Uniform Grant Guidance: Using Logic Models to Enhance Program Performance

Thursday, June 25, 2015

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Today’s Learning Objectives

• Introduction to the creation and uses of logic models
• Understand historical context for logic models
• Recognize the benefits and uses of logic models
• Recognize types of models and their characteristics
• Demonstrate how to read a logic model
• Describe the way that models can support program effectiveness
• Understand connection between program logic modeling and OMB Omni-Circular
Logic Models – What They Are, Where They Come From, and What They Are Used For
Logic Models Defined

• A logic model is a formatted, prescribed way to discern relationships among the activities you plan to do, the change you aim to achieve, and your needed program operating resources.

• Using logic modelling techniques can motivate your workforce to prescribe the necessary activities that will result in your program’s success and create the desired impact for your customers.

• A useful comparison of a logic model is to a map that clarifies and communicates what you intend to do and its intended impact.
The Theory of Change and Theory of Program are the two basic styles of logic models and together lead to a very broad continuum of possibilities, with many ways to express and display ideas and levels of detail.

These theories, and thus models, are composed of doing (strategies) and getting (results)…“Do-Get”

Steps to model creation are ordered for RESULTS first:

1. Identify RESULTS
2. Figure STRATEGIES to get results
3. Define ASSUMPTIONS that support strategies
Theory of Change

Theory of Change differs from other methods of describing initiatives in a few ways:

• Depicts a causal pathway from here to there by specifying what is needed for goals to be achieved (e.g. children attending school a minimum number of days is necessary if they are going to learn).

• Requires articulation of underlying assumptions that can be tested and measured.

• Changes the way of thinking about initiatives from what you are doing to what you want to achieve and starts there.

• Provides a roadmap to get you from here to there. If it is good and complete, your roadmap will show constituents, staff, partners organizations and funders that you know how to chart your course.
Historical Context

• Use of theory of change and program logic models began in the 1970s.

• Carol Weiss (1995) and Michael Fullan (2001) and Huey Chen (2005) are among the pioneers and champions for the use of program theory in program design and evaluation.

• Logic models did not receive much recognition until after the United Way of America in 1996 came out with Measuring Program Outcomes, which promoted the structures and vocabulary of logic models.
• The W. K. Kellogg Foundation was instrumental in spreading the use of logic models with its Logic Model Development Guide (2001).

• Kellogg Foundation believes that because our thinking affects our actions, thinking about thinking (metacognition) is an area that is worth understanding better.
Relevance Today

• Other mainstream organizations and federal agencies have started requiring modelling for better program outcomes:

  • Centers for Disease Control, Division of Oral Health workbook (2010)

  • Association of Fundraising Professionals (AFP), Cathy D. Cessna, MPA, CFRE, Director of Business, Program and Fund Development, Ingleside Homes and Charles B. Vincent, J.D., Owner and Managing Principal, Innovincent (2012)

    https://www.youtube.com/watch?v=wN3WSWhPUdE&feature=youtube_gdata
Model Uses

• Most ideas, projects, or programs can be characterized through four simple stages:
  • design (creation)
  • implementation
  • evaluation
  • Adaptation

• Modeling provides a scenario based review process focused on the elements needed for success and those that could lead to failure, prior to implementation or execution.

• Modeling can help depict the mental maps of your team, which can lead to identifying social conditions in a particular space or area.
Model Uses

• Help summarize key program elements
• Explain rationale behind program activities
• Clarify intended outcomes
• Provide a communication tool through which to share program results with stakeholders
• Theory of change logic models are the foundation for program logic models. When well developed, they can ensure the intellectual rigor you want for program logic models.

• It is valuable to explore strategies and results of programs (or social change efforts) similar to yours, to gain a better understanding of the rationale for other strategies and related results that can inform your design choices.
Benchmarking

• To inform and improve your own work, benchmark your program through a systematic discovery and comparison process by investigating other promising practices.

• Benchmarking may include a review of documents, a survey, and discovery with peers and even competitors. It establishes the status of other efforts, programs, or organizations on specified features or issues.

• Helps answer what others are doing and why.
Program Logic Models

• Program logic models display what an existing idea, new program, or focused change effort might contain from start to finish.

• The elements in a program logic model consist of an investment of financial and social capital for a specified result.

• The level of detail increases so that the relationships shown by the model illustrate essential linkages needed to make a plan fully operational for each of the strategy strands identified in the theory of change.
Theory of Program

• Strategies reflect the resources, activities, and outputs needed to achieve results.

• Results reflect the sequence of outcomes over time through their impact.

• Outcomes are generally progress in changes in awareness, knowledge, skill, or behavior among targeted audiences. Although a plausible and evidence-based connection can be established, impact is often well beyond the scope (or feasibility) for the program being modeled.
Theory of Program

• Together, OUTCOMES of multiple STRATEGIES plus IMPACT make up RESULTS.

• While program logic models are often built on a theory of change, it is also possible to deduce a theory of change from a program logic model.
Crafting a Program Logic Model
The “planned work” of a program logic model includes resources, activities, and outputs. These are the essential elements that are used to secure results or make change happen. The “intended results” include what the program produces: outcomes and impact.
Major Components

- **RESOURCES**: Resources dedicated to or consumed by the program
- **ACTIVITIES**: What the program does with the inputs to fulfill its mission
- **OUTPUTS**: The direct products of program activities
- **OUTCOMES**: Specific change in participants behavior during and after program activities
- **IMPACT**: Desired long term goal of the program

Your PLANNED Work

Your INTENDED Results
Crafting a Logic Model

• The Logic Model captures the logical flow and linkages that exist in any display of performance.

• The Logic Model organizes your program information, enabling your audience to understand and evaluate the hypothesized linkages.

• Where the resources, activities and outcomes are listed within their respective columns in the story, they are specifically linked in the Model, so that the audience can see exactly which activities lead to what intermediate outcomes and which intermediate outcomes lead to what longer term outcomes or impacts.
Crafting a Logic Model

• There are several ways to present the Logic Model (Rush and Ogborne, 1991; Corbeil, 1986); however, the Logic Model is usually set forth as a diagram with columns and rows, with the abbreviated text put in a box and linkages shown with connecting one-way arrows.

• Inputs or resources to the program are placed in the first column at the left of the Model and the longer term outcomes and problem to be solved on the far right column. In the second column, the major program activities are boxed.

• In the columns following activities, the intended outputs and outcomes from each activity are shown, listing the intended customer for each output or outcome.
• Rows are created according to activities or activity groupings. If there is a rough sequential order to the activities the rows will reflect that order reading from top to bottom of the diagram.

• When the outcomes from one activity serve as a resource for another activity chain, an arrow is drawn from that outcome to the next activity chain. The last in the sequence of activity chains could describe the efforts of external partners.

• Rather than a sequence, there could be a multi-faceted approach with several concurrent strategies that tackle a problem. For example, a program might do research in some areas and technology development and deployment in others, all working toward one goal.
Crafting a Logic Model - Examples

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

* Be sure to indicate how each of your outcomes will be measured

W.K. Kellogg Foundation
Crafting a Logic Model - Examples

Harvard Family Research Project, Evaluation Exchange
Crafting a Logic Model - Examples

Comprehensive Community Initiatives, 2004
Crafting a Logic Model - Examples

**Diabetes Regional Directors Logic Model**

*Created: July 10, 2008, Revised: July 24, 2008*

**Assumptions:** Each diabetes regional director has 10 hours/week to devote to activities. Evaluation and scope of work for diabetes regional directors is in response to templates created to meet the 2002/3 CDC diabetes grant goal of building the local diabetes public health infrastructure.

**Goal(s):** To establish an effective public health system that allows effective local & state coordination and communication about diabetes efforts in Colorado.

<table>
<thead>
<tr>
<th>INPUTS</th>
<th>ACTIVITIES</th>
<th>OUTPUTS*</th>
<th>SHORT TERM OUTCOMES (measurement)*</th>
<th>MEDIUM TERM OUTCOMES (measurement)*</th>
<th>LONG TERM OUTCOMES (measurement)*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Colorado Diabetes Prevention &amp; Control Program (DPCP)</td>
<td>DRD will identify local chronic disease/diabetes programs with an interest in building the local, diabetes, public health infrastructure.</td>
<td>List of local chronic disease/diabetes programs with whom each DRD plans on working for the next year.</td>
<td>DRD are aware of local chronic disease/diabetes programs in their regions with an interest in building the diabetes public health infrastructure (list of local programs with whom the DRD plan to work are reported to the DPCP at least once a year through monthly reports).</td>
<td>Information about local program information and training needs are provided to the DPCP by the DRD (DPCP and DAC report they receive information about the information and training needs of local programs).</td>
<td>Local diabetes programs are satisfied with the support they receive, and how it is communicated, from the DRD. (Satisfaction survey developed and administered to the local programs working with the DRD, 2008-2009 baseline data.).</td>
</tr>
<tr>
<td>Diabetes Regional Directors (DRD)</td>
<td>DRD will assess the information/training needs and communication styles of the local programs identified.</td>
<td>List of information/training need by local programs.</td>
<td>DRD monthly reports reflect the type of communication local programs prefer.</td>
<td>DRD are aware of the information and training needs of their local programs (DRD report local need through monthly reports).</td>
<td>Information and training opportunities are provided to local programs by the DRD (information and training shared with local programs is documented by the DRD).</td>
</tr>
<tr>
<td>Local chronic disease and diabetes programs</td>
<td>DRD will share local programs information/training needs with the DPCP.</td>
<td>Information/training offered to local programs by the DRD in response to the programs stated need.</td>
<td>DRD plan to work are reported to the DPCP at least once a year through monthly reports.</td>
<td>DRD are aware of the information and training needs of their local programs (DRD report local need through monthly reports).</td>
<td>Information and training opportunities are provided to local programs by the DRD (information and training shared with local programs is documented by the DRD).</td>
</tr>
<tr>
<td>Diabetes Advisory Counsel (DAC)</td>
<td>DRD will share the DPCP’s efforts to respond to local programs information/training needs using the programs communication style of choice.</td>
<td># of trainings offered to local programs within each DRD’s region.</td>
<td>DRD know the communication preference of their local programs (email, phone, in person) (DRD report how their local communities prefer to communicate through monthly reports).</td>
<td>DRD report how their local communities prefer to communicate through monthly reports.</td>
<td>Information and training opportunities are provided to local programs by the DRD (information and training shared with local programs is documented by the DRD).</td>
</tr>
<tr>
<td>Center’s for Disease Control (CDC)</td>
<td>DRD will assist the DPCP with satisfaction survey administration.</td>
<td># of people completing training communicated through the DRD.</td>
<td>Type of information disseminated to local programs communicated through the DRD.</td>
<td>Information about local program information and training needs are provided to the DPCP by the DRD (DPCP and DAC report they receive information about the information and training needs of local programs).</td>
<td>Local diabetes programs are satisfied with the support they receive, and how it is communicated, from the DRD. (Satisfaction survey developed and administered to the local programs working with the DRD, 2008-2009 baseline data.).</td>
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</table>

* Monthly reports are the avenue by which the Diabetes Regional Directors are reporting information. This information will be reported as often as stated in the scope of work by the Diabetes outreach coordinator and may not need to be reported each month.

Centers for Disease Control, 2008
Reading a Logic Model

- Logic Models are read from left to right, and describe basic program activities over time, from planning through results. Reading a logic model means following a chain of reasoning or "If...then..." statements that connect the program's parts.

W.K. Kellogg Foundation, 2004
Reading a Logic Model

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**CLARIFYING PROGRAM THEORY:**

1. **PROBLEM OR ISSUE STATEMENT:** Describe the problem(s) your program is attempting to solve or the issue(s) your program will address.
2. **COMMUNITY NEEDS/ASSETS:** Specify the needs and/or assets of your community that led your organization to design a program that addresses the problem.
3. **DESIRED RESULTS (OUTPUTS, OUTCOMES AND IMPACTS):** Identify desired results, or vision of the future, by describing what you expect to achieve near and long-term.
4. **INFLUENTIAL FACTORS:** List the factors you believe will influence change in your community.
5. **STRATEGIES:** List general successful strategies or “best practices” that have helped communities like yours achieve the kinds of results your program promises.
6. **ASSUMPTIONS:** State the assumptions behind how and why the change strategies will work in your community.

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**DEMONSTRATING YOUR PROGRAM’S PROGRESS:**

1. **OUTPUTS:** For each program activity, identify what outputs (service delivery/implementation targets) you aim to produce.
2. **OUTCOMES:** Identify the short-term and long-term outcomes you expect to achieve for each activity.
3. **IMPACT:** Describe the impact you anticipate in your community in 7-10 years with each activity as a result of your program.
4. **ACTIVITIES:** Describe each of the activities you plan to conduct in your program.
5. **RESOURCES:** Describe the resources or influential factors available to support your program activities.

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**PROGRAM EVALUATION QUESTIONS AND INDICATORS:**

1. **FOCUS AREA:** From your program theory logic model, list the components of the most important aspects of your program.
2. **AUDIENCE:** Identify the key audiences for each focus area. Who has an interest in your program?
3. **QUESTIONS:** For each focus area and audience, list the questions they may have about your program.
4. **INFORMATION USE:** For each audience and question you have identified, identify the ways you will use the evaluation information.
5. **INDICATORS:** Describe what information could be collected that would indicate the status of your program and its participants for each question.
6. **TECHNICAL ASSISTANCE:** Indicate the extent to which your organization has the evaluation and data management expertise to collect and analyze the data that relates to this indicator.
Clarifying Program Theory:

1. Problem or Issue Statement: Describe the problem(s) your program is attempting to solve or the issue(s) your program will address.
2. Community Needs/Assets: Specify the needs and/or assets of your community that led your organization to design a program that addresses the problem.
3. Desired Results (Outputs, Outcomes and Impacts): Identify desired results, or vision of the future, by describing what you expect to achieve near and long-term.
4. Influential Factors: List the factors you believe will influence change in your community.
5. Strategies: List general successful strategies or “best practices” that have helped communities like yours achieve the kinds of results your program promises.
6. Assumptions: State the assumptions behind how and why the change strategies will work in your community.
Reading a Logic Model

Demonstrating Your Program's Progress:
1. OUTPUTS: For each program activity, identify what outputs (service delivery/implementation targets) you aim to produce.
2. OUTCOMES: Identify the short-term and long-term outcomes you expect to achieve for each activity.
3. IMPACT: Describe the impact you anticipate in your community in 7-10 years with each activity as a result of your program.
4. ACTIVITIES: Describe each of the activities you plan to conduct in your program.
5. RESOURCES: Describe the resources or influential factors available to support your program activities.

Program Evaluation Questions and Indicators:
1. FOCUS AREA: From your program theory logic model, list the components of the most important aspects of your program.
2. AUDIENCE: Identify the key audiences for each focus area. Who has an interest in your program?
3. QUESTIONS: For each focus area and audience, list the questions they may have about your program.
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6. TECHNICAL ASSISTANCE: Indicate the extent to which your organization has the evaluation and data management expertise to collect and analyze the data that relates to this indicator.

W.K. Kellogg Foundation, 1998
Comparing and Contrasting Styles: Choosing What Works Best for You

• Explore variations of your theory of change model.

• An application of the following four suggestions will likely contribute value to the development of any attempt:
  
  • Engage multiple stakeholders.
  • Share explicit assumptions.
  • Test alternative content in model versions.
  • Explore promising or best practices and benchmarking.
Demonstrating Program Process, Improvement, and Success
Linking Outcomes to Program Activities

• Once results are specified, the discovery and discussion that should be encouraged during your modeling attends to these two important questions:

  • “What are the many ways you could resolve this challenge?”

  • “What are the most effective and efficient ways to secure results?”
Linking Outcomes to Program Activities

• Within the grants management industry, buzzwords such as accountability, responsibility, transparency, and cost-effectiveness are heard over and over.

• These core concepts represent the Federal government shift in how grants are managed, tracked, and reported to awarding agencies.

• Administrators must manage program activities to ensure alignment with grantor requirements and budgets, to determine the cost-effectiveness of specific service types/activities, and ultimately to substantiate the success of your program’s goals and objectives over time.
Demonstrating Your Program’s Process

• Describe the problem(s) your program is attempting to solve or the issue(s) your program will address (Your problem or issue statement)

• Specify the needs and/or assets of your community that led your organization to design a program that addresses the problem (Your community needs and assets)

• Identify desired results, or vision of the future, by describing what you expect to achieve near and long-term (Your desired results - OUTPUTS, OUTCOMES AND IMPACTS)
Demonstrating Your Program’s Process

• List the factors you believe will influence change in your community (Influential factors)

• List general successful strategies or “best practices” that have helped communities like yours achieve the kinds of results your program promises (Your strategies)

• State the assumptions behind how and why the change strategies will work in your community (Assumptions)
Program Evaluation: Questions and Indicators

• What is your focus?
  • From your program theory logic model, list the components of the most important aspects of your program.

• Who is your audience?
  • Identify the key audiences for each focus area. Who has an interest in your program?
Program Evaluation: Questions and Indicators

• For each focus area and target audience, list the questions they may have about your program.

• INFORMATION USE: For each audience and question you have identified, identify the ways you will use the evaluation information.

• INDICATORS: Describe what information could be collected that would indicate the status of your program and its participants for each question.

• TECHNICAL ASSISTANCE: Indicate the extent to which your organization has the evaluation and data management expertise to collect and analyze the data that relates to this indicator.
Common Challenges
Common Challenges

• Important to note that the proper reference, “logic” model, is no guarantee of logic.

• Models demonstrate some grain of logic, but a logical representation does not equal plausibility, feasibility, or success. There is some danger in seeing a graphic display on paper and considering it “true.”

• Typically, models fail to account for unintended consequences or do not include program critics, and most stakeholders are not likely to be grounded in the research literature.
Common Challenges

• Realistically, even when program theory and logic are constructed and built on the insights of broad representative stakeholder groups, there is no assurance that it is right.

• Consider every model an incomplete approximation that provides a simple illustration which makes evaluation and program improvement more accessible to individuals and groups – and to you.
The New OMB Omni Circular and the use of Logic Modeling
Key Dates

• June 26, 2014: Drafts of the implementing regulations by each awarding agency were due to OMB for their review in June of 2014.

• August 29, 2014: Council on Financial Assistance Reform (COFAR) Releases FAQs

• Dec 26, 2014: Awarding agencies are required to implement the Omni Circular as regulations in their respective agency sub-chapters within Title 2 of the CFR (see 2 CFR 200.106).
What Does it Mean For Grantees?

• The Omni Circular is the first major effort to improve delivery, management, coordination, and accountability of Federal grants and cooperative agreements since the 1970s.

• Reforms complement efforts by OMB to reform overall approaches to grant-making by implementing innovative, outcome-focused grant-making designs and processes in collaboration with their non-Federal partners as described in OMB Memorandum 13-17, Next Steps in the Evidence and Innovation Agenda.

• Focuses on performance over compliance for accountability (linking to the OMB Evidence Agenda)
• Provides more robust guidance to federal agencies to measure performance in a way that improve program outcomes, share lessons learned, and spread the adoption of promising practices.

• Recipients must relate financial data to performance accomplishments, and must provide cost information to demonstrate cost effective practices.

• The federal awarding agencies are required to provide recipients with clear performance goals, indicators, and milestones.
Thought Building Exercises
Exercises for a Program Logic Model

• Specify the result of a shared program, project, or idea.
  • Draw a theory of change model for the program, project, or idea.

• Attempt a program logic model based on TOC model.

• Brainstorm the outcomes you need to happen to get results.
  • Organize them into short, intermediate, and long term. Pick one short-term outcome.

• Brainstorm what activities are critical to that outcome.
  • Organize the activities relative to your strategies.
  • Name the resources needed.
  • From the activities, cite what outputs are possible.
  • Organize these elements as one model.
Questions to Consider With Your Team

• In what circumstances can you use logic models in your work or field of study?
• What benefits does each type of model provide? And to whom?
• What do logic models display? And what is missing?
• How are theory of change models and program models alike? Different?
• What kind of logic models have you seen before?
• Which are most commonly used?
• What current models/ processes are commonly used for program design in your organization? What work cultures are best suited for logic models?
Team Exercise

• Select and draw one of the following: promotion of a new brand, or a grants management training program, or a senior transportation access awareness campaign.

• Have your team members each draw the same project you select.

• Compare. What do all the drawings have in common? Where are they different? Why? When and how do these differences become reconciled?

• How did the levels of detail differ among the drawings?

• What can you infer from the drawings?
References and Supplemental Reading
References and Supplemental Readings

- *Logic Model Development Guide*, W. K. Kellogg Foundation, October 2000. This guide offers a clear and concise discussion about the use of logic models and their importance for program planning and evaluation planning. It includes templates and other tools to help your organization develop logic models and evaluation questions.
QUESTIONS?

• To ask a question, please press *1 on your touchtone phone.
• If you are using a speaker phone, please lift the receiver and then press *1.
• If you would like to withdraw your question, press *1.
Follow-Up Questions

If you have any remaining questions after the conclusion of today’s webinar please do not hesitate to get in touch.

Ask our webinar producer: mbarnes@columbiabooks.com

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