A NEW APPROACH TO EVALUATION

A Guide to Creating High Performing Programs

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**Circle Solutions, Inc.** is an employee-owned professional services firm providing products and services in support of healthier, safer people and communities.

Kathleen M. Crowley, M.S., is the Deputy Director of Research and Knowledge Management Services.
Letter from the Director

The Office of Community Oriented Policing Services (the COPS Office) has made substantial investments in local initiatives designed to institutionalize community policing and to enhance the safety and well-being of communities. The COPS in Schools program (CIS) represented one of the COPS Offices’ most important efforts, because it was designed to foster collaborative partnerships between law enforcement agencies and school districts, and enhance the safety of students, faculty, and school staff. Since 2000, funding from the COPS Office has forged thousands of local law enforcement–school partnerships, deployed School Resource Officers (SROs) in elementary, middle, and high schools nationally, and provided training and technical assistance to more than 10,000 SROs and school administrators. The CIS program required law enforcement agencies and school districts to jointly design and manage their new partnerships amid the complexities of their respective organizations. Central to their success has been the ability to continually improve their programs and to strategically implement policies, procedures, and systemic changes to sustain these programs.

A New Approach to Evaluation: A Guide to Creating High Performing Programs incorporates principles of organizational development and learning (ODL) into the traditional program evaluation framework to create a new paradigm for building organizational capacity that can lead to greater program effectiveness and sustainability. The approach outlined in this Guide focuses on both the program (i.e., SRO program) as well as the organization (i.e., police department, school district) responsible for the program. The addition of ODL principles in the evaluation framework provides a way to assess the organizational capacities that are needed to ensure programs function well and achieve their intended purpose. The key benefit of this approach is that it focuses on building organizational capacities so the program can adapt, when necessary, to improve operational efficiency, achieve greater effectiveness, and institutionalize sustainable practices.

This Guide provides a roadmap for creating high performing programs by building organizational capacities to help implement change, and achieve desired goals that are enduring. It has grown and developed from the experiences of the CIS grantees. However, the principles, strategies, and tools presented here are pertinent to a broad array of programs that also must ensure they work well and are a good investment.

Bernard Melekian, Director
Office of Community Oriented Policing Services
Acknowledgements

Since 2000, we have had the extraordinary opportunity to work with the COPS in Schools (CIS) grantees, watching their School Resource Officer (SRO) programs evolve from a singular vision (creating a safer school environment) to complex organizational endeavors bridging the bureaucracies of law enforcement agencies and school districts. Specifically, this Guide has been informed by our years of experience working with SRO programs across the country, as well as a year-long engagement with the Montgomery County Police Department (MCPD) and the Montgomery County Public Schools (MCPS) to study and evaluate their equivalent of an SRO program—the Educational Facilities Officer (EFO) Program. This study provided the opportunity to apply a new approach for evaluating and improving federally funded programs such as CIS.

The evaluation of the Montgomery County EFO Program was conducted at the request of the MCPD and the MCPS and supported by the COPS Office. We would like to acknowledge Mr. Calvin Hodnett, Project Officer, for his vision and steadfast support for this effort.

We thank Chief J. Thomas Manger (MCPD); Dr. Jerry West, Superintendent of Schools; Mr. Larry Bowers, Chief Executive Officer; and Mr. Robert Helmuth, School Safety and Security Director (MCPS); without their support the study would not have been possible. Their commitment to open communication and a “no issue is off-limits” approach allowed us to explore all aspects of their respective organizations. They facilitated the acceptance of the study protocols and access to personnel, internal policies, documents, and data critical to a thorough understanding and assessment of this complex and evolving program.

We further recognize Sergeants Daniel Meng and Suzanne Harrell, EFO Coordinators, for their constant attention to the details of scheduling interviews and observations throughout the 25 schools served by the EFO Program, not to mention their immediate responsiveness to the array of requests inherent in conducting a comprehensive study of this scope.

Our greatest gratitude goes to the MCPD officers and the MCPS school administrators, school security, and staff. Their contributions have and continue to ensure that MCPS are safe learning communities for students, faculty, and staff.

Lastly, this Guide would not be possible without the contributions and support of Circle staff, most notably Anna T. Laszlo, Director of Research and Knowledge Management and Laura Nickles, Senior Research Associate. Their feedback and efforts were essential in moving what started out as a set of broad ideas into concrete concepts.

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Introduction

Over the last several decades, federally-sponsored programs providing social services to address problems related to youth violence, crime, substance abuse, and mental health have evolved from single organization efforts providing specific and targeted services, to broad, cross-cutting programmatic initiatives addressing multiple issues and requiring strategic collaborations among many organizations, often with competing priorities and complex bureaucratic structures. These comprehensive and complex initiatives require grantees to build and sustain strong strategic alliances among state and local agencies such as law enforcement, schools, substance abuse prevention programs, courts, mental health agencies, and other community-based services providers. Examples of some of the prominent cross-cutting investments of the Office of Community Oriented Policing Services (the COPS Office) include:

- **COPS Community Policing Program**—This program, which may be the most significant change in policing, provided the impetus for law enforcement agencies nationally to transform their organizations, develop community partnerships, and engage in collaborative, problem-solving policing strategies. With the funding of more than 100,000 new community policing officers and a myriad of technological supports and training and technical assistance services, the COPS Office ushered in a new era of policing philosophy and practice. Today, community policing philosophy and practice, in many jurisdictions, is no longer “a specialized program” but rather the norm of policing.

- **COPS in Schools (CIS)**—CIS is one of the largest initiatives in the nation designed to help law enforcement agencies hire and deploy new School Resource Officers (SROs) to engage and enhance community policing practices in and around primary and secondary schools. These grants provided the incentive for law enforcement agencies and school districts to form strategic alliances, share resources, and—through memorandums of understanding (MOU) and joint training—create and manage school safety programs. More than 10,000 SROs and their school administrator partners participated in COPS-funded training and technical assistance designed to enhance grantees’ abilities to provide effective school safety.

- **COPS School-Based Partnerships**—These partnerships are designed to establish strategic alliances among law enforcement agencies, schools, and other community-based youth-serving organizations. These grants engaged organizational partners in a process of collaborative problem-solving (using the SARA problem-solving model) to identify and analyze school-based problems, develop targeted responses, and conduct ongoing assessments of the effectiveness of the newly-designed response strategies.

- **COPS Problem-Solving Partnerships**—There are 450 grantees comprising COPS partnerships between law enforcement agencies and community-based organizations with the purpose of developing collaborative, problem-solving approaches to community crime and disorder problems. These grantees designed data-driven responses to both acute and chronic crime problems such as gang-related violence, drug trafficking and dealing, violent assaults, prostitution, and loitering. Entire communities forged new strategic alliances with short- and long-range strategies to reduce crime and improve quality of life.
These national initiatives are a just few examples of large, broad, cross-cutting policy social service programs—similar to many other current programs—that reflect a transformational shift in the scope, complexity, and purpose of federal programs addressing health and social problems. Consequently, as both large and small organizations take on new programs, more change is expected, and the challenge of ensuring that these programs “work well” and are a good investment is even more paramount.

This Guide provides a new approach for evaluating programs that focus on building critical capacities system-wide and creating better performing programs in the long term using organizational development and learning (ODL). It is divided into three sections. The sections may be used sequentially in their entirety or individual sections may be used to target and work on specific capacities.

Section 1 makes the case for using a multi-framed ODL approach instead of the traditional program evaluation model, and it describes the key benefits of using ODL.

Section 2 describes how the ODL evaluation process works.

Section 3 presents “real-world” applications of the ODL model based on our previous work with SRO programs.
Section 1: Organizational Development and Learning—Making the Case!

Each year, federal, state, and local governments, along with private philanthropic organizations, invest in a wide array of both new and existing initiatives that provide vital social services. Typically, in addition to program funding, there is a mandate to evaluate and uphold the effectiveness of the program.

The Federal Government has been the standard bearer for using program evaluation as a basis for deciding which things are worth doing (Patton, 1997). The standard program evaluation is based on a systematic process that looks at each part of the program, which flows from inputs, activities, and processes to expected outcomes. As illustrated in the diagram below, this process provides information about how a program works and to what extent it is effective.

While such information is valuable, two main factors keep its use limited. First, the program evaluation model, which begins with inputs and works through to outcomes, only provides information about “what has been done” and has a tendency to foster the status quo rather than an exploration of new ideas to improve program performance. Millar, et al., suggest it would be more useful to invert the planning sequence by beginning with outcomes and working through to inputs—in doing so, the focus is on “what needs to be done” rather than “what has been done.”

Second, programs are designed to function within established organizations (e.g., school districts, law enforcement agencies, health agencies, or social service agencies) to capitalize on existing capacities, resources, and systems of service. However, the evaluation model treats the program as if it is a stand-alone operation (with its own leadership, staff, facilities, decision-making framework, etc.) when that is rarely the case. As a result, the “parent” organization or network of organizations—the most important factor that can influence program effectiveness and performance—is ignored; this fact presents a paradox for evaluators and grantees.

What good is conducting a program evaluation to assess and build program capacity to improve performance if the “parent” organization itself lacks critical capacities?

Looking Beyond the Program

Embedded in the ODL approach is the overarching influence of the parent organization on the program. From this perspective, if the parent organization lacks the sufficient capacities to support the program, anything—from a change in leadership, resources, staffing, or environment—can limit the program’s effectiveness and in many cases jeopardize its existence. The ODL evaluation framework combines the traditional program evaluation framework with organizational development and learning so as to address improvement of the total system and focus on the organization(s) running the program (See following page).

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The new ODL evaluation framework includes two levels—the first is the program and the second is the organization. As illustrated in Figure 2, the second level focuses on identifying gaps or weaknesses in the organizations’ current capacities and critically assessing the implementation of the program through a multi-framed perspective to look at “what needs to be done” to improve program performance. The ODL evaluation model is centered on change and improving organizational capacities, which in turn, allow programs to be more effective.

The ODL evaluation model—much like a traditional program evaluation—is intended to be an ongoing process to assess and build capacity to adapt, change, and achieve greater efficiency and effectiveness, for both the parent organization and the program itself.

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Section 2: What Does the Process Look Like?

The key difference between the traditional evaluation planning process and the one presented in this Guide is that the ODL evaluation model links the parent organization to the program. The structure and systems, human resources, and ability to build strategic alliances of the parent organization are key components of the ODL evaluation model. Based on this model, the long-term success of any program is dependent on having the appropriate capacities within the parent organization to support the program’s operations and achieve its intended goals.

Whether you are planning for a new program or focused on improving an existing program, the process begins with determining the program goals, mapping the program goals to the parent organization’s capacities, and assessing and identifying organizational capacity challenges.

The following figures use an example of a school safety program.

**Determining the Program Goals**

The traditional evaluation planning process begins with INPUTS (existing resources and conditions) such as:

However, Millar et al. suggest it would be more useful to invert the planning process and begin with goals and work through to capacities (INPUTS), “focusing on what needs to be done” instead of “what has been done.” Flipping the process around puts the focus on what is needed to achieve the program goals, thus fostering “new ideas to improve program performance.”

**Mapping Program Goals to the Parent Organization’s Capacities**

Because programs are almost always designed and funded to function within established organizations (e.g., school districts, law enforcement agencies, health agencies, or social service agencies) to capitalize on existing capacities, resources, and systems of service, the parent organization’s capacities, or lack thereof, are of critical importance to the implementation and performance of any program.

After determining a program’s goals (Figure 4), the next process stage is to determine what is needed to achieve the goals and to map or link the goals to the organization’s capacities.

**Figure 6.**

Figure 6, on the next page, outlines the process of mapping program goals to specific organization capacities.

The organizational capacities are grouped into the three main ODL frames: Structure and Systems, Human Resources, and Cultural/Political. Within each frame are specific capacities or resources key to performance, adaptation, change, and sustainability.
The success of any program depends on having the appropriate systems, human resources, and learning culture in place to achieve the overall goals. Mapping ensures that the program’s goals and the organization’s capacities are strategically aligned and provides a basis for ongoing, strategic planning and development not afforded by traditional evaluation models.

Assessing and Identifying Organizational Capacity Challenges

After the program goals have been mapped to specific capacities, an assessment of the parent organization’s capacities needs to be completed. A capacity assessment will help identify both capacity strengths and, more importantly, deficiencies. It is the deficiencies that are most important to this process, because they expose areas where the program goals are not strategically aligned with the parent organization’s capacities, which ultimately limits the program’s performance.

A number of organizational capacity assessment tools have been developed for the private sector and nonprofit organizations. Those geared toward nonprofit organizations are most appropriate for parent organizations, such as police departments, school districts, public health organizations, and local government agencies, which typically implement federally funded programs.

One tool in particular is the Marguerite Casey Foundation Organizational Capacity Assessment Tool, a self-assessment instrument that helps nonprofits identify capacity strengths and challenges and set capacity-building goals (the instrument is available at http://www.caseygrants.org). The instrument assesses organizational capacities in four key areas: Operational, Leadership, Adaptive, and Management. There are 59 specific elements of organizational capacity under these four categories; for example,
under Leadership a number of specific elements are assessed, including:

- Mission
- Board Governance
- Vision
- Board Involvement and Support
- Overarching Goals
- CEO/ED Experience and Standing
- Overarching Strategy
- CEO/ED Organizational Leadership/Effectiveness
- Shared Beliefs and Values
- CEO/ED Analytical and Strategic Thinking
- Board Composition and Commitment
- Ability to Motivate and Mobilize Constituents

The 59 capacity elements can be easily linked to the three organizational frames—Structure and Systems, Human Resources, and Cultural/Political—in the evaluation model.

The following section provides “real world” examples of how this approach was successfully applied while conducting an evaluation of a federally funded School Resource Officer (SRO) program.

It should be noted that the examples in the next section used a different method for assessing capacity than what is proposed in this Guide. Our previous work used in-person interviews to assess organizational capacity instead of an assessment tool featured earlier in this section. The ODL evaluation process has evolved since this earlier work.

We strongly recommend using a capacity assessment tool rather than interviews only, because of the extraordinary time and costs involved in conducting in-person interviews.

Other Resources:

The McKinsey Capacity Assessment Grid
A tool designed to help non-profit organizations assess their organizational capacity.


Reflect & Learn
An online resource that provides more than 60 practical tools for self-assessment of organizational capacity and performance.

http://www.reflectandlearn.org/discover/self-assessment-tools
Section 3: The Process in Action—Principles to Practice

The ODL approach was used in our work with SRO programs and the evaluation of an SRO program established with a $4,000,000 grant from the COPS Office, which provided the funds to hire and deploy 32 new, full-time law enforcement officers in middle and high schools. The police department was the parent organization responsible for implementation of the SRO program; however, because officers were working in the school and with school staff, the school district was also a key organization. Four years after the program began, it had achieved some of its intended goals, but many remained unmet. The purpose of this evaluation was to determine why the program was not performing as well as expected and to develop strategies to build capacity to improve performance and sustain the program in the long term.

Determining the Program Goals
The success of a program rests on having clearly defined goals and getting all parts of the program and organizations to work together to reach these goals.

Mapping Program Goals to the Parent Organization’s Capacities
Building successful organizations in turn builds successful programs. The goals of the SRO program were generally developed from police directive, Memorandum of Understanding (MOU), and information from official police and school websites to identify the organizational capacities needed to support the program. The goals of the program, based on the initial assessment of material and in conjunction with police and school staff, were identified to be:

- Assign officers to serve as liaisons between the police department and the schools in the district
- Maintain and enhance a safe and secure learning environment for students, staff, and the school community
- Institutionalize best police practices
- Enhance relationships with students
- Sustain the SRO program

Principles to Practice Snapshot: No Clear Goals Guiding the Program

- **Issue:** A review of SRO program documentation revealed no clear source or official statement of purpose or goals for the program. Instead, program goals were delineated in a variety of sources, including police directive, a Memorandum of Understanding (MOU), and information provided on the police department’s official website. Because the program goals were not clearly defined, there was a lack of common understanding within the program, police department, and school district about each other’s roles and responsibilities and the necessary capacities to support the program.

- **As a consequence...** The program’s goals and purpose were defined by individuals’ (e.g., SROs, principals, school security staff) personal preferences and beliefs, instead of by a unified understanding. This resulted in varying degrees of the program’s effectiveness across the 26 middle and high schools in the district and created a number of operational and management challenges.

- **Solution:** Develop a MOU that clearly delineates a common vision of the program—specifically, the roles and responsibilities of an SRO—reflecting on what they do at the school while incorporating what the schools needs.

Using the ODL evaluation mapping process, key organizational capacities needed to achieve these goals were identified from both the police department and the school district.
Organizational Structure and Systems—Blueprint of the Organization

To achieve program goals, the police department and school district needs to have a combined organizational structure that: 1) provides flexibility for officers to work effectively, but enough leadership and guidance that performance is consistent; 2) fosters communication and collaboration between officers and schools; and 3) has clear policies, procedures, and a decision-making framework. Four key capacities related to the organizational structure and systems of the police department and school district were identified and mapped to program goals.

Human Resource: Hire the Right People and Keep Them

Another essential element of long-term program success is people; meaning the program invests in employees and responds to their needs (Collins & Porras, 1994; Farkas & DeBacker, 1996; Kotter & Heskett, 1992). The old adage, “a company is only as good as the people it keeps,” points to the importance of good management practices in achieving organizational goals.

Leadership, recruitment, retention, and staff development were identified as the most critical capacities needed to meet the goals of the SRO program.

Organizational Culture: The “Glue” that Holds it all Together

The success or failure of the SRO program does not rest with just one organization. Instead, it depends on mutual commitment and collaboration between the police department and school district.

Key capacities identified as necessary to the success of the SRO program and its future sustainability were: form and sustain strategic alliances, foster close collaboration, and have a common shared understanding and practice between the police department and school district.

Assessing and Identifying Organizational Capacity Challenges

With the ODL evaluation process, it is important to ensure the program’s goals are matched with the parent organization’s goals and to make sure these capacities exist within the organizations and are sufficiently developed. For the evaluation, we looked primarily at the police department, because it was the parent organization charged with the program’s implementation, and secondarily at the school district to assess the capacities identified in the previous step. Specifically, did the police department and school district have the right structure, systems, staff development strategies; the ability to create and maintain strategic alliances; joint policies and practices; and the shared understanding necessary to achieve the overall goals of the SRO program?

Featured next are some “real world” examples based on our previous work using the ODL with SRO programs, including the evaluation of the Montgomery County’s EFO program.

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Organizational Structure and Systems—Blueprint of the Organization

Principles to Practice Snapshot—Organization Structure did not Support the Program

- **Issue:** At its inception, the SRO program was centralized at police headquarters under the supervision of the Field Services Bureau’s administrative sergeant, who reported directly to the Bureau’s chief. Later, the program was decentralized with the SROs assigned to the districts and under the command of district lieutenants, who subsequently reported to district captains.

  The decentralized or divisional structure aligns with the organizational structures that support the fundamental philosophy of community policing, making district captains responsible and accountable for improving the safety of their community. Under such a decentralized model, each district captain, and thereby all the officers assigned to that district, “own” the crime and disorder problems within their community and are empowered to manage police services to address the unique problems their communities face.

- **As a consequence…**the decentralized structure of the police department—which is well suited to support the fundamentals of community policing and its mission—was the primary factor in the lack of program performance and inconsistency in implementation across 26 middle and high schools in the district.

- **Solution:** Maintain the decentralized structure of the SRO program but consider designating the SRO program as a specialized unit, akin to a school-based police department. Creating a specialized department/unit will improve and standardize the program’s implementation and management, improve accountability across the schools, and allow the police department to provide additional incentives to attract and recruit new officers.

Human Resource—Hire the Right People and Keep Them

Principles to Practice Snapshot—Unable to Hire the Right People

- **Issue:** The SRO program had a number of recruiting problems, including having no existing formal recruitment efforts to seek and encourage qualified candidates to apply to become SROs. Additionally, the position did not seem to provide enough incentives or be a career-building position, and there was a general lack of awareness as to what the job entailed.

- **As a consequence…**a persistent and challenging issue was the lack of interest on the part of police officers to become SROs. Small pools of candidates hampered the ability to select officers with the appropriate skill sets to be most effective in working with students and school staff.

- **Solution:** Develop a recruitment strategy within the larger police department’s recruiting division that emphasizes the contributions the SRO program makes to the department’s mission of public safety and crime prevention. Also, consider rotating new officers (during field training) and patrol officers in schools and/or provide opportunities for patrol officers to shadow SROs in schools. Rotating new officers in schools is a good way to increase awareness of the program and the SRO position.
Organizational Culture: The “Glue” that Holds it all Together

Principles to Practice Snapshot—Not Working Effectively

- **Issue:** The strategic alliance and collaboration between the police department and the school district was somewhat weak. It was almost as if two very individualistic agencies were trying to make this program work but were not communicating, which caused difficulties, particularly in the first years of the program.

- **As a consequence**... no one—including SROs, command staff, school staff, principals, etc.—knew what was expected of them. A lack of communication, collaboration, and common understanding prevailed and contributed to a major lack of consistency in the program from school to school. The program was extremely well run and efficient in some schools and not so much in others.

- **Solution:** Develop a collaborative, strategic plan to refine and restructure the SRO program that includes program vision and goals, both police and school roles and responsibilities, shared policies and procedures, an outline of coordination and communication strategies between the police department and schools, and processes for ongoing performance assessment.
Final Note

Why Invest in Organizational Development and Learning?

Successful programs are more than just those deemed “working” because they have achieved desired outcomes; they are instead those with the capacity to adapt in the face of change, continually improve, and operate well after funding has ended. The ODL evaluation model moves beyond “what has been done” to “what needs to be done” to ensure desired outcomes are achieved, capacities are assessed and developed, good practices are institutionalized, and programs are sustained in the long term. Other specific benefits of this approach include:

- Aligning program operations with the overall mission and goals of the “parent” organization(s)
- Improving the quality of organizational and program operations
- Weathering leadership changes or downturns in financial resources
- Increasing access to funding sources
- Increasing skills among staff

Both federal funding and private philanthropy resources, which support innovative programs, reasonably expect that these programs not only perform well but eventually become institutionalized. Given such a mandate, the ODL approach is the essential process to improve, manage, and sustain your program.
A New Approach to Evaluation: A Guide to Creating High Performing Programs is designed to provide practitioners and researchers with a new approach to evaluating their programs. With the new initiatives that are occurring in policing and crime prevention, it is critical to understand the effectiveness of these programs outside of how good they look on paper. Besides the usefulness of the program evaluation, most funding agencies mandate the evaluation as a requirement for funding. This publication identifies a new program evaluation, the organizational development and learning (ODL) model, which introduces a flexible process compared to a traditional evaluation. Each section of the publication provides reasoning for the ODL model and explains the process to ensure replication.