 57), was also left out of this report. However, upon reflection and assessment of reviewers' comments, the author determined that a section for Context was particularly important to include. Since the evaluation was primarily needs-based rather than objectives-based, the assessed needs were of critical importance and needed to be presented. When a section for Context was added, the report pieces fit together in a thorough model that joined Needs Assessment with Product Evaluation and Sustainability.

The CIPP model was also modified to include Sustainability Evaluation, which was of particular interest in KYIP because of the Program's intent to affect youth environments in the long term, and its focus on the sustainability of individual project effects. Although sustained improvements could be included in Product Evaluation, it was useful to think about the development of KYIP and its ability to bring about lasting changes as opposed to impacting targeted populations and producing effects.

A third and final modification to the model, was the separation of Product Evaluation into Impacts and Effects. This modification responded to Scriven's Big Footprint Analysis which defined the width of the footprint to be the number of targeted people and organizations directly and indirectly served by the Program (defined in the

Modified CIPP Model as Impact), and the depth of the footprint as the degree of effect upon those impacted (Effect). Again, this modification was useful to an interim summative evaluation because it allowed for the developmental stage of Impacts to precede that of Effects--and acknowledged that both aspects of Product Evaluation were important in the evaluation of KYIP.

Although the Modified CIPP model may not always be applicable, it was a very useful device for structuring the Interim Summative Evaluation Report produced in this study. It is recommended that stages of program development and corresponding stages of evaluation be considered in planning evaluations of long term or ongoing programs.

3. Summative was not always the Final Iteration of Formative. Scriven has suggested that summative evaluation can be thought of as the last iteration of formative evaluations. In this example, there was only one analysis that was of this form: the Demographics Analysis, which updated the wellness indicators annually to look for changes and trends. Two other analyses (those of Funded and Unfunded Proposals and Newspaper Articles) had also summarized data in a form that would, if continued on a regular basis, provide iterative data.

However, much of the data were reported on an annual basis, with little connection between years and no cumulative reports of findings. Some studies were conducted only once, and could not be used to look for change, but were significant in assessing portions of the overall Program. The Annual Reports and Highlights Reports reflected this tendency also, reporting one year's findings at a time.

Information sources and methods also changed from year to year, along with addition and deletion of tasks, to meet the informational needs of the Foundation. One example of this was in the study of KYDS participants, where three study periods per



year were used to give quick feedback to the Foundation Program Directors. New surveys were used each year, and there was no framework in place for analyzing the accumulated knowledge from these studies.

The huge volume of information and the differences between years and analysis methods were obstacles to writing the report. The use of the Modified CIPP Model clarified the task by focusing all of the data--in whatever form--to answer evaluation questions.

It is recommended that in designing evaluations of long term programs, that interim summative evaluation be included in the planning stages, so that the data used to answer questions about program improvement can be obtained and reported in such a way that they are also useful to assess program effects and impacts. By including an interim summative evaluation in the plan, attention to both program improvement and assessment of program value is more likely.

4. Documentation was Problematic. Comments from two reviewers indicated that there was a serious lack of documentation in the draft version of the Interim Summative Evaluation Report regarding the sources of information, the methods and procedures used for analysis, and the sources for conclusions and judgments. The volume of information and the need for writing a readable report had led the author to distill the most important findings and leave out the great amount of available detail. To correct the problem and to also keep the report from becoming overly-technical and stacked with references that may not be important to all readers, a separate report section was written. In the section, all sources and resources used to write the Interim Summative Evaluation Report were documented.

The importance of providing technical detail as part of the report was a good lesson to learn.<sup>9</sup> In this case, even though the technical backup existed in the form of other reports, it was important to reference the reports and materials so that it would be available for the reader to verify points or to further investigate the findings.

It is recommended that ways for providing documentation be designed into interim summative evaluation reports. Although the importance of documentation is clear, the audience should be considered in planning for the presentation of thorough documentation.

5. Metaevaluation by the Standards Improved the Report. As described in the previous section, the metaevaluation of the Interim Summative Evaluation Report was very useful in improving the quality of the final product. It was also found in the metaevaluation, that several Standards were not met as a result of the report being written in anticipation of informational needs as opposed to being written in response to a client's request. In this particular case, the timeliness and potential for impact of the report was judged to more important standards to meet. If the interim summative evaluation had been delayed until the client had realized this need, the other standards would have been violated instead.

It is therefore recommended that evaluators utilize the Program Evaluation Standards to strengthen their reports and to help define the relative importance of various standards in planning and conducting evaluations.

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<sup>9</sup> As Stufflebeam commented, "As practicing evaluators know, it is regularly important to prepare a detailed backup technical report for evaluation. Although almost nobody ever does more with the report than to check on whether or not it exists. Although almost no one will read the technical report, woe onto the evaluator who doesn't have one available as a defense mechanism."

**Appendix A**

**Interim Summative Evaluation of the  
Kellogg Youth Initiatives Program:  
The First Five Years**

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The Kellogg Youth Initiatives Program (KYIP) is a long term program, funded by the W.K. Kellogg Foundation, that is intended to improve the well-being of children and youth in three target areas in Michigan. The Program has operated for five of its projected twenty years, and has utilized two strategies: the funding of projects and the development and networking of people in the targeted communities.

The importance of youth programming to the Kellogg Foundation and the needs of youth in the target areas are significant and are well documented. Needs differ across the three very different areas of Marquette and Alger Counties in the Upper Peninsula, Calhoun County area, and the Northern High School attendance area in Detroit.

Plans and policies of the Program have changed over time to maximize the potential effect. The Program has been self-examining and has learned from evaluation feedback. A model for developing community ownership of youth priorities was identified in the Detroit target area as evidence of the Program's ability to adapt to needed change.

The implementation of project funding has adhered moderately well to criteria established by the Program in terms of its intended targets, outcomes, and project quality. KYIP has gone from a shotgun approach of funding projects to a strategic plan approach, based on family, health, education, and community objectives. The training of community members through the Kellogg Youth Development Seminars (KYDS) has been implemented well, with a high degree of participant satisfaction and a moderately high degree of participant learning. Although KYIP has implemented a number of significant changes based on evaluation findings, there are several long-standing recommendations that have not been addressed: finding ways to sustain the momentum of KYDS participants after training, articulating a strategic plan for KYIP, and strengthening project evaluations.

Approximately 320 community people were trained in the target areas through KYDS and many more have benefitted from participation in Kellogg-sponsored activities and conferences. A total of 210 projects were funded in the first five years, with an associated funding commitment of over \$38 million. In a study of 64 funded projects, it was estimated that over 70,000 youth were served by KYIP projects, which is compared to a total youth population (all three target areas) of 68,645.

Effects of KYIP in the youth environment, measured by "wellness" indicators, have not been detected, with the exception of a decline in the dropout rate at Detroit Northern High School. Generally, the indicators have not been targeted by projects, especially at a level that would impact the measures at the target area level. Individual project effects have been impressive and reported in several studies, but the project level evaluations, which could be a rich source of information, vary greatly in quality.

The ability of the Program to sustain good effects is being addressed through project continuance. Projects are being required and assisted to find ways to sustain their efforts after the Kellogg funds expire. After five years, the sustainability of KYIP is characterized by attention to project continuation rather than changes of systems that would affect long term conditions for youth.

In sum, the Program has matured and grown significantly in its five years of operation and is poised to make outstanding contributions to the targeted communities. Its impacts and effects to date have been numerous and important, if not targeted to specific objectives. KYIP is continuing to learn and improve its operations.



## INTERIM SUMMATIVE EVALUATION OF THE KELLOGG YOUTH INITIATIVES PROGRAM: THE FIRST FIVE YEARS

The Kellogg Youth Initiatives Program (KYIP), funded by the W.K. Kellogg Foundation, has operated in three sites in Michigan for five of its projected twenty years. Its mission of providing positive environments for the development of youth has been realized through two major activities in each target area: funding of projects and the development and networking of community leaders.

The Program has matured significantly, and much has been learned. Ongoing program evaluation, conducted by The Evaluation Center of Western Michigan University, has assisted in this process. Part of the evaluation has been directed toward the improvement of the Program and its operations, that is, it has served a formative role; but the evaluation has also regularly addressed questions about the Program's value and impacts. After five years of operation and maturation, it is appropriate to examine the Program in retrospect--to "take stock" of its first five years.

The purpose of this interim summative evaluation of the Kellogg Youth Initiatives Program (KYIP) is to summarize for the Foundation's Program Officers what KYIP has accomplished. This report is intended to document the Program's process, assess the impact, examine the significance of program achievements against the assessed needs of targeted youth, and analyze the potential long term value of the program based on its first five years. The summative evaluation report is intended to provide an assessment of the Program by describing and examining the strengths and weaknesses of its design and operations, presenting an inventory of Program achievements, and summarizing what has been learned to date.

So that this evaluation report is clearly seen as an interim report--retrospective of an ongoing program rather than a completed one--it is organized by sections corresponding to generalized steps of program development. The framework<sup>1</sup>, depicted in Table 1, allows the evaluation to acknowledge stages of the program's development and maturation. Thus, Section 1 examines the need for the Program in the context of youth needs. Section 2 addresses the second developmental stage, which concerns the formulation of a sound guiding policy and plan. Section 3 examines KYIP's progress in reaching a level of smooth and efficient implementation of the plan. Section 4 summarizes program impacts, i.e., the number of persons and organizations in the target area that have been addressed, involved in, or directly served by the program. Section 5 considers program effectiveness, which is defined as the extent and significance of behavioral and organizational change resulting from the program; and Section 6 addresses the extent to which program operations, impacts, and effects are being sustained. A seventh section of conclusions completes the report.

Because of the density of the Interim Summative Evaluation Report, a separate Description of Resources used to write each report section is included as Attachment A.

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<sup>1</sup> The original framework (which did not include a section for evaluating the need for the Program) was developed and used by Stufflebeam to help the Kellogg Foundation's Board of Directors view evaluation stages in relationship to the maturation stages of KYIP.

Table 1. Program and Evaluation Stages

Stages	1	2	3	4	5	6
Program	Identifying needs, opportunity, underlying problems of the targeted populations	Formulation of sound policies and plans	Successful implementation of policies and plans	Making an impact by delivering services to targeted individuals and organizations	Achieving effectiveness in bringing about desirable behavioral and organizational changes	Sustaining successful program operations by turnkeying them to the targeted community
Evaluation	<u>Context evaluation</u> Is there a clear need for the program? Is the need within our institutional mission?	<u>Input evaluation</u> Are the policies and plans clear, appropriate, feasible, and potentially successful?	<u>Process evaluation</u> Are the plans successfully implemented and do they work well in the communities?	<u>Impact evaluation</u> To what extent are the targeted individuals and organizations reached by program services?	<u>Effectiveness evaluation</u> To what extent do persons and organizations that are impacted by the program benefit from it?	<u>Institutionalization evaluation</u> To what extent do targeted communities institutionalize support for and successfully sustain meritorious program operations?

Stufflebeam  
03/30/93

## Section 1. Needs Assessment

### 1.0 Needs of Youth

Since its beginning in 1930, the Kellogg Foundation has demonstrated through its funding priorities, W. K. Kellogg's philosophy that the most public good "could be accomplished mainly by helping young people." In the last few decades, this philosophy has become even more of a focal point for the Foundation, as described in "The Continuity of Change," written by Russell Mawby, Chairman and CEO of the Foundation, and Norman Brown, President and Chief Programming Officer.

One example of changing priorities is the Foundation's recommitment to the needs of youth. It was 60 years ago that W.K. Kellogg told the staff of his fledgling foundation to "promote the health, happiness, and well-being of children." . . . Today, perhaps more than ever, the future of this nation and the world hinges directly on the actions, abilities, and commitments of our young people. And today, all over the world, the problems of youth seem in many ways more ominous than ever before. Fortunately, this global concern about the well-being of youth provides an opportunity to promote positive change. Healthy, happy, and productive young people can become the tool by which we gain leverage on the world's social problems (p. 4).

Within the Foundation's programming priority to improve the well-being of youth, three strategies were identified: (1) strengthen formal and informal learning systems, (2) identify and help those who work with youth to devise new methods to meet the needs of young people, and (3) help targeted communities establish environments for young people that promote positive growth and development. The third strategy was implemented through a single program, called the Kellogg Youth Initiatives Program (KYIP), which began operation in 1987.

The Kellogg Youth Initiatives Program was described as a "major program experiment" built on the principle that "local people are in the best position to know local needs." The Foundation acknowledged the need for long term solutions to youth problems and made a twenty year commitment to the three areas targeted by the Program. KYIP's mission was stated in an early Youth Initiatives Program brochure (1987):

The primary goal of KYIP is to improve the quality of life for young people, by strengthening positive environments in which they can best develop and grow. A secondary goal in the interest of youth everywhere is to create program models which can be adapted by other towns, cities, or regions (p. 2).

Specifically, the aim of KYIP was to effect lasting improvements in the environments for youth in three selected target areas in Michigan: the Northern High School attendance area in Detroit, Calhoun County area, and Marquette and Alger Counties in the Upper Peninsula. The Program was intended to have beneficial effects for youth spanning prenatal through early adulthood; and for their families. KYIP aimed to improve a wide range of extant services for youth and to add to these in all areas of growth and development of children and youth, including intellectual, social,

emotional, moral, physical, vocational, and aesthetic areas. The Program also was intended to involve a variety of community systems in the process of improvement, including systems for housing, social services, health services, economic development, public works, justice, education, and religion. Collaborations of these service providers were a key concept of the Program.

### 1.1 Needs of Target Area Youth

KYIP intended that the needs of youth in the target areas be identified and prioritized by members of the communities. In the first years of the program, needs assessments for KYIP were primarily conducted by The Evaluation Center as part of the program evaluation, although some local needs assessments were also conducted by groups and organizations in the target areas.

The Evaluation Center conducted six studies in the first five years of KYIP, that helped to identify local youth needs: identification and analyses of demographic indicators of "wellness," analyses of newspaper articles from the target areas, surveys of community residents, surveys of high school graduates, school climate surveys, and high school-based community studies.

The first three of these studies identified youth needs in the target areas; demographic indicators and the last three studies were used to identify youth needs in specific communities within the target areas. The results of the studies, summarized in Tables 2 and 3 formed a basis for establishing the needs used to evaluate KYIP.

Table 2. Needs Assessment Findings by Target Area

	Demographic Indicators (1993)	Newspaper Analysis (1993)	Surveys of Community Residents (1989)
Marquette/ Alger	teen pregnancy unemployment	lack of organized recreation alcohol abuse teen sex homelessness	self-esteem substance abuse broken homes
Calhoun	infant mortality teen pregnancy	lack of extra- curricular activities child abuse crime substance abuse	substance abuse broken homes dropouts teen pregnancy
Detroit	youth mortality infant mortality school dropouts unemployment school achievement	drugs and violence illiteracy/dropouts lack of day care crime poverty	self-esteem broken homes dropouts

Table 3. Needs Assessment Findings by Community within Target Area

	Demographics (1993)	High School Graduates (1991)	High School Climate (1990, 1991, 1993)	Community Longitudinal (1990, 1991, 1993)
Marquette	alcohol use	none	parent perceptions	economic base brain drain
Munising	school achievement	none	guidance instructional mgmt	economic base alcohol abuse school funds isolation
Superior Central	alcohol use poverty unemployment	**	instructional mgmt staff perceptions	school funds employment alcohol abuse clannishness
Negaunee	none	**	diversity in perceptions	alcohol abuse employment homelessness
Battle Creek	unemployment dropouts school achievement poverty	personal safety	teacher perceptions peer relations	teen pregnancy drugs and crime widening gaps between groups emotional needs
Tekonsha	school achievement	employment opportunities school opportunities health care	peer relations behavior academic orientation	employment housing poverty things to do
Albion	poverty unemployment single parents	**	peer relations instructional management behavior academic orientation	poverty weak economic base drug selling alcohol abuse teen pregnancy
Marshall	alcohol use	**	parent perceptions instructional management academic orientation	alcohol abuse cliques school funds

Table 3--continued

	Demographics (1993)	High School Graduates (1991)	High School Climate (1990, 1991, 1993)	Community Longitudinal (1990, 1991, 1993)
Detroit Northern	unemployment school achievement single parents dropouts poverty youth mortality infant mortality	**	security/ maintenance peer relations	violence, crime and drugs employment lack sense of community

\* presented in target area data

\*\* not studied--no data

Traveling Observers for the KYIP evaluation were also asked as part of their work in Year 5 to list the most pressing youth needs they observed for the target areas. Their perceptions, presented in Table 4, match closely with the needs found in the more formal studies.

Table 4. Traveling Observer Listings of Youth Need Priorities

	Marquette/Alger (1993)	Calhoun (1993)	Detroit (1993)
Health	alcohol abuse	infant mortality substance abuse	prenatal care dental care
Education	distance education remoteness	education for all teen pregnancy	preschool basics K-12
Family	poverty unemployment	parenting skills unemployment	parenting skills unemployment
Community	youth activity	access to services crime	year-round recreation crime

## 1.2 Aspirations of Youth

Rather than focus solely on needs defined as gaps, the Foundation was also interested in needs defined as aspirations or goals. The Evaluation Center was commissioned to study the aspirations that community leaders held for youth and for communities in the

target areas. The findings, presented as Table 5, showed considerable similarity among the target areas in the rankings of important characteristics.

**Table 5. Aspirations Studies Results**

	Aspirations for Youth (1989)	Aspirations for Community (1990)
Marquette/Alger	positive social values code of ethics positive self-concept ethical behaviors	no child abuse no drug abuse no alcohol abuse adequate school funds no violence efficient justice system
Calhoun	positive social values code of ethics ethical behaviors social competence	no drug abuse no child abuse no violence no alcohol abuse efficient justice system adequate health system
Detroit	positive self-concept basic academic skills code of ethics positive social values	no child abuse no drug abuse no violence adequate school funds

### 1.3 Summative Evaluation of KYIP Needs Assessments

#### IS THERE A CLEAR NEED FOR THE PROGRAM? IS THE NEED WITHIN OUR INSTITUTIONAL MISSION?

An abundance of sources and methods were used to identify the priority needs of youth in the three target areas of KYIP. From this data, it is possible to identify priority need areas, even though some needs may be common to an entire target area, while other needs may be community-specific.

The results of the needs assessments establish that there is a need for a program like KYIP to meet a variety of important youth needs that exist in all three target areas. The needs that KYIP is intended to address are a key part of the Kellogg Foundation's mission.

## Section 2. KYIP Plans and Policies

### 2.0 Program Strategy

In order to improve the environment for youth, KYIP utilized two approaches in the first five years: (1) developing leadership and networking capacities among community people and community organizations, and (2) funding projects that serve youth. The Program's key strategy has been to help communities help themselves and thereby develop the capacity to sustain and build upon the contributions made by the Kellogg Foundation investment.

The philosophy of the Program is very much that of community-based, bottom-up development with sustained long term support from the Foundation. The Foundation has consistently opposed an approach in which it would impose its ideas and priorities on any community. Nevertheless, in the spirit of community-based development, the Foundation has placed high priority on collaboration of community agencies and a comprehensive and not piecemeal and short range approach to the development of healthy youth. The Foundation encourages and will assist creative responses to needs and problems, and it particularly expects the target communities to invest in their own futures and to take steps to assure that successful projects supported by the Foundation will be sustainable. The Foundation also believes that a systematic process of needs assessment and evaluation will enhance the success of the Program. Thus, another intended outcome is to develop the evaluation, planning, and development capacity of the various involved community groups.

### 2.1 Target Areas

It is noteworthy that the Foundation chose to work with three very different target areas. The Detroit Northern High School attendance area is an urban area that is predominantly African American and that manifests the full range of problems associated with inner cities in the United States. This target area is also unique in that it includes the world headquarters for General Motors, Henry Ford Hospital, and a wide range of highly developed and capable social, cultural, and business agencies. The challenge here is to help the involved Detroit neighborhoods and organizations to build on their strengths, employ them collaboratively to address the acute needs of many of the urban youth, and to foster a spirit of reform within the neighborhood.

The Calhoun County area provides a very different environment, having both urban and rural settings. There is no one culture, and probably there is little chance of developing a county-wide set of priorities and strategic plan. Instead, there are many communities. The Foundation is helping the county face the challenges involved in seeking some pervasive responses to common problems in the various communities and, at the same time, will help individual communities to maintain their identity and develop projects to address their localized needs. Of course, the presence of the W.K. Kellogg Foundation in Calhoun County is a major distinguishing feature of this target area setting.

The third target area, which consists of Alger and Marquette Counties, is unique in its remoteness. This target area is also diverse in that it includes the major population center of the Upper Peninsula (Marquette), a number of smaller cities and towns, and a very large rural area that is sparsely inhabited. Challenges associated with this target



area are (1) that children and youth have little opportunity for a viable economic future in the immediate area and must strongly consider leaving the area, (2) great distances may separate people from services, and (3) isolation can cause acute needs in the areas of vocational and cultural opportunities and healthful pursuits to deter youth from problems of substance abuse, teen pregnancy, etc.

## 2.2 Program Administration

The Program was originally administered by site-based Associate Program Directors (APDs). One APD was selected in each target area to act as a liaison between the targeted communities and the Foundation. Being residents of the target areas, the APDs had first-hand knowledge of the context issues that were important variables in successfully implementing the Program in their particular setting. APDs reported to the Foundation through the Program Director for Youth and Education.

As the Program developed, staffing changes were necessary. At the beginning of the second year, a new Program Director began to coordinate and supervise the target area APDs, as the Program Director for Youth and Education was promoted to Coordinator of Youth and Education Programs. The jobs of the APDs became increasingly complex and hectic as the Program took hold in the target areas. APDs were promoted to Program Directors in the third year of the Program; and in the fifth year, programming staff was added to all three target area offices. Associate Program Directors were hired in Detroit and Marquette/Alger, and a second Program Director was added in Calhoun. Support staff expanded similarly; so that by the end of the fifth year, each target area office was composed of four or five full time staff people.

## 2.3 Program Design

KYIP's design and process for fostering community-based development evolved over the five year history of the Program. The design, depicted in Figure 1, demonstrates a significant evolution that can be thought of in three phases.

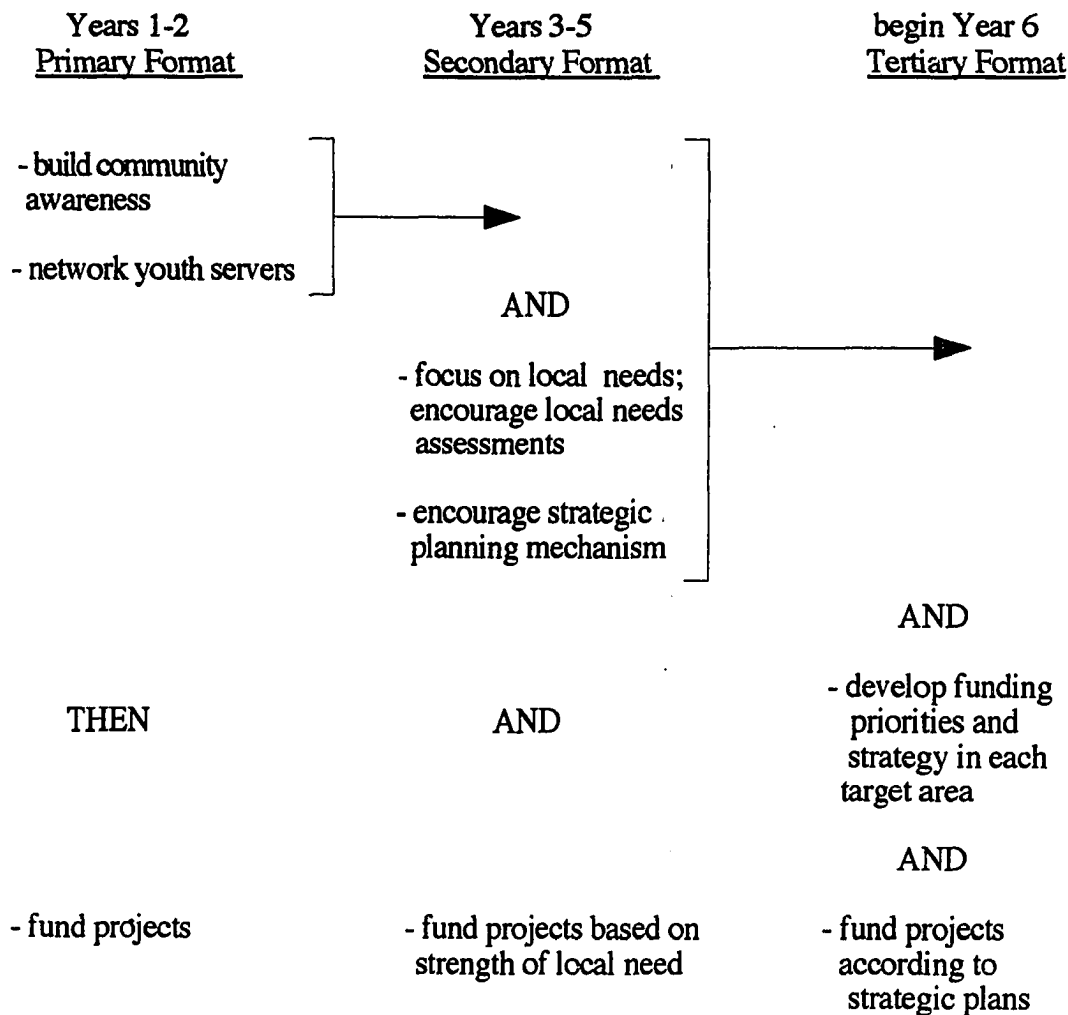


Figure 1. General Format for the Kellogg Youth Initiatives Program

One of the first activities undertaken in each target area was the institution of a training program for community members. The Kellogg Youth Development Seminars (KYDS) were intended to expose community members to concepts of youth programming, collaboration, local needs of youth, and the Kellogg Foundation's process for grantmaking. The original Program intent was to begin funding projects after the first series of seminars were completed (approximately two years), with KYDS participants playing some role in the identification of community priorities. Early on in the seminars, however, the Foundation announced that it was ready to accept proposals immediately, and the project funding strategy became fully operational.

At this stage in the Program, there was considerable flexibility for funding all types of projects. The Program intended to consider a wide variety of youth needs and approaches to meeting the needs. This flexibility was used to get things started, to demonstrate the Foundation's commitment, and to encourage participation of community members in the grant-making process. Projects were often funded for these reasons rather than for their ability to effect any long term improvement in the environment for youth.

After this initial period, the Foundation took several steps to focus KYIP funding on locally important needs of youth in the three target areas. Stronger local needs assessments were encouraged by the PDs; who asked that proposals use local data rather than state and national data to establish need. Local perceptions of priorities were also sought out during this time. KYDS groups became involved in various efforts to identify areas of greatest youth need in the target areas, and to begin the process of strategic planning based on these priorities. Theoretically, project funding could be based on the priority of the needs addressed by the project and how well the project fit into the community's overall strategy. However, no clear priorities resulted from these activities; rather, all youth needs were perceived to be important. This resulted in the funding of unrelated projects, spread over a very broad spectrum of needs.

Program officers' and Foundation Board members' interest in KYIP's results continually increased. It became clearer to evaluators and to Program staff that to make noticeable impacts in the target areas, project funding would have to become more focused, and specific plans for enacting change would be necessary. Thus, beginning in Year 5, five-year strategic plans were written by each PD, specifying the numbers of projects and dollars needed to address specific priorities within four major programming areas of Health, Education, Family Support, and Community. The development of internal strategic funding plans, although quite different from the original concept of KYIP, allowed the Foundation to fund projects in areas it considered priorities while encouraging the communities to seek funding for nonpriority projects from other sources. At this stage, accountability and tangible outcomes became the key driving forces in the funding process.

## 2.4 Targeting of Youth Indicators by Funded Projects

The degree to which plans and policies met established needs was studied in relation to the funding of projects. In Year 5, a retrospective analysis of 116 projects<sup>2</sup> was performed to determine how well these projects were aligned to impact general indicators of youth "wellness." Ten "Wellness Indicators," listed in Table 6, were identified by a review of literature as measures that were commonly used to describe the general condition of youth.

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<sup>2</sup> These projects were identified by Program Directors as KYIP projects and represent 56 percent of the total number funded in the five year period.

Table 6. The 10 Wellness Indicators

Infant mortality	Youth mortality
Juvenile crime	Teen pregnancy
School success	Substance abuse
Poverty	Unemployment
Day care	Abuse and neglect

Findings included that 85 of the 116 projects (73 percent) targeted at least one wellness indicator. School achievement was most frequently targeted in all target areas, with 34 percent of Marquette/Alger and Calhoun projects and 42 percent of Detroit projects focused on this aspect of the youth environment.

As demonstrated in Table 7, projects in the different target areas addressed the indicators to varying degrees. In Calhoun, areas of school achievement, juvenile crime, and employment received considerable attention, especially when compared to teen births, infant mortality, and day care. In Marquette/Alger, about 33 percent of the projects did not address any specific wellness indicator. Areas that received the most attention in this target area were school achievement, substance abuse, and child abuse and neglect. Detroit projects addressed the indicators of employment, juvenile crime, and teen births to a greater degree than other indicators in the first five years.

Projects that targeted none of the indicators addressed needs such as: leadership, arts and cultural enrichment, communication, citizenship, and community empowerment.

Table 7. Numbers of Projects Addressing Wellness Indicators\* by Target Area

Marquette/Alger	Calhoun	Detroit
School achievmt (16)	School achievmt (12)	School achievmt (14)
Substance abuse (7)	Juvenile crime (12)	Employment (6)
Abuse and neglect (7)	Employment (8)	Juvenile crime (6)
Employment (5)	Substance abuse (4)	Teen births (5)
Teen births (4)	Abuse and neglect (3)	Substance abuse (4)
Juvenile crime (4)	Infant mortality (1)	Youth mortality (3)
Infant mortality (3)	Poverty (1)	Poverty (2)
Poverty (3)	Day care (1)	Day care (2)
Day care (2)	Youth mortality (0)	Infant mortality (2)
Youth mortality (1)	Teen births (0)	Abuse and neglect (2)
NONE (16)	NONE (8)	NONE (6)

\* projects could address more than one indicator; thus the column sums exceed the number of projects funded in each target area.

## 2.5 Summative Evaluation of Plans and Policies

### TO WHAT EXTENT ARE THE PLANS AND POLICIES OF KYIP CLEAR, APPROPRIATE, FEASIBLE, AND POTENTIALLY SUCCESSFUL?

#### 2.51 Clarity

Plans and policies of KYIP have continually developed through discussions, brainstorming, retreats, and individual reflection among all KYIP staff. The result is that KYIP has matured from a broad, inclusive approach to project funding to a focused and targeted approach. KYIP's plans have become more clear over time through articulation of operating assumptions and target area specific strategic plans.

While the plans and policies have changed rather gradually and purposefully to people within the Program, a person with limited contact with KYIP would see a much different approach at the five year mark as compared with the beginning. It is not known how clearly KYIP's changes in plans and policies have been communicated to constituencies, but there is a large potential for misunderstanding and misinterpreting the changes as an indication that the Foundation is operating from a hidden agenda. A few community people have indicated that they do not understand why the KYIP strategy has changed (why funding priorities are necessary), or how the funding priorities were identified.

#### 2.52 Appropriateness

KYIP plans and policies have developed to better meet the KYIP goal of improving the quality of life for young people in the target areas. The shift from broad-aimed funding to strategic funding appears an appropriate change to bringing about tangible and important changes in the youth environments. The use of community training seminars (KYDS) to engage residents in the process of change was also a useful component of the KYIP plan, providing a mechanism to engage community members in meeting the KYIP goals.

#### 2.53 Feasibility and Potential Success

It is difficult to ascertain whether the target area strategic plans for funding projects are feasible. Certainly, the plans for the first few years are more realistic and probably more feasible than subsequent years. Although PDs can proactively solicit groups and individuals to pursue the various priorities, they have little control over whether proposals will be written or funded. Thus it is unlikely that the projections of dollars and numbers of projects in each priority area of concentration will be met. What the plans have provided is a working document to continually reflect on needs, strategies, and desired outcomes.

It is likewise difficult to ascertain whether the training seminars will result in the desired outcomes of community leadership, collaborations and networks, responsiveness to youth needs, and the ability to secure what residents deem necessary for healthy youth development.

Changing the ways that communities operate, so that they become "good environments for youth," is a massive effort that requires input, cooperation, and actions from a variety of players. At the five year mark, much has been learned and done to bring together various resources for this effort. Strategic plans for project funding have increased the potential for success, in at least some areas of need in each target area, notably: alcohol abuse, poverty and unemployment, lack of youth activities, and isolation in the Marquette/Alger target area; before and after school child care, teen health, and services for African American males in Calhoun; engagement of clergy and churches in improvement of the youth environment and employment in Detroit.

There are two conditions of the strategic plans that appear problematic for potential success. First, the strategic plans need to be more strategic, concentrating on a few priorities rather than what still appear to be a variety of needs. Second, the logical connections between the funding strategies and the long term intended community changes need to be developed. Current strategic plans do not reflect an operational model for change that acknowledges steps and systems that must be involved in the change effort.

### Section 3. Implementation of KYIP

#### 3.0 Overview

Implementation evaluation asks whether the plans and policies of KYIP have operated successfully in the communities and target areas. The two strategies of KYIP--the funding of local projects and the Kellogg Youth Development Seminars (KYDS)--are each considered in this section. Local projects are analyzed using two sets of criteria to assess whether the plans have been well implemented. The KYDS process is analyzed with respect to participant satisfaction and achievement of seminar goals.

Also included in this section is a discussion of programmatic changes that occurred in response to evaluation findings and evaluator recommendations. This aspect of the effects of evaluation is an important consideration in light of KYIP's operating philosophy of using evaluation to enhance the success of the Program.

#### 3.1 Local Projects

A total of 210 projects were funded during the first five years of KYIP, with an associated funding commitment of over \$38 million. Table 8 summarizes how the projects and grant monies were distributed across the three target areas over time. The Calhoun target area received the largest number of KYIP grants (133) with an associated funding level of \$13.1 million.<sup>3</sup> Marquette/Alger received 47 grants for a total \$8.7 million and Detroit funded 26 projects totalling \$15.5 million. Four grants of a general nature were also funded under KYIP for less than \$1 million.

Table 8. Numbers and Funding Level of KYIP Projects by Year

	Marquette/Alger	Calhoun	Detroit	General
YEAR 1	7	14	7	1
Dollars	\$1,060,856	\$6,225,499	\$2,478,800	\$126,782
YEAR 2	14	23	5	1
Dollars	\$1,879,934	\$1,626,166	\$941,722	\$202,000
YEAR 3	9	21	8	1
Dollars	\$1,102,469	\$2,241,278	\$6,756,609	\$48,100
YEAR 4	7	28	3	1
Dollars	\$2,492,726	\$1,147,534	\$5,093,861	\$487,161
YEAR 5	10	47	3	0
Dollars	\$2,169,720	\$1,839,544	\$245,765	\$0

<sup>3</sup> It should be noted that the Calhoun target area figures include projects targeted specifically to Battle Creek youth. The Battle Creek KYIP projects, which numbered 62 (47%) and accounted for \$2,168,176 (16.6%) of the total dollars committed to the Calhoun target area, were not managed by KYIP staff.

### 3.11 The Five Cs

Early on in the KYIP process, criteria were developed by Foundation staff that described "fundable" projects. Program Directors used the Five C criteria in a number of settings to describe the important features that the Foundation would consider in its review of project proposals. The definitions of the Five Cs, presented in Table 9, represent The Evaluation Center's interpretations of the criteria, since the terms have been found to take on different meanings in different contexts.

Table 9. The Five Cs Criteria for Project Funding

Collaborative	Project links a variety of resources in the delivery of service
Community-based	Project is supported by community groups and individuals; responds to a recognized local need
Comprehensive	Project meets youth needs holistically, rather than meeting a single need in isolation of other related needs
Creative	Project represents a unique approach that takes local resources and context into account
Continuous	Project shows ability and makes plans to sustain its operations beyond the initial Kellogg funding period

To analyze the extent to which the Five C criteria were used in funding projects, a subset of the funded projects was studied. The subset consisted of 27 projects studied in Years 4 and 5 to obtain in-depth project-level information. Projects were chosen to represent a range of cost, targeted populations, purpose, and location. Ten of the studied projects were in the Marquette/Alger target area, 9 were in Detroit, and 8 were funded in Calhoun. One aspect of the study was to evaluate each project with respect to the Five C criteria.

Table 10 summarizes the findings of the analysis, by rating each project on each of the five criteria. A description of analysis findings, by criterion, follows the table.



Table 10. Project Adherence to the Five C Criteria

Project Name	Target Area	Collaboration	Community	Creativity	Comprehensive	Continuity	OVERALL
Parenting Skills Lab	MA	3	3	3	1	2	strong
PACT	MA	3	3	1	1	4	strong
Student Leadership Fellow	MA	5	5	1	3	4	mod
EIC Outreach	MA	3	3	3	3	2	mod
Joy of Parenting	MA	1	4	3	3	2	mod
After School Program	MA	3	3	5	3	2	mod
Natural Resources Learning	MA	3	4	3	5	3	mod
Quest Skills for Growing	MA	3	4	3	1	2	mod
Science Alliance	MA	3	4	1	3	4	mod
Advanced Technology Lab	MA	5	5	5	5	4	weak
African Am Life Skills	C	1	1	3	1	4	strong
HELP	C	1	3	1	1	1	strong
New Beginnings	C	5	1	3	1	4	mod
Project First Step	C	3	4	1	1	4	mod
SPERT	C	3	3	3	5	4	mod
Big Brothers	C	3	4	1	3	4	mod
NBFIP	C	1	4	1	1	4	mod
FACT	D	1	3	3	1	4	strong
Teen Mother Trans Living	D	3	3	1	1	2	strong
The Library Connection	D	3	5	1	5	4	mod
Kids in Need of Direction	D	3	5	3	1	4	mod
Teen Health Clinic	D	1	3	3	3	4	mod
Community Arts	D	3	4	1	5	4	mod
Project 1993	D	1	3	3	1	5	mod
Technology Education	D	1	5	3	5	4	mod
Vision 2000	D	1	4	3	1	4	mod
Homework Hotline	D	1	5	5	5	4	weak

## KEY:

Continuity

1=institutionalized  
 2=self sustaining  
 3=one-time investment  
 4=need new funding  
 5=will not continue

Community

1=community involvement & local need & grassroots  
 3=community involvement & local need  
 4=community involvement  
 5=no community involvement

Creativity

1=new concept  
 3=creative elements  
 5=not creative

Comprehensiveness

1=several needs met  
 3=one need met holistically  
 5=narrow focus

Collaboration

1=strong alliances  
 3=good relationships  
 5=no collaboration

### Collaboration

Twenty-four of the 27 projects examined through the detailed case studies, exhibited some type of collaborative relationships. Ten projects relied on strong alliances between collaborating agencies to deliver the program; fourteen projects developed good relationships with collaborating agencies or individuals who provided some type of support for the program. Three projects did not collaborate with other entities in the delivery of service to youth.

Of the three target areas, Detroit projects were most successful in meeting the collaboration criterion, with 6 of the 9 studied projects exhibiting strong alliances between collaborating partners. Calhoun demonstrated both strong alliances and good relationships in seven projects, with only one project being classified as "not collaborative." Marquette/Alger projects exhibited the least collaboration, with 7 of the 10 demonstrating good relationships. Only one project in this target area was described as having built strong alliances.

The questions of whether collaborative relationships result in new ways of serving youth, or elimination of service duplication, or in plugging cracks in the system have yet to be answered. There is evidence that youth were successfully served in new ways by several of the case studied projects, and that the potential for changing relationships between systems was enhanced. In several cases, unique and ground-breaking collaborations were established. In general, KYIP's emphasis on collaborations has resulted in more working relationships and coalitions between agencies and organizations in the target areas.

### Creativity

In the case studies of projects, creativity was expressed in one of several ways. Ten projects were identified as attempting new concepts in youth programming, while fourteen projects had developed creative elements to an existing design. Only three of the 27 projects were described as not creative. Four projects were specifically cited for creative use of funds or resources.

Calhoun projects were classified as more creative than those in the other two target areas, with 5 of the 8 representing new concepts in meeting youth needs.

KYIP has continued to follow general Kellogg Foundation funding guidelines by providing seed monies for new projects rather than operating funds for existing projects.

### Community based

Several levels of "community based-ness" were identified in the 27 case studies. Community-based meant that the projects either (1) delivered services to the community, (2) delivered services to the community and targeted a community-recognized need, or (3) were conceived by community members, delivered services in the community, and met a recognized community need (grass-roots project). Nine projects directed services to community members as well as youth; ten more projects involved the community and responded to community-perceived needs. Two projects that were studied represented grass-

roots initiatives, i.e., they were conceived and championed locally. Six of the 27 projects had little or no involvement of the community in either the concept or delivery of service.

In general, there is a substantial range in the amount of community involvement represented in the funded projects. It is noteworthy that fifteen of the case studied projects (56 percent) proposed to build support for or from community involvement as part of their goals. There was little difference between the target areas in terms of their projects meeting the community-based criterion.

Another definition of community-based programming that has been used concerns the origination of the proposal for the project. All 27 case studied projects were generated by people within the target areas and reflected their perceptions of what most needed to be done. Across all KYIP projects, only a few were funded that were not proposed by the target communities.

### Comprehensiveness

In the case study analysis, projects were seen to be either comprehensive by addressing a range of youth needs (13 projects), comprehensive in addressing a single need in a holistic way (7 projects), or narrowly focused (not comprehensive--7 projects).

Comprehensive could also be used to describe the size of the population targeted by the project relative to the entire population or the area, from "many" kids affected to "few." Of the 27 projects, six were seen to benefit a large segment of the target area population and six more benefitted only a small portion of the population. The majority of the studied projects (15) provided services to a moderate proportion of the youth population.

The results concerning comprehensiveness are mixed. Many projects have cut across a fairly wide range of youth needs; and taken together, the projects cover all areas of intellectual, social, emotional, vocational, physical, moral, and aesthetic needs of youth. On a program level, however, the projects tend to not form a comprehensive attack on particular needs and problems of youth, but rather appear distinct and fragmented. No differences were noted in the three target areas with regard to this criterion.

### Continuity

The ability of most projects to continue after Kellogg funding expires depends on their ability to either become institutionalized, self-sustaining or to secure funds from other sources. Only one of the twenty seven case studied projects appeared situated to become institutionalized. Six programs were thought to be self-sustaining (or nearly so) by charging users fees or generating income from the service provided. Two projects were thought to be sustainable on the dedication of the project directors--even if further funding could not be found, these two people would find ways to continue their work.

Of the remaining 18 projects, that would need funding to continue, only one was planning to not operate after Kellogg funds expired. According to the case

study reports, it was projected that three other projects would have difficulties finding sufficient funding to continue. Little could be projected regarding how successful the other 14 projects would be in their attempts to secure financial assistance to continue.

Thus, in case studies where the potential for sustainability was projected, twice as many projects were able to continue (9 projects), than were expected to end (4 projects) at the end of the funding period.

Marquette/Alger projects appeared best situated to sustain themselves after project funding ceased, with half of the 10 projects classified as self-sustaining. The norm for the other two target area was projects that would need to secure other funding to continue operating past the Kellogg funding period.

The Foundation's basic notion was that projects would be funded if the proposing body and supporting community would provide concrete plans indicating that Foundation support would be an initial investment that could be phased out in favor of continuation support from the community. The provisions reported in the proposals for such continuation have been very weak. There is concern that when Kellogg funding is phased out, there may not be much that is left in the vein of sustained programs. Somewhat alleviating this problem is the Foundation's emphasis on continued and repeated leadership training and evaluation capacity development (see KYDS description below). By improving each community's capabilities in these areas, there is a better prospect that community groups will continue to collaborate in conceptualizing, obtaining funding for, implementing, and evaluating new projects that might be funded by sources other than Kellogg.

### 3.12 The KYIP/Evaluation Center Cube

A second set of criteria used to assess the implementation of KYIP through its projects is provided by a three-dimensional representation of the scope of the Program. The KYIP/Evaluation Center Cube, shown in Figure 2, illustrates the ranges of: ages of youth, the needs of youth, and the community system providers targeted by the Program.

Ages of youth were described in two ways: years and school level. Seven categories of developmental needs of youth, articulated by Stufflebeam and explicated by Nowakowski, et. al., (1983) were emotional, moral, vocational, intellectual, physical/recreational, artistic/cultural, and social. Community systems included social systems, education, religion, housing, public works, health, economic development, and justice.

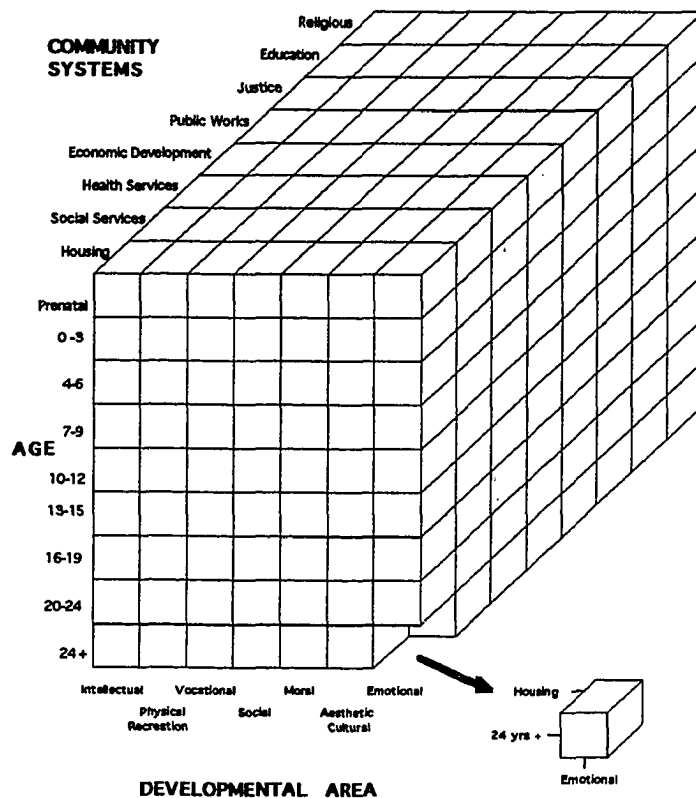


Figure 2. The KYIP/Evaluation Center Cube

In analyses of proposals during the first five years of KYIP, the Cube was the template for observing how well the Program distributed projects across the three dimensions. There were discussions about whether KYIP should attempt to fill the Cube's cells, locate the priority cells, or eliminate cells that were not priorities. Annual studies of funded and unfunded proposals primarily assessed whether there were patterns of funding that could be observed; the intent being that the patterns could be acted upon or justified. An analysis of service providers in the target areas was used to establish that there were no empty cells in the availability of services in the target area communities.

- YEAR 1** Most projects targeted school age youth (1 out of 12 targeted infants, 2 targeted preschoolers). There was good representation across Cube for youth of school age. None in unfunded in those areas
- YEAR 2** Moderate Cube cell coverage in Detroit, high coverage in Calhoun and Marquette/Alger except for the infants and preschoolers.

- YEAR 3 All three target area show good representation of projects along the developmental need dimension, even though there is more attention to intellectual needs than vocational or recreation/physical needs. Schools are the primary community system involved in the KYIP projects--most noticeably in Marquette/Alger, less so in Detroit. Still not much attention to younger child.
- YEAR 4 Twenty-five percent of funded projects awarded to schools; 25 percent to service organizations; none to health providers. One third of the projects intended to improve life skills of participants.
- YEAR 5 Individual target areas showing differences in Cube coverage. Calhoun projects demonstrated good representation of community systems. All developmental areas were addressed, but less attention was focused on emotional and moral needs as compared with other needs. No projects for prenatal, but otherwise good coverage of ages. Detroit projects were targeted primarily on school age children, with no coverage of emotional, moral, or physical/recreational needs. Community organizations were involved in 5 of the 7 grants. Marquette/Alger still shows heavy concentration in schools with emphasis on intellectual needs. All ages were represented.

### 3.2 Kellogg Youth Development Seminars (KYDS)

The second component of the Youth Initiatives Program is the Kellogg Youth Development Seminars (KYDS). These seminars, conducted in each of the target areas, were intended to build a partnership between the Kellogg Foundation and the target areas; to increase the capacity of the community to identify youth needs and plan and evaluate programs to address those needs; and to encourage program development and collaboration among community groups, organizations, and agencies.

The site-based Program Directors selected approximately 35 community members from each target area to participate in the first series of seminars, with Alger and Marquette each having its own group. The participating adults and youth attended monthly seminar meetings over a two-year period to hear speakers, discuss issues, and participate in workshop activities and team building exercises. Trips to model programs in other cities were also part of the KYDS series.

During the first five years of KYIP, two complete series of seminars (KYDS I and KYDS II) were completed in Marquette, Alger, and Calhoun. In Detroit, a planning group evolved from the first KYDS seminar series as a result of an overwhelming sentiment among participants that their work was unfinished. This group, called Kellogg/Northern Area Planning (or K/NAP) expanded beyond the KYDS membership to include community residents in the process of strategic planning for an improved local youth environment. K/NAP met regularly as a group and in committees for nearly 18 months after the conclusion of the KYDS meetings and resulted in a strategic planning document. The second KYDS group for Detroit began seminars late in the fifth year of the Program (May 1993).

### 3.21 KYDS Participant Satisfaction

There has been a positive learning curve throughout the Kellogg Youth Initiatives Program regarding the implementation of the seminar series. In the first round of KYDS, the seminars received mixed reviews from participants. Many persons appreciated the opportunity to exchange information with persons from throughout the community. Virtually everyone appreciated the support and assistance provided by the Foundation. Speakers and seminars were judged to be generally effective and useful, and travel experiences were perceived to be especially helpful in conceptualizing what might be done in the particular target area and in forming bonds between participants. However, the participating youth were little involved; some people did not appreciate what appeared to be a not-well-sequenced lecture series; many were disappointed that there wasn't more hands-on work in analyzing youth needs, preparing plans, and arranging for collaborative implementation of plans; and participants were confused about what the Foundation expected of them.

Many problems seen in the first series of seminars were corrected in the redesign of the seminars for the second round. Measures were taken to more meaningfully involve the participating youth, the seminars became much more hands-on and oriented toward developing the capacity of the participants to develop proposals, the sequence of seminar topics was made more relevant to the aims of developing and implementing proposals, and more care was taken to describe the potential outcomes and expectations of the Kellogg Foundation regarding participation in KYDS.

Telephone interviews of KYDS II and K/NAP participants, conducted while seminars were ongoing, asked participants to rate their satisfaction with the seminars. One finding was that satisfaction increased over time--participants grew in their understanding of the program goals and increasingly valued the knowledge gained from the seminars. It also appeared that satisfaction with KYDS was related to the background experiences of the participants--with professional youth workers expressing more satisfaction with KYDS than volunteers. Overall, 67 percent of the KYDS II and K/NAP participants were very satisfied with the KYDS program.

The third round of seminars, planned for Year 6 implementation in the Calhoun target area, show a continuation of building on what was learned. KYDS III plans reflect the need in that target area to tailor the seminars to meet needs of individual participants, recognizing the wide variation in participants' backgrounds and experiences.

### 3.22 Attainment of KYDS Goals

Four goal areas were identified as learning objectives for KYDS I participants:

1. acquaint participants with leadership skills and techniques which will render them more effective as they work on youth development projects in their communities;
2. involve participants in a variety of activities to identify youth problems in their own communities;

3. familiarize participants with exemplary youth programs from across the nation as well as having the opportunity provided for them to actually visit the sites of some of these model programs; and
4. acquaint participants with W.K. Kellogg Foundation philosophy, grant application procedures, and expectations for grantees.

KYD seminars were organized to address these areas through specification of fourteen topics. KYDS I participants were asked at the beginning and the conclusion of the seminars, to rate the extent of their knowledge in the topic areas. The results of the survey, presented in Table 11 by target area, indicate that the seminars successfully increased the knowledge of the participant groups in a number of the areas covered, although there were differences among the three target areas in reported learning.

In telephone interviews, KYDS I participants also rated the seminars quite high (a mean rating of 3.9 on a 5-point scale) in terms of providing skills and knowledge needed to improve the youth environment. The collaborative network and the travel experiences to observe model youth programs were cited most frequently as the biggest benefits realized from the seminars. About 60 percent of all KYDS participants mentioned these aspects as major strengths of the seminars.

Learning objectives were changed slightly for the second round of seminars (KYDS II) in Calhoun, Alger, and Marquette. Although the four main goals remained the same, eight new learning objectives were identified. KYDS II participants were surveyed at the beginning of the seminars to determine the extent of their knowledge in each area, but the survey has not been re-administered to measure changes in knowledge.



Table 11. KYDS I Learning\* by Objectives and Target Areas

Learning Objectives		Marquette & Alger	Calhoun	Detroit
A.	Understanding Young People and their Needs	3.9	4.3	4.4 +
	A1 social and economic needs of youth	3.8	4.1	3.8
	A2 concerns facing today's youth	4.1	4.2	3.9
	A3 how today's kids think and feel	3.9	3.9	4.0 +
	A4 identification of local needs in youth programming	3.9 +	4.0	3.4
B.	Planning and Assessment Skills	3.5	3.7 +	3.3
	B1 exploring local youth resources	3.6	3.9 +	3.4
	B2 building communications links	3.8	4.1 ++	3.8
	B3 assessing youth and community needs	3.8 +	3.8	3.8
	B4 grantsmanship	3.1 +	3.6 +	2.7
C.	Quality Youth Programming	3.7 +	4.0 +	3.7
	C1 understanding foundations and granting agencies	3.3 +	3.5 +	2.8
	C2 how to tap youth resources	3.6 +	3.7 +	3.1
	C3 involving youth in planning youth development	3.7 +	4.0 +	3.5
	C4 exemplary programs--local and nationwide	3.8 ++	3.6 +	3.2
D.	Building Collaborative Programs	3.6 +	3.9 +	3.3
	D1 understanding current local youth programming	3.6 +	3.8 +	3.6
	D2 collaborative skills	3.7 +	3.9 +	3.6

\* As measured on a 5 point Likert type scale

KEY: + indicates an increase of 0.5 to 0.99 in the average rating for the objective  
++ indicates an increase of more than 1 point in the average rating for the objective

### 3.3 Program Responses to Evaluation Feedback

The implementation of KYIP responded to evaluative information in several significant ways, as summarized in the Winter 1991 issue of the KYIP/Evaluation newsletter. Programmatic changes in KYDS, project evaluation, project funding and program resources were described as:

- The second round of KYDS seminars were designed to (1) be more activity-oriented, (2) provide group bonding activities, through retreats and small group travel, earlier in the seminar series, (3) follow a more clearly-defined plan, and (4) engage youth KYDS participants in more meaningful ways.
- Plans and opportunities to strengthen project evaluations were made by the Foundation to address the lack of expertise and knowledge about evaluation, which was common in the funded projects.
- Foundation Program Officers and KYIP staff encouraged projects for infants and preschoolers, age groups that were targeted by few of the funded projects.
- An office in Alger County was established.

Since that time, other responses to the evaluation findings have been noted, such as:

- Strategic funding of projects to meet priority needs of youth is being attempted through target area plans.
- More attention to the criteria of "continuity" in funding projects, requiring better plans for sustaining good projects, and working with projects to find alternative funding sources.
- Various strategies to improve project evaluations have been attempted including: seminars, technical assistance, more specific questions and outlines provided by PDs for annual project evaluation reports, cluster evaluation/networking meetings, and providing consultant lists for projects to hire external consultants.

### 3.4 Summative Evaluation of KYIP Implementation

**IS KYIP BEING IMPLEMENTED ACCORDING TO PLAN? ARE THE PLANS WORKING? DOES THE PROGRAM ADAPT TO CHANGE?**

Plans to fund projects according to the Five C criteria and the KYIP/ Evaluation Center Cube have been implemented to a moderate degree. Criteria of Community-based and Continuity were least well met; Comprehensiveness, Collaboration, and Creativity were met moderately well. Target areas varied with respect to project adherence to the criteria. Project distribution across the dimensions of the KYIP/Evaluation Center Cube was also mixed, with some areas of the Cube being much better represented by projects than others.

The Foundation has recognized that funding projects by these criteria alone may not result in projects that will ensure a better environment for youth in the long run. To overcome this, the Foundation continues to examine their funding criteria to better meet

the goals of the Program, as evidenced by the new strategic funding plans initiated in Year 5. Thus, with respect to project funding, the Program is attempting to examine itself and adapt to needed changes.

Plans for the KYDS seminar series have been well implemented. The Program has demonstrated flexibility in allowing the three target areas to conduct seminars at varying intervals and with different emphases in accordance with local needs and developments. The KYDS series has benefitted from introspection and utilization of feedback from participants about needed changes.

The development of the Kellogg/Northern Area Planning (K/NAP) group represented a significant variation in the training seminars for community members. Program officers at the Foundation headquarters discussed and considered the implications of sanctioning this group. Although there were doubts that this was the appropriate next step in Detroit, the K/NAP group was allowed to continue meeting under the KYIP framework. The Program Director in Detroit encouraged and facilitated the change of ownership for this planning phase to the KYDS participants and the responsibility for leadership and supervision to a respected community agency. The strategic plan for the Detroit Northern High School attendance area, which was published by this group, has become an excellent resource for all persons and organizations hoping to impact the youth environment. This is a model worthy of study.

KYIP continues to experience difficulty with implementing several long-standing recommendations. In Year 1, evaluators and Traveling Observers recommended: develop plans for sustaining the momentum of the KYDS participants after the seminars end, develop strategic plans for the Program and for funding, strengthen the target area role its partnership with the Foundation, increase youth involvement in the KYIP process, and strengthen projects with respect to continuity and youth involvement. Beginning in Year 2, recommendations also included strengthening project evaluations, identifying successful projects, and evaluating the funding criteria. In Year 5, these recommendations were still being made.

## Section 4. KYIP Impacts

### 4.0 Overview

The implementation of KYIP has resulted in a wide variety of individual projects funded in the target areas, including KYDS. A study of the impact of projects and KYDS reveals the degree to which the Program reached out to serve targeted individuals and organizations. (The question of whether the services brought about desirable changes in youth and organizations is presented in Section 5.)

Impact analysis examines three aspects of KYIP: the potential impact of funded projects, the actual impact of funded projects, and the actual impacts of KYDS.

### 4.1 Intended Project Impacts

To analyze the extent to which funded projects could potentially reach targeted youth and organizations, a subset of 116 projects was studied. (These are the same projects used to determine the potential for impacting wellness indicators in Section 2.4).

The KYIP/Evaluation Center Cube was used to study the projects' intended target populations and targeted needs. The Cube's three dimensions were used separately and in combinations for analyzing potential project impacts as follows: (1) age of project target populations, (2) developmental areas addressed by projects, (3) age versus developmental areas addressed, (4) community systems, and (5) community systems by developmental areas. It is important to note that intended populations and needs to be served (as opposed to actual) formed the base of information for classifications.

#### 4.11 Ages of Project Target Populations

Older children have been recipients of more services from KYIP projects than younger children. A fairly consistent trend over the five years is that high school and middle school age youth have been targeted most frequently, followed by elementary school age children, preschoolers, and infants. Over this time period, the proportion of projects targeting preschoolers and lower elementary age children has increased; the proportion serving middle school age youth has decreased.

Seventy-two percent of the projects serve multiple age groups. No trends by year or by target area were found with respect to multiple versus single population focus. Of the 32 projects that targeted a single age group, 17 served high school age youth, 7 targeted middle school age youth, 4 benefitted post high school youth, and the remaining 4 projects targeted younger children. Figure 3 illustrates how the various age groups (infant, preschool, lower elementary, upper elementary, middle school, and high school) were targeted in each of the five years. (Column sums exceed 100 substantially, since many projects targeted multiple age groups.)

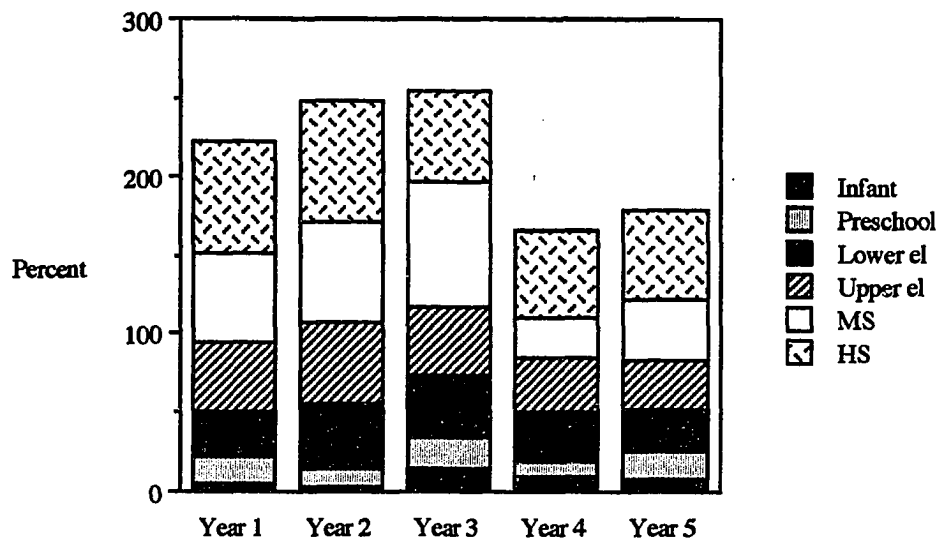


Figure 3. Percent of Projects Targeted to Age Groups by Year

In all three target areas, projects have spanned the entire range of children's ages, but proportions of projects serving the various age groups have varied somewhat between the target areas as reported in Table 12.

Table 12. Percent of Projects Addressing Age Groups of Youth

	Marquette/Alger (n=48)	Calhoun (n=35)	Detroit (n=33)	AVERAGE (N=116)
Infant	12.5	5.7	12.1	10.3
Preschooler	25.0	20.0	12.1	19.8
Lower Elementary	37.5	40.0	42.4	39.7
Upper Elementary	41.7	42.9	57.6	46.6
Middle School	68.8	60.0	63.6	64.7
High School	68.8	62.9	69.7	67.2
Post HS	27.1	22.9	24.2	25.0
Families	29.2	5.7	15.1	18.1

Infant needs were addressed by an average 10.3 percent of the projects funded over the first 5 funding years. Of these 11 projects, 5 targeted all ages (infant through family), and 6 targeted infants/preschoolers and their parents. In Marquette/Alger, projects benefitting infants were funded every year except Year 4. Detroit did not fund a project targeting infants in the first 2 years of

KYIP, but funded 4 in Years 3-5. Calhoun funded 2 projects benefitting infants: 1 each in Years 2 and 3.

An average 20 percent of the projects were intended to benefit preschool age children, increasing from 11.1 percent in Year 1 to 26 percent in Year 5. Marquette/Alger and Calhoun funded more projects for this age group than Detroit. Lower elementary age students, who were targeted by 31 percent of the projects in Years 1 and 2, were served by 40 percent of the projects funded in Years 3-5. The Calhoun target area increased projects for young children (preschoolers and lower elementary) from 1 project in Years 1 and 2 (10 percent) to 14 projects in Years 3-5 (56 percent).

Upper elementary students, consistently targeted by 45 to 50 percent of the projects each year, benefitted more often in the Detroit target area (58 percent of all projects) than the other 2 target areas (Marquette/Alger and Calhoun averaged 42 percent).

Middle school students were served by an average 63 percent of the projects funded in the first 5 years, decreasing steadily from 72 percent in Year 1 to 57 percent in Year 5. An average 67 percent of all projects targeted high school age youth across all 5 funding years, with a maximum of 77 percent of all projects benefitting this age group in Year 2 and a minimum of 55 percent for this age group in Year 4.

Post high school youth were served by 25 percent of KYIP projects across the three target areas; and families benefitted from 18 percent. Marquette/Alger funded more family-targeted projects than the other 2 target areas, with 13 of the 48 projects serving the needs of children and their parents, as compared with 5 projects in Detroit and 2 in Calhoun.

#### 4.12 Developmental Areas Addressed

Intellectual and social needs of youth were addressed most frequently by the KYIP projects in all target areas and in all years. Eighty-six of the 116 projects (74 percent) addressed intellectual needs, and 69 (60 percent) addressed social needs of youth. Nineteen projects targeted a single developmental area; 11 of these single-focus projects targeted intellectual needs, 4 targeted social needs alone.

The proportion of projects addressing the seven developmental areas is shown by target area in Table 13. It is noted that after social and intellectual needs, the concentration in other developmental areas differs somewhat between the locations. Calhoun concentrated efforts for intellectual and physical needs to a greater extent than the other two target areas, Marquette/Alger funded more cultural/aesthetic projects, and Detroit funded more projects to meet emotional needs of youth.

Table 13. Concentration of Projects\* in 7 Developmental Areas

Marquette/Alger	Calhoun	Detroit
Intellectual (71)	Intellectual (86)	Intellectual (73)
Social (58)	Social (66)	Social (52)
Physical (25)	Physical (34)	Emotional (33)
Aesthetic (21)	Moral (26)	Physical (24)
Emotional (15)	Emotional (23)	Moral (21)
Vocational (15)	Vocational (17)	Vocational (18)
Moral (15)	Aesthetic (11)	Aesthetic (15)

\*percent of projects targeting each developmental area is given in parentheses. Since most projects target more than one developmental area, the sum of the percents substantially exceeds 100.

No trends across years, either as a whole or within target areas, were noted for the distribution of projects across the seven developmental areas.

#### 4.13 Developmental Areas by Age Analysis

By combining information about what ages were served and what developmental areas were targeted by each project, an analysis of two dimensions of the KYIP/Evaluation Center Cube can examine how youth were intended to be served by KYIP projects. Figure 4 illustrates the concentration of projects in the cells of the matrix defined by the two dimensions. As can be deduced from previous findings, heaviest concentration is in the cells corresponding to the intellectual needs of all school age children and the social needs of middle school and high school age youth. Moderate concentrations of projects were in cells of social needs of elementary school age children, vocational needs of high school age youth, and intellectual needs of post high school youth and families.

No trends in concentrations of projects in the cells were found across target areas or years.

	Infant	Preschl	Lower el	Upper el	Middle S	High S	Post HS	Families
Intellectual								
Social								
Physical								
Emotional								
Aesthetic								
Vocational								
Moral								

heaviest concentration noted by checkered pattern, decreasing concentration of projects from black to white

Figure 4. Concentration of Projects by Age and Developmental Area Dimensions

#### 4.14 Community Systems Involved

Educational institutions served as fiscal agents for 52 of the 116 KYIP projects (45 percent); social organizations served in this role for 17 of the projects (15 percent); government agencies assisted 11 projects (9 percent); and service agencies accounted for 9 projects (5 percent). Eleven projects utilized organizations in the community systems of health, justice, economic development, and religion as fiscal agents; the remaining 9 fiscal agents were not classifiable in these categories. Marquette/Alger utilized more government agencies as fiscal agents than the other 2 target areas (8 of the 11 projects); but otherwise, there were no trends or patterns in types of fiscal agents used, either by year or by target area.

KYIP projects have benefitted the full array of community systems, but schools and school children have benefitted from a substantial proportion of the projects, as noted previously. Schools have directly or indirectly benefitted from 76 projects (65.5 percent), accounting for \$17.4 million, or 51 percent, of the total dollar amount spent on KYIP target area projects. The number of projects and amount of money that have been directly and indirectly related to schools differ for the three target areas as demonstrated in Table 14 and Figure 5. Marquette/Alger focused a greater proportion of projects (73 percent) and dollars (95 percent) to schools than either Calhoun (63 percent of projects and 53 percent of dollars) or Detroit (58 percent and 28 percent respectively).



Table 14. Projects and Dollars Benefitting Schools

	Marquette/Alger	Calhoun	Detroit
Direct	21 projects \$ 4,367,349	13 projects \$ 907,515	13 projects \$ 3,422,799
Indirect	14 projects \$ 3,755,971	9 projects \$ 3,620,366	6 projects \$ 1,342,233
TOTAL	35 projects \$ 8,123,320	22 projects \$ 4,527,881	19 projects \$ 4,765,032

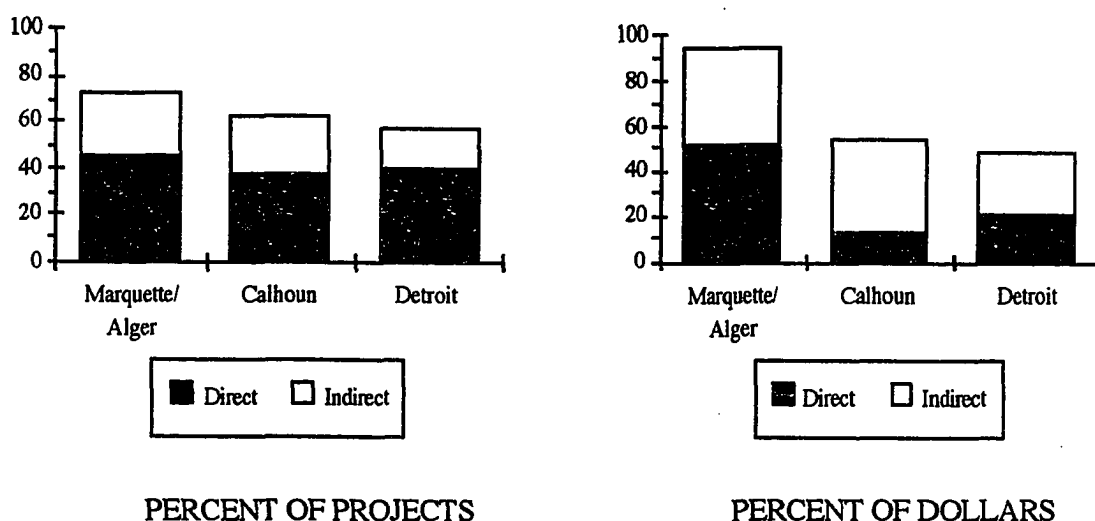


Figure 5. Proportions of Projects and Dollars Benefitting Schools

Another aspect of the community systems dimension involves the observation of how projects may impact community systems. In the first 5 years of KYIP, 71 projects were directed at affecting the educational system and 60 projects focused on social systems. The other community systems have all been targeted, but to a lesser degree. Ten to twelve projects were directed at the health, economic development, and public works systems. Housing, religion, and justice were the focus for six projects each.

#### 4.15 Community Systems by Developmental Areas Analysis

In an analysis of the relationship between the fiscal agent and developmental areas of a grant's focus, only the two largest groups of fiscal agents, educational and social organizations, were used. As illustrated in Figure 6,

educational organizations served to administer funds to projects that concentrated on intellectual and social needs of youth. In contrast, social organizations that served as fiscal agents generally did so for projects that addressed a broader set of needs including social, emotional, physical/recreational, and intellectual needs.

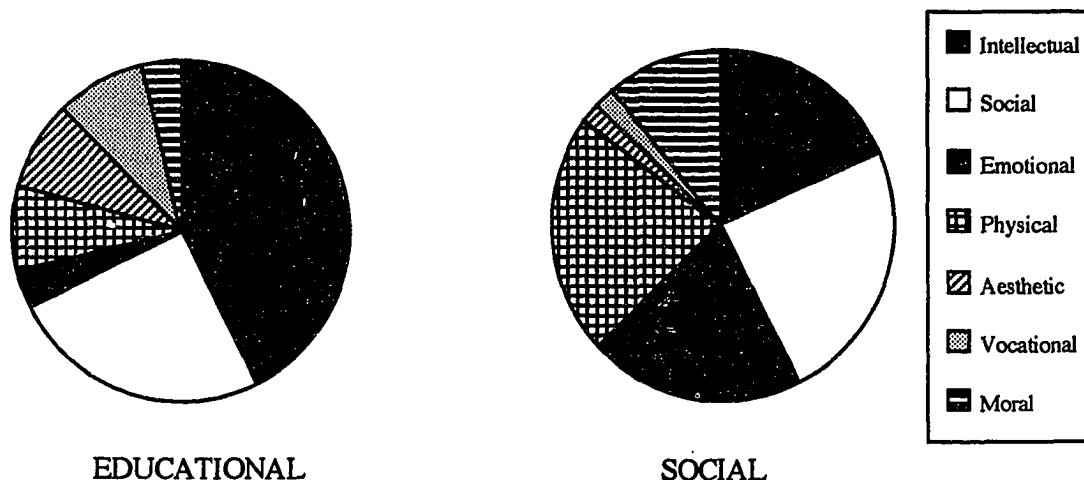


Figure 6. Developmental Areas Addressed by Two Major Fiscal Agent Types

#### 4.2 Actual Impact of Projects

KYIP has attempted to reach all youth in the target areas, and has been careful to not only provide funding for projects serving the at-risk populations, but also for projects serving the non-disadvantaged.

In preparation for the Board Report at the end of Year 5, each target area Program Director summarized information about KYIP projects that had completed at least half of their funding cycle. In these reports, it was estimated that KYIP projects served over 70,000 youth participants in the target areas (where the estimated number of youth ages 0-18 is 68,645). It is not known what proportion of the youth population in each target area has been involved in a project, since there is the potential for some youth to participate in a number of KYIP projects.

Additionally, 2,000 community people, 11,500 parents, and 1,100 teachers were reported to have benefitted directly from KYIP projects.

#### 4.3 KYDS Impacts

The KYDS I participants were chosen from the target area populations to represent the various communities, ages, interests, and backgrounds of area residents. In selecting the participants, matrices were used by several Program Directors and local advisory committees to help define the selection process. Requirements of all participants were that they: reside in the target area (except in Detroit, where participants could alternatively work or volunteer in the target area), be able and willing to participate in

the program for its entire two years, have interest and experience in youth and/or community projects, and demonstrate an interest in cooperative and collaborative community efforts.

The KYDS I selection committees chose 50 participants from 121 applicants in Detroit, 64 from 130 applicants in Marquette (37 participants) and Alger (27 participants), and 39 from 190 applicants in Calhoun. The policy was made to not replace participants who dropped from the program, although a few new participants were added to the groups over time.

The numbers of youth and adults that started and completed the two year seminar series are presented in Table 15. The total number of persons trained in the KYDS I seminars was 144.

KYDS II participants were chosen using the same criteria as used for the selection of KYDS I. Slightly more emphasis on the selection of persons from outlying rural communities was evidenced in the Calhoun target area. The total number of persons trained in KYDS II will be near 175, as shown in Table 15. (KYDS II graduate data was not available by age group).

Table 15. Participation in KYDS

	KYDS I		KYDS II	
	Start	Graduates	Start	End
Marquette and Alger				
Youth	13	15	21	
Adults	52	47	47	65 total
Calhoun				
Youth	7	6	12	
Adults	32	27	39	46 total
Detroit				
Youth	7	8	12	ongoing
Adults	43	41	52	ongoing

#### 4.4 Summative Evaluation of KYIP Impact

##### TO WHAT EXTENT ARE THE TARGETED INDIVIDUALS AND ORGANIZATIONS REACHED BY PROGRAM SERVICES?

As a whole, KYIP projects have targeted all ages of youth, all developmental needs of youth, and have involved all community systems in the delivery of service. The heaviest funding emphasis in the first five years of programming, however, was in the schools, with many programs being proposed and implemented in or by target area schools. Social and intellectual needs of school age youth were addressed by a majority of projects in all three target areas.

Over 70,000 project participants were served in 64 projects studied; but it is not known what proportion of the 68,645 target area youth residents were benefitted.

Approximately 320 community people have been trained in the KYDS seminars, and another estimated 1000 target area residents were reached by other Kellogg-sponsored conferences, meetings, and K/NAP. From the KYDS participant selection process, it appears that KYIP has successfully reached a broad audience of people committed to improving conditions for youth. The inclusion of youth participants in the KYDS seminars has provided another means of reaching target area youth, and this has proved very beneficial to the youth and adults as well.

## Section 5. Effectiveness of KYIP

### 5.0 Overview

In Section 4, the impacts of KYIP were outlined--impacts meaning the extent to which services provided by funded projects and other KYIP activities reached the targeted youth and organizations. In this section, the effects of KYIP are examined--effects meaning the extent and significance of behavioral and organizational improvements.

The approach to effectiveness evaluation in the case of KYIP has been needs-based rather than goals- or objectives-based. Using this approach, The Evaluation Center has monitored important indicators of need over time to check for desired trends. The goal-based approach was not used because KYIP's goals were long-term and therefore not appropriate for monitoring in the short term.

In this section, three types of Program effects are studied: Cumulative and Long Term Effects, Project Effects, and KYDS Effects.

### 5.1 Cumulative and Long Term Effects

To evaluate KYIP's cumulative and long term effects, several longitudinal studies were incorporated into the evaluation design. Studies of newspaper articles, demographics, school climate, community perceptions, aspirations, youth serving organizations, long term project impacts, and parent priorities were organized to provide data that could be analyzed over time.

The studies of long term project impacts and parent priorities were dropped after three years, because the cost of continuing them exceeded the perceived benefit. Four of the studies (of school climate, community perceptions, aspirations, and youth serving organizations) were planned to provide long term impact data for the Program, and have not been repeated in any location to be able to analyze for change over time. In Years 6 and 7 of the KYIP evaluation, the first opportunities to repeat these studies will occur.

The remaining two studies, the newspaper analysis and the demographics study, have provided longitudinal information about the target areas.

Also included in this section is a statement regarding qualitative information regarding long term and cumulative effects of KYIP.

#### 5.11 Demographics Analysis

As described in Section 2.4, ten "youth wellness" indicators were identified in the first two years of KYIP through a review of literature; and measures for each indicator were determined. It was theorized that at least some of these measures would be impacted if KYIP was successful in improving the conditions of life for young people.

In Year 4, an analysis was done to determine any changes in indicators levels from early 1980s (1980-1984) to late 1980s (1985-1990). Results from a similar analysis, published in Kids Count in Michigan (1993 Data Book) are summarized in Table 16.

Table 16. Wellness Indicator 1990 Rates and Trends\*

	Michigan	Marquette/ Alger**	Calhoun	Detroit***
Youth Population (1990)	2,458,765	20,576	36,328	14,168
Infant Mortality (per 1000 births)	10.7 improving	6.0- 0.0 improving	11.1 improving	20.5 (c) stable
Youth Mortality (per 100,000 )	30.6 improving	9.0-15.8 improving	21.9 improving	89.3 (c) worsening
Juvenile Arrests (per 1000 youth)	22.4 worsening	27.7- 8.4 improving	16.3 improving	22.8 worsening
Births to Teens (per 1000)	19.0 worsening	6.4-14.5 improving	25.4 worsening	56.3 (c) worsening
Children in Poverty (percent)	18.2 worsening	14.0-18.8 worsening	20.9 worsening	59.0 worsening
School Dropouts (percent)	4.9 improving	2.1- 4.7 impr-worse	5.6 improving	20.3 improving
MEAPs math	23.1	33.0	22.0	4.0
reading	38.3	41.9	35.2	21.0
science	46.5	60.5	40.6	19.0
(percents for HS)				
Unemployment (percent)	8.8 worsening	8.9- 8.8 worsening	7.6 improving	11.0 stable
Abuse/Neglect (per 1000)	10.5 improving	9.5- 8.0 impr-worse	20.4 improving	11.7 (C) improving
Day care need (percent)	54.1	52.0-59.4	58.5	48.3 (C)

\* To find trends, comparison was 1980-1982 versus 1989-1991 except juvenile violent crime (1988 versus 1992), poverty (1980 versus 1990), and teen births (1980 versus 1991). If no trends are shown, there are no data for comparison.

\*\* Rates may vary greatly when population is small.

\*\*\* When Detroit Northern data were not available, Detroit City (c) or Wayne County (C) data were used.

One indicator that has shown dramatic improvement in the last four years is the dropout rate of Northern High School in Detroit. A broad spectrum of programs and services were made available to Northern students through

KYIP, beginning in 1988. Concurrent with the increased services, the dropout rate fell from 48.3 percent in 1988-1989 to 35 percent in 1989-1990 and 1990-1991 to 20.3 percent in 1991-1992. The current four-year dropout rate for Detroit Northern is 15 percent as compared with a 25 percent rate district-wide. Northern has the smallest dropout rate among all non-specialty Detroit high schools.

No other target area-level indicators have shown change that can be linked with the timing of KYIP project interventions. As noted in the table above, many of the indicators show improvement since the early 1980s. In Year 6, The Evaluation Center will be conducting analyses to determine if there have been significant changes in trends than correspond with projects funded under KYIP.

### 5.12 Newspaper Analysis

Articles from local newspapers in the three target areas were clipped and analyzed using the KYIP/Evaluation Center Cube (see page 20). Three major categories of Environmental Conditions, Youth Problems and Needs, and Youth Programs and Services were used to organize the articles for analysis.

#### Environmental Conditions

For all three KYIP target areas, the community systems most frequently in the news concerning overall environmental conditions, were education, economic development, and public works. In Calhoun County, articles on service organizations were also common; and in Detroit, the community system of justice received considerable press coverage until the most recent analysis in 1992. A worsening of economic conditions and school conditions were noted in all three target areas.

Themes in environmental conditions were identified by target area as:

Marquette/Alger:	increased tourism, new job potentials, school funding problems, proposed changes in the schools, expansion of day care and health facilities
Calhoun:	concerns about job losses, school funding, and teacher strikes
Detroit:	disparities in educational opportunities, school funding, city revitalization, unemployment and corporate job cuts, school board elections, teacher strikes and school choice programs

#### Youth Problems and Needs

Problems of school age youth have consistently received more press coverage than pre-school and post-school youth needs. In Marquette/Alger and Calhoun, needs of older school age youth have been reported more frequently than those of younger school children.

The needs most often described in the articles were intellectual, emotional, physical/recreational, and social. Although the relative frequencies of articles in

these need areas have varied over the years, these four areas have consistently been the areas of focus in newspaper articles. Over time, the severity of the emotional and social problems of youth has seemed to increase in press coverage, particularly in Detroit.

Examples of topics in these areas include:

Marquette/Alger:	lack of organized activities, teen and preteen sex, homelessness, alcohol abuse
Calhoun:	physical abuse prevention, crime and substance abuse, need for extra-curricular programs
Detroit:	high dropout rate, low test scores, lack of day care, substance and drug abuse, gangs, crime in schools and neighborhoods

#### Youth Programs and Services

Programs for school age youth were the predominant focus of newspaper articles from all three target areas. The two types of need areas addressed most frequently in these articles were intellectual and physical/recreational. In Calhoun, Marquette, and Alger, articles on social and cultural programs also received coverage; in Detroit, programs addressing emotional and social needs were frequent.

The organizations most frequently cited as service providers in articles describing programs and services for youth were educational and service organizations. Public works and health organizations were prominent in these types of articles in Calhoun and Marquette/Alger respectively. Programs highlighted by the press have generally stayed fairly consistent in report content and focus on positive benefits to the youth served.

Examples of programs that received newspaper coverage in Year 5 included:

Marquette/Alger:	school volunteer programs, alternatives to drug and alcohol use, Young Authors Conference
Calhoun:	student leadership, motor skill training, science education, special needs programs, Excellence in Education Day
Detroit:	computers in the school, scholarship recipients, progress report of the Detroit Compact schools

## 5.2 Project Effects

The evaluation of KYIP project effects conducted by The Evaluation Center does not include the evaluation of individual KYIP projects, and there is no direct access to project data concerning effects. Three sources of information can be used to analyze the extent of project effects during the first five years: (1) an analysis of the potential



effects of projects using Scriven's Big Footprint Analysis (2) reports written by Program Directors in Year 5 to summarize their findings regarding actual project effects, and (3) goal free evaluator findings.

### 5.21 The Big Footprint Analysis

In the second year of KYIP, Michael Scriven, serving as a Goal-Free Evaluator, developed a format for assessing the potential for projects to effect the environment for youth. The Big Footprint Analysis, presented as Figure 7, utilized the metaphor of a footprint to describe the width of the effect (how many would be directly and indirectly benefitted/harmed), the length (how long the project and its effects lasted), and the depth (how significant the effect was).

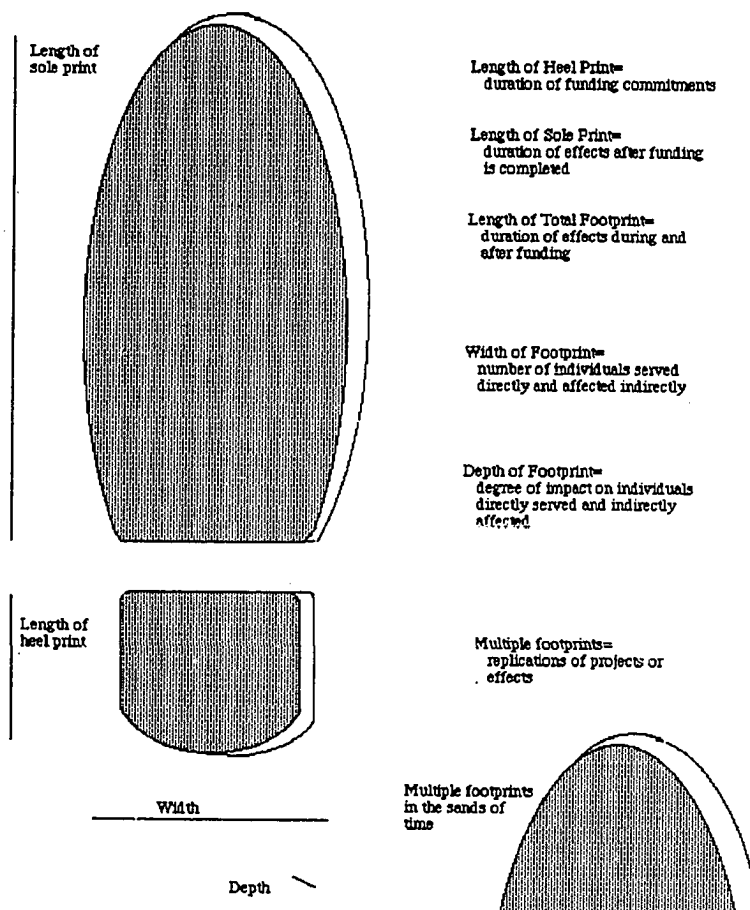


Figure 7. The Big Footprint Metaphor

KYIP projects have varied considerably in types of footprints they attempt to make. While some strive to serve a general need of a large proportion of target area youth, others have a narrow and intense focus. Looking across projects, however, relatively few were found that used significant width, breadth, or intensity to potentially affect the wellness indicators over time.

In **Marquette/Alger**, six projects appear to be of sufficient width, depth, or intensity to bring about change in the youth environment indicators.

Parents and Children Together (PACT), a program intended to "reduce the risk of the intergenerational transmission of chemical dependency and abusive family dynamics" may be able to affect substance abuse statistics both through assistance to parents to overcome drug and alcohol problems and to children in helping them avoid substance abuse. Child abuse and neglect statistics could be affected if enough families are assisted by the program.

Passages, located in the City of Marquette, provides "a residential parenting and intervention program for pregnant teens and teenage mothers and an educational program to help prevent teen pregnancies." Although only a limited number of girls can be served at one time, girls from the entire target area have access to the program. The impact of the program over time could decrease infant mortality rates, teen birth rates, and child abuse/neglect statistics.

Expanding Options, a program funded to the Intermediate School District for "improving elementary students' academic achievement, physical health, and self-esteem through a cooperative program among area school districts and local health agencies," allows individual districts to find and implement programs that they deem most necessary. The program touches virtually every elementary school-age child in the target area to some degree and could affect school achievement indicators. Expanding Options, funded in Year 2, was the first project granted more than \$1 million in the target area. (\$1,155,278)

Upper Great Lakes Educational Telecommunications, Inc. (UGLETI) was also funded for a significant amount (\$1,630,897) to "provide advanced courses for middle school students and training opportunities for teachers through innovative partnerships for interactive distance learning." Serving all school districts in the target area, this grant also has the potential to improve learning and school achievement in the target area, especially when linked with other initiatives such as Science Alliance (Superior Central) and the Advanced Technology Lab (Munising).

The Marquette Community Foundation and the NEI Corporation were funded in Year 4 to "develop young people's skills to create innovative employment opportunities and help create and expand jobs in the region." The grants are monetarily significant (\$2,216,189 combined) and may have an effect on the figures of unemployment and poverty in the target area.

Five **Calhoun** projects appear to be positioned to affect the indicators of employment and poverty in a way that will be significant at the target area level.

Operation GRAD and Support to Operation GRAD were funded to provide "high school dropouts with basic education, job and life skills, mentoring, and counseling, through alternative education programs leading to a high school diploma." Adding to this, grants to Sojourner Truth Foundation and the Open Door Community Church to "foster the development of employment skills and responsibility toward citizenship on the part of adolescents who have a high propensity for failure," and to Mid Counties Employment and Training Consortium to "provide a mentoring component to a job training/placement program," employment and poverty statistics may be improved.

In **Detroit**, four programs funded through Year 5 appear able to affect the indicators.

Northern Community School was designed to "provide educational opportunities for youth and adults through the development of a comprehensive community education program at Northern High School." Because of the breadth of opportunities and the age ranges of those served, this project could have an effect on school achievement indicators.

Family Approach to Crime and Treatment (FACT), funded in Year 3 for over \$5 million, "strengthens social services for youth and their families through . . . a home-based, family-centered project." Because the program provides intensive services for those that are most in need, this program could affect the indicators of abuse and neglect, youth and infant mortality, and poverty in the target area.

K/NAP could potentially affect all of the indicators by "addressing a range of youth needs through the establishment of a central coordinating entity."

The Teen Mother/Infant Transitional Living Program is intended to "provide supervised transitional housing and development of independent living skills for single teenage mothers and their babies and teach unemployed youth carpentry skills." Through this program, problems associated with teen mothers could be addressed, potentially affecting indicators of teen pregnancy, poverty, and child abuse and neglect.

## 5.22 Program Director Reports of Project Effects

In Year 5, Program Directors reviewed projects in their target areas that had completed at least half of their funding cycle to provide information about project effects for the report to the Board of Directors. A total of 64 projects were examined and five categories of results were identified: projects affecting skills, knowledge, or attitudes of youth; new opportunities for youth; benefits to parents; benefits to teachers; and benefits to community members. Each category is detailed with examples below.

### Skills, knowledge, and attitudes of project participants

Thirty-four projects reportedly increased the skills or knowledge of youth that participated in the projects. Skills were increased in areas of: reading, playing musical instruments, teamwork, conflict resolution, and leadership. Knowledge increases took place in areas of environmental science, math,

government, technology, history, and foreign language. Attitudes of self-esteem, environmental awareness, and cultural sensitivity were reportedly affected by KYIP projects. A total of 65,000 youth project participants in the target areas were served by this type of project.

Examples of concrete results reported by Program Directors included: the first attainment of Honor Roll by at least four youth, a decreased need for special education in one elementary school by 50 percent, the achievement of 200 GEDs or high school diplomas by youth, a 50 percent gain in reading scores over regular classroom instruction in one project, a 75 percent drop in the dropout rates from an alternative education program, an improvement in the standing for one school in the state Science Olympiad from 28th to 17th, improved dental habits in 234 out of 310 participants (75 percent) and improved nutrition and exercise habits in 278 out of 395 participants (70 percent), 25 percent improvement in grades and 30 percent improvement in attendance in one district's special education population, a 30 percent increase in science knowledge in one high school's MEAP scores, 89 percent fewer learning readiness problems in one elementary school, increased grade point averages of 1.6 points for high school students in an alternative program--increased math and English test scores of an average 3.1 and 2.5 grade levels per term, and a high school continuation rate of 92 percent for pregnant and parenting teens.

#### New opportunities for youth

Eighteen projects reportedly served 3,000 youth in providing new activities such as scouting; summer recreation; 4H; volunteer opportunities; non-alcoholic nightclub entertainment; visits to museums, restaurants, and other cultural and aesthetic events; dramatics; travel; and opportunities for social interactions with adults and peers.

Tangible results of these projects included: five new cub scout packs and four new boy scout troops in urban areas, a savings of \$156,000 to county taxpayers as a result of decreasing the averaged length of stay in a juvenile home by 7 percent, a savings of over \$130,000 to one school district as a result of a coordinated volunteer effort, and a half-mile boardwalk with handicap access through a marsh area.

#### Benefits to youth through parents

Projects reported that approximately 11,500 parents benefitted directly from eleven KYIP projects in such areas as: parenting skills; job skills/training/information; reading; science knowledge and application; school volunteerism; improved access to social services; and multiple services for pregnant teens and teen moms.

Some of the achievements reported in this area of funding included: the reduction of out-of-home placements of children of developmentally disabled mothers by 80 percent, and an increase in parent involvement in school (77 percent of the parents in one project reported increased involvement), and 87 percent success rate for substance abusing parents in being able to maintain sobriety and custody of their children.

### Benefits to youth through teachers

More than 1,100 teachers received training through five of the reviewed KYIP projects. Training was provided in: teaching dyslexic children, QUEST Skills for Growing, Cooperative Learning, Discipline with Dignity, and Strategies Used to Cooperatively Create Effective Schools and Staff (SUCCESS).

Usage rates by teachers of these new skills were reported to be: 68 percent of those trained in Discipline with Dignity, 80 percent of those trained in Cooperative Learning, and 90 percent of those trained in SUCCESS.

### Benefits to youth through community members

Fifteen hundred community members were served by three KYIP projects, which provided training in mentoring skills, collaboration skills, and youth needs. As result of these projects, seventy-five mentors were trained with 87 percent of one group (of 45) establishing successful mentoring pairs, and approximately 25 small grants were awarded to community members for projects benefitting youth.

## 5.23 Qualitative Studies of Project Effects

Observations of project benefits were made during Year 5 by a goal-free evaluator. Seven projects were observed with benefits and limitations outlined for each. A capsule statement of benefits to each project's beneficiaries was provided:

This program provides shelter, counseling, and foster care for drug-abusing mothers. In talking to several of the mothers (from about age 17 to 35) and hearing their stories, it became clear that if the project was not successful with these women, some of them would meet early and sad deaths. . . . The project staff claimed a high rate of "success" for previous residents. Although the success rates were not verified, it seems apparent that at least some of these women will not revert to their former patterns.

Several neighborhood residents told us that the neighborhood had become much safer. This was due in part to the efforts of the centers' staff to continuously badger the local police to monitor the comings and goings at several houses where drug dealing was evident at all times of day and night. Finally, the police gave concerted attention to these houses and the drug dealers migrated elsewhere. . . . One resident expressed proudly that they have helped make the "neighborhood safe for police."

This project provides "real world" learning experiences in a nonschool environment for the former high school dropout. . . . for these students, it is almost certain that they would not complete high school without this program. . . . While the project staff indicated that only half actually complete this alternative program, a "cost-benefit" analysis could be made about the economic, social, and person benefits of those who do.

The future benefits [of this project] are whatever arguments one might advance about the differences between almost no student appreciation and competence in science, to a schoolwide capacity for a fairly substantial and widespread grasp of science principles across the full student population.

Amidst the institutional atmosphere--replete with guards at each exit, locked doors, and urine stench throughout--of Detroit's Northern High School, the child care center was a haven of color, liveliness, and hope. Clearly, these few children were receiving quality custodial care and preschool enrichment learning opportunities. They were happy, clean, well fed and seemed to have every stimulation for their learning and enjoyment.

Given the problems of this inner-city school in retaining students and preparing them for post-high school employment or education, offering a course [in robotics technology] might permit a few of the students to see the field of robotics as a viable career or higher education option.

In providing, among many other services, a full physical examination for 95 percent of the children in the middle school, some children are certain to benefit from early diagnosis of possible problems and from advice about preventing illness. . . . It is likely that some of [the students] will establish lifelong habits of knowing and caring more about making sound choices for healthy lifestyles.

In addition to the goal-free evaluator study, there have been several reports of changed lives resulting from KYIP projects. Although these anecdotes are not uniformly reported by projects, Program Directors, or other evaluation efforts, examples were provided at a K/NAP retreat in June 1991. One young man, who had participated in two KYIP projects (Project 1993 and in the Northern Lights theatre productions), talked about how the projects had deterred him from dropping out of school and, in fact, had made it possible for him to attend college to study theatre arts. A second case of a life changed was a young woman who was able to escape a life of prostitution to go back to school, excel in her classes (GPA of 3.7), and plan to attend college. Her life was also changed as a result of her participation in several projects funded at Northern High.

### 5.3 Effects of KYDS

The Kellogg Youth Development Seminars also brought about some changes in the target areas by directly affecting the knowledge and behavior of participants. In Year 5, KYDS II and K/NAP participants were asked about changes that had occurred as results of KYDS. Participants identified both personal and community changes as described in Tables 17 and 18. The most frequently mentioned personal changes were new skills for the workplace, increased motivation, and better collaboration skills; the most common community changes were identified as more community awareness of youth needs, more cooperation among people, and better inter-agency collaboration.

**Table 17. Personal Outcomes from KYDS  
percent of interviewees noting change**

<b>Personal Outcomes</b>	<b>Marquette</b>	<b>Alger</b>	<b>Calhoun</b>	<b>Detroit</b>
Used training in job	92	90	63	NA
More motivated	75	80	86	88
Better collaborator	75	80	63	88
Mobilized resources	75	80	71	79
Collaborated on proposal	75	50	50	65
Changed communication style with nonpeers	58	60	38	62
Set new goals	44	70	77	74
Wrote a proposal	42	20	13	29
Developed more self confidence	42	70	63	74
Took on more leadership roles	42	70	50	71

Another type of personal outcome associated with youth KYDS participants was change in career choice or area of study. At least two high school participants indicated that they had changed their focus toward youth-centered careers as a direct result of KYDS. One youth also indicated that they had developed a service ethic and intended to maintain involvement in community organizations as a result of their experience in KYDS.

Regarding community changes resulting from KYDS, K/NAP, and KYIP, Table 18 summarizes the proportion of interviewees who thought the various community aspects had IMPROVED. In most cases, community aspects were thought to have improved or stayed the same, with the exception of "degree of apathy." Forty-two percent of interviewees in Marquette, 20 percent in Alger, and 37 percent in Calhoun rated apathy as being worse.

**Table 18. Community Outcomes from KYDS and KYIP  
percent of interviewees noting improvement**

<b>Community Outcomes</b>	<b>Marquette</b>	<b>Alger</b>	<b>Calhoun</b>	<b>Detroit</b>
Cooperation among people	83	90	63	79
Youth involvement	59	80	63	71
Collaboration between agencies	67	60	50	82
Community awareness	83	70	74	82
Services for youth	42	60	13	58
Services for families	42	30	13	64
Groups involved with community planning	67	30	50	74
Dependence on external sources	50	70	63	33
Degree of apathy	8	10	13	70
Overall environment for youth	50	50	13	32

#### **5.4 Summative Evaluation of KYIP Effectiveness**

##### **TO WHAT EXTENT DO THE PERSONS AND ORGANIZATIONS THAT ARE IMPACTED BY THE PROGRAM BENEFIT FROM IT?**

Several projects, either solely or in conjunction with other KYIP projects, were found to have good potential to affect general wellness indicators in the future, but only one indicator has shown improvement linked with KYIP timing thus far: the dropout rate for Detroit Northern High School.

Projects have documented effects with varying degrees of success. To obtain better and more consistent information about effects at the project level, project evaluations need to be strengthened. Project effects noted by Program Directors and the goal free evaluator indicate that some projects are greatly impacting the participants and others both directly and indirectly. Several anecdotes about changed lives and changed communities have been recorded. KYDS participants reported they saw improvements in the communities in areas of: cooperation between individuals, collaboration between agencies, awareness of youth issues, and the involvement of youth in the community.



KYDS training has also personally impacted the participants to a great degree. Participants noted considerable learning, application, and motivation from the seminars; with networking listed as one of the primary benefits.

Per Michael Scriven's Big Footprint Analysis, the extent of impacts must also be considered in light of resistance to change in the target areas. In telephone interviews of KYDS participants, different forms of resistance were described. In Marquette/Alger, fear of change and "making do" mind-set were noted, while in Calhoun and Detroit, resistance in the form of turfism and special interest groups was described. The resistance factors, if not alleviated, will reduce the effectiveness of the Program.

## Section 6. Sustainability and Long Term Value

The fifth and final stage of program development is reached when a program finds ways to continue benefits into the future. In some cases, a program may become institutionalized, its operation taken over by existing systems. Alternatively, programs may determine ways to generate needed operating funds, find other sources of financial support, or some combination of these. In KYIP, sustainability of projects and their benefits, sustainability of KYDS benefits, and sustainability of Program benefits are all important to examine.

### 6.1 Project Sustainability

In Year 5, Traveling Observers collected information about the ability of projects to continue operation after Kellogg funding expired. Of 36 projects that were completed before May 1, 1993, it was found that 18 (50 percent) were continuing to operate. Downsizing was necessitated in 2 of the 18 cases. Only 1 of the 18 was continuing to run under a new grant from KYIP. Sixteen projects were observed to be "one-shot" projects, i.e., intended to generate good benefits from a one-time intervention. Two projects had virtually disappeared, although good benefits during their time of their operation were noted.

As reported in a previous analysis of 27 case studied projects (Section 3.11--Continuity), it was estimated that only 1 of the 27 projects would likely become institutionalized, and another 8 would be self-sustaining. The remaining 18 projects (67 percent) would need to find some financial assistance to continue operation.

The assumption appears to be that continuation of projects is a universal goal, i.e., that all projects should strive to continue operation. In fact, this is not only unrealistic but counterintuitive. It is not reasonable that all projects are worth continuing indefinitely. What perhaps should be the focus is whether there is consistent and sustained benefits across projects in specific areas of need. In the ideal, individual projects would be combined or sequenced with other efforts to sustain benefits and build on successes, i.e., successful projects would be institutionalized.

### 6.2 KYDS Sustainability

The first study of sustainability of KYDS effects will be examined in the Year 6 evaluation. KYDS I participants, having concluded the seminar series four years earlier, will be asked to consider the longevity of effects derived from KYDS.

### 6.3 Summative Evaluation of Sustainability

**TO WHAT EXTENT DO TARGETED COMMUNITIES INSTITUTIONALIZE SUPPORT FOR AND SUCCESSFULLY SUSTAIN MERITORIOUS PROGRAM OPERATIONS?**

The potential long term benefits of KYIP are, after five years, primarily related to benefits derived from specific projects, including KYDS. Projects differ considerably in their ability to institutionalize benefits. While some have become self-sustaining or part of the ongoing operations of an existing system, most projects will need to secure

additional funding to continue. Data from projects that have already completed their Kellogg funding indicate that about fifty percent have not continued operation.

There are at least two difficult aspects of project and benefit sustainability: determining what projects and initiatives should be continued, and assisting worthwhile efforts in finding ways to continue. Good project evaluations are necessary for both of these--first in providing the information for informed decision making about whether the initiative is worth continuing, and then to make the case for continuation either to the Kellogg Foundation for further funding or to another entity.

Benefits to the broader youth environment through organizational changes, policy changes, and system changes, have not been realized to a great extent. As a possible precursor to these larger scale changes, each target area has developed or is developing a mechanism for transferring ownership of the KYIP goal to improve the youth environment to community residents and organizations. This is likely to be an important development in all three target areas that will affect the way systems work for the benefit of youth.

## Section 7. Summary

Through the Kellogg Youth Initiatives Program, the Kellogg Foundation has established a partnership and working relationship with three Michigan target areas in an effort to make them the best places possible for children and youth. Over the first five years of operation, the Program has:

1. established itself in the three target areas as a viable and unique program. The KYIP target areas have responded to the Program enthusiastically in writing grant proposals and participating in the community training seminars (KYDS). Program Directors have helped to develop strong networks in the target areas among people and agencies that work with youth. The Program Directors have been closely involved with communities, constructive, and service oriented; which has resulted in KYIP and the Kellogg Foundation being well recognized and respected for their work in each target area.
2. learned from evaluation and experience, adjusting plans and policies appropriately. After several years of funding a great diversity of projects for a number of reasons, the Program Directors developed five year strategic plans in Year 5, to make funding decisions and to proactively work in areas of priority needs. There is some evidence that changes in grantmaking plans and policies have not been communicated clearly to all affected audiences. The Program Directors also used evaluation and experience to improve KYDS seminars by initiating more hands-on activities, more meaningful involvement of youth, and better defined strategies and goals.
3. funded 208 projects for youth in the three target areas, with a total funding commitment of over \$38 million. Guiding criteria for funding projects were met moderately well, with projects generally demonstrating good working relationships between collaborators, using creative elements in developing local projects, and comprehensively addressing the targeted needs of youth. Criteria that projects be built on strong community support and that they find ways to continue operations after Kellogg funding ended were not met as well, but there is evidence that these criteria are important to the Program Directors through their work and communications with funded projects.
4. successfully completed five two-year training programs for 255 community residents (approximately 195 adults and 60 youth) in the three target areas. KYDS participants represented the target areas well, with different communities, different interests and backgrounds, and different ages represented. In addition, approximately 1000 additional target area community people were included in various learning and networking opportunities through Kellogg-sponsored conferences, workshops, and meetings.
5. impacted over 80,000 participants in 65 funded projects, that had completed at least half of their funding in Year 5. School age youth received the most attention from projects, with middle school and high school youth being targeted by roughly 65 percent of the projects. Intellectual needs of youth were addressed more frequently than other needs (targeted by over 70 percent of the projects), although each target area funded some projects in all six other need areas of social, physical, aesthetic, emotional, vocational, and moral.

6. trained a cadre of community residents to more effectively work for the benefit of youth. Participants reported that networking and collaborative relationships established in KYDS were the biggest benefits of the seminar series. In addition, participants reported a substantial amount of learning in areas that will make them more effective in bringing about changes in their target areas, and increased motivation to take leadership roles in this work.
7. promoted and helped to establish community ownership for creating a better environment for youth in Detroit's Northern High School area. A community-endorsed strategic plan for the area was one tangible result. The evolution of KYDS into the K/NAP strategic planning phase was a unique outcome in Detroit. K/NAP appears to be partially responsive to the problems associated with developing substantial targeted impacts on high priority needs and producing plans that can guide decision making concerning what projects ought to be funded in order to produce concerted effects. It is noted that the Foundation and representatives of the three participating communities are attempting to determine whether something like K/NAP might be a vehicle by which to help KYIP mature in all target areas.
8. reportedly increased the knowledge and skills of over 124,000 project participants, 89 percent of which were youth and increased the number and type of opportunities available to 8,000 youth in the target areas (effects of 64 projects that had completed over half of their funding cycle in Year 5.) KYIP also increased the knowledge and skills of KYDS participants in areas of networking and collaboration, and programming for youth needs.
9. resulted in cases of changed lives. The KYIP projects have resulted in some, and have the potential to effect, significant improvements in the lives of kids and their families. Many of the projects studied in the first five years intended effects of sufficient depth to change lives for the better. Cumulative effects of projects have not resulted in the improvement of wellness indicators, with the exception of the dropout rate in the Detroit Northern target area.
10. been implemented consistently across the target areas. Program elements of project funding, KYDS, awareness building, networking, and strategic planning characterize KYIP in all three locations. Target area resources, needs, resistance to change, and power structures have influenced the impact and effectiveness of the Program in each location.

The net effect of these summative statements is that KYIP is a valuable and worthwhile initiative that has resulted in a great many impacts and improvements at the individual and project level. It has resulted in networks and collaborations of community members in each of the target areas that are active in their commitment to youth.

The Program has moved seemingly slowly to position itself to make more substantial and lasting changes in the systems and organizations that comprise and affect the youth environment. People and projects are continually being added to the effort, but the intended long term community changes are not clearly and logically connected to strategic funding plans, making it difficult to project the potential success of the Program in meeting its stated goal.

Using Scriven's Big Footprint analogy, KYIP is characterized by a wide print--affecting a great number of people in all target areas. The depth of the footprint (extent of impact on those affected by the Program) is not well known, since the major effects to date are project related and project data on participant effects are limited. In general, the resistance of the environments to change varies across target areas and the potential for effects are thus differentiated. The length of the footprint, (how long the effects will last), appears to extend beyond the funding commitments in many projects, and if the Program is successful in bringing together the resources and the abilities to initiate changes of systems that impact youth, the effects on the environment may be long term and significant. If systems are not changed, then the duration and depth of effects will most likely be measured by the sum of the projects funded under KYIP.

**Attachment A**

## Description of Resources

### Introduction

Table 1 was developed by D.L. Stufflebeam (3-30-93), The Evaluation Center

### Section 1. Needs Assessments

1.0 The essay, "The Continuity of Change" was published in the W.K. Kellogg Foundation's Annual Report for 1990. It was also published in a brochure entitled, 1990s Program Information and Guidelines.

The W.K. Kellogg Foundation. (1991). 1990s Program Information and Guidelines. Brochure available from the W.K. Kellogg Foundation, Battle Creek, MI.

The W.K. Kellogg Foundation. (1987). Youth Initiatives Program. Brochure available from the W.K. Kellogg Foundation, Battle Creek, MI.

1.0 Program descriptions were taken from Kellogg Foundation brochures and news releases (file documents).

The W.K. Kellogg Foundation. (1987). Youth Initiatives Program. Brochure available from the W.K. Kellogg Foundation, Battle Creek, MI.

The W.K. Kellogg Foundation. (1989). Youth Initiatives Program. Brochure available from the W.K. Kellogg Foundation, Battle Creek, MI.

1.1 Table 2. The reports on Demographic Indicators and Newspaper Analysis appear in the Year 5 Task Report for Task 1. Surveys of Community Residents results were taken from The Year 1 Annual Report, Exhibit 1B.

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 1 Longitudinal studies of youth and youth environments. Unpublished report, Western Michigan University, Kalamazoo.

1.1 Table 3. Reports on High School Graduates were in the Year 3 Annual Report, Appendix 1C. High School Climate Studies were reported in the Year 2 (1990) and Year 3 (1991) Annual Reports, as Appendices 1E and 1D respectively. The 1993 Climate Study appeared in the task report booklet for Task 1. Community Longitudinal Studies were reported in the Year 2 (1990) and Year 3 (1991) Annual Reports, as



Appendix 11 (both years). The 1993 Community Longitudinal Study appeared in the task report booklet for Task 11.

The Evaluation Center. (1990). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1991). Year 3 Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 1 Longitudinal studies of youth and youth environments. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 11 High school based longitudinal studies. Unpublished report, Western Michigan University, Kalamazoo.

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1.1 Table 4. Traveling Observer listings of needs were summarized in the Year 5 Highlights report, page 3.

The Evaluation Center. (1993). Highlights 1993: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

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1.2 Table 5. The first study of aspirations was included in the Annual Report for Year 1 as Exhibits 2 and 2A. The second study was included in the Progress Report for Year 2 as Exhibit 6.

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1989). Progress report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

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## Section 2. Plans and Policies

2.0-2.2 Descriptions were taken from the midyear evaluation report in Year 4 and the Kellogg Foundation's KYIP brochure.

The Evaluation Center. (1992). Update on the progress and effectiveness of the Kellogg Youth Initiatives Program. Unpublished report, Western Michigan University, Kalamazoo.

The W.K. Kellogg Foundation. (1987). Youth Initiatives Program. Brochure available from the W.K. Kellogg Foundation, Battle Creek, MI.

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2.3 Data used to justify the depiction of the Program Design were Task 6 report in Year 3 Annual Report (Appendix 6), Traveling Observer Reports in Year 5, and the strategic plan overview written by Tyrone Baines (file document).

The Evaluation Center. (1991). Year 3 annual report: Evaluation of the Kellogg Youth Initiatives Program for 1990-1991. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 4 Reports from traveling observers. Unpublished report, Western Michigan University, Kalamazoo.

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2.4 Wellness Indicators were proposed and described in Annual Report of Year 1, as Exhibit 1A. The analysis for matching projects with intended impacts on the indicators was included in the Task 6A report for Year 5.

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 6A Analysis of funded and unfunded proposals. Unpublished report, Western Michigan University, Kalamazoo.

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### Section 3. Implementation

3.1 Local project data (Table 8) was taken from Task Report 6A in Year 5.

The Evaluation Center. (1993). Task 6A Analysis of funded and unfunded proposals. Unpublished report, Western Michigan University, Kalamazoo.

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3.11 The Five Cs were taken from the midyear report of Year 4. Data for the analysis using the Five C criteria were taken from Task 6A Report in Year 5 and Task 6B Reports in Year 4 and 5.

The Evaluation Center. (1992). Update on the progress and effectiveness of the Kellogg Youth Initiatives Program. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 6A Analysis of funded and unfunded proposals. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1992). Task 6B Case studies of select KYIP projects. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 6B Case studies of selected projects. Unpublished report, Western Michigan University, Kalamazoo.

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3.12 In Year 1, age of targeted youth and targeted need were used in a matrix form to classify projects and analyze the patterns of funding. In Year 2, The KYIP/Evaluation Center Cube was developed. Cube analysis data were taken from Task 6 Reports for all five years. The reports appeared as Exhibit 6 and Appendix 6 in the first three years' reports and as separate Task 6A report booklets in Years 4 and 5.

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1990). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1991). Year 3 annual report: Evaluation of the Kellogg Youth Initiatives Program for 1990-1991. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 6A Analysis of funded and unfunded proposals. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1992). Task 6A Emerging trends and future directions. Unpublished report, Western Michigan University, Kalamazoo.

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3.2 KYDS Learning and Satisfaction data were obtained from all Task 3 reports. These reports appeared as Exhibit 3 and Appendix 3 in the first three annual reports, and as separate booklets in Years 4 and 5.

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1990). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1991). Year 3 annual report: Evaluation of the Kellogg Youth Initiatives Program for 1990-1991. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1992). Task 3 Kellogg Youth Development Seminars and Kellogg/Northern Area Planning. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 3 Kellogg Youth Development Seminars and Kellogg/Northern Area Planning group surveys. Unpublished report, Western Michigan University, Kalamazoo.

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3.3 The Winter 1991 issue of the KYIP/Evaluation News newsletter is included in Appendix 10 of the Year 3 Annual Report. Recommendations of Traveling Observers and Evaluation Center staff appear in the Task 4 reports and Annual Reports, respectively.

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1990). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1991). Year 3 annual report: Evaluation of the Kellogg Youth Initiatives Program for 1990-1991. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1992). Task 4 Reports from traveling observers. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 4 Reports from traveling observers. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1992). Highlights 1992: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Highlights 1993: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

#### Section 4. KYIP Impacts

4.1 Intended project impact data were collected for the Year 5 Task 6A report.

The Evaluation Center. (1993). Task 6A Analysis of funded and unfunded proposals. Unpublished report, Western Michigan University, Kalamazoo.

4.2 Actual impacts of projects were obtained from Program Director reports prepared in Spring of 1993 for the Board Report (file documents).

4.3 KYDS impacts were obtained from all Task 3 reports. These reports appeared as Exhibit 3 and Appendix 3 in the first three annual reports, and as separate booklets in Years 4 and 5. The selection process for KYDS participants and their graduation rates were obtained from PD reports (file documents).

The Evaluation Center. (1989). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1988-1989. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1990). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1991). Year 3 annual report: Evaluation of the Kellogg Youth Initiatives Program for 1990-1991. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1992). Task 3 Kellogg Youth Development Seminars and Kellogg/Northern Area Planning. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 3 Kellogg Youth Development Seminars and Kellogg/Northern Area Planning group surveys. Unpublished report, Western Michigan University, Kalamazoo.

## Section 5. KYIP Effectiveness

5.1 Demographics data were obtained from Year 5 Task 1 report and Kids Count in Michigan. Newspaper analyses were conducted in Year 1, 2, 3 and 5. The Year 5 report (included in the task 1 report) summarized findings across years and was in writing this section.

The Evaluation Center. (1993). Task 1 Longitudinal studies of youth and youth environments. Unpublished report, Western Michigan University, Kalamazoo.

Kids Count in Michigan. (1993) Kids Count in Michigan 1993 data book. (available from Michigan League for Human Services.)

5.2 Scriven's Big Footprint Metaphor was first used in the Year 2 Goal Free Evaluator Report, which appeared as Appendix 5 to the Annual Report. It has since been described in the Evaluation Thesaurus. Information about projects for the Big Footprint Analysis were taken from the Year 5 Task 6A report regarding the targeting of wellness indicators by KYIP projects. Data for the analysis of project effects reported Program Director Reports were in file documents. Qualitative effects reported by the Goal-free evaluator were taken from the Task 5 booklet, produced in Year 5. Other data concerning changed lives in Detroit were taken from file documents.

The Evaluation Center. (1990). Annual report: Evaluation of the Kellogg Youth Initiatives Program for 1989-1990. Unpublished report, Western Michigan University, Kalamazoo.

Scriven, M. S. (1992). Evaluation thesaurus (4th ed.). Newbury Park, CA: Sage.

The Evaluation Center. (1993). Task 6A Analysis of funded and unfunded proposals. Unpublished report, Western Michigan University, Kalamazoo.

The Evaluation Center. (1993). Task 5 Goal-free evaluation. Unpublished report, Western Michigan University, Kalamazoo.

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5.3, 5.4 KYDS Effects were reported in Year 5, Task 3 booklet. Remarks about resistance to change were also obtained from KYDS participants and reported in Appendix 3A of the Year 3 Annual Report.

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## 6.0 Sustainability

6.1 Traveling Observer data regarding project continuation was reported in the Year 5 Traveling Observer Progress Reports (Task 4).

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