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SHAP Technical Assistance: Logic Models for Evaluation

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To: **SHAP Grantees**

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RE: **Logic Models for Stakeholder Communication**

Introduction

As the SHAP grants have progressed into year two, many states have started reporting results to audiences outside of their core SHAP team. In addition, changes to the program (e.g., discontinued funding, scope changes) have increased the need for states to reconnect with stakeholders and advisory committees. Logic models are often used to communicate broad program activities and goals in a visual way. Though it is useful to develop a logic model at the start of the program to aid in the overall program development and evaluation planning, a logic model can be developed anytime and is particularly useful for providing a clear overview of the program to outside stakeholders.

In response to grantee requests for assistance in logic model development, we have prepared the following memo. This memo serves to introduce the logic model concept, describe its benefits for use in health program planning projects, and advise on how to create a logic model tailored to your program's needs. Feel free to contact us for individualized support on logic model development.

Background

A logic model is a program planning and evaluation tool, used to visualize the connections between a program's resources, activities, and goals, within a conceptual framework. A logic model is a graphic way to organize information and display thinking. It helps to operationalize short- and long-term outcomes, as well as planned activities, timelines, and evaluations by depicting the logical progression from actions to outcomes.

Logic models are useful in program planning because they help ensure that the appropriate type and scale of program is implemented to achieve desired outcomes. In addition to supporting program planning, logic models help document short-term and long-term goals by ensuring accountability to process and outcome objectives. Such transparency also helps to develop stakeholder buy-in during

planning and implementation (especially when logic models are developed collaboratively with stakeholders), and helps to generate appropriate questions and analysis during program evaluation.

Logic Model Components

A good starting point for creating a logic model is to clarify the nature and extent of the problem you intend to address by drafting a problem or issue statement. A problem statement is more than just a statement of the narrow issue the program is meant to address; forming a problem statement is an opportunity to reflect on the causes, scope, and context of the problem. From this problem statement, you can identify the planned intervention and the desired outcomes of that intervention. Clearly articulating these points ensures participating stakeholders are in agreement on fundamentals of a project.

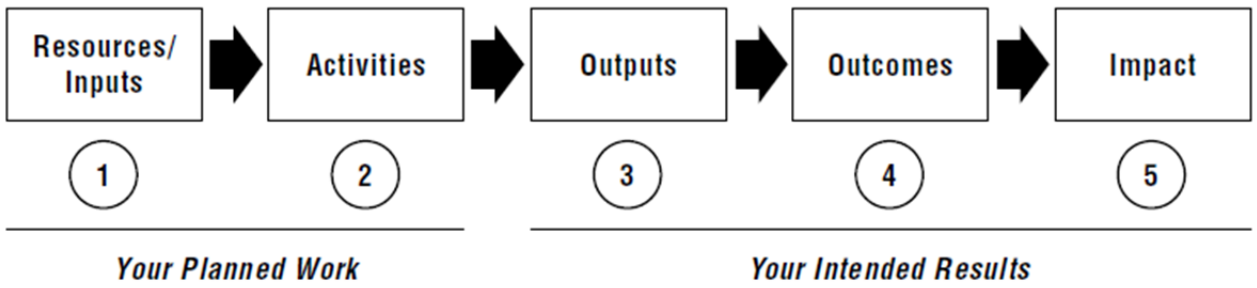
Problem Statement → Intervention → Outcome

A logic model contains more detail than the three-part generalization described above. In order to construct a robust logic model, you should consider what factors, external and internal, will influence the outcome of the program and what specific activities will make up the intervention.
Source: UTSouthwestern, 2006

Problem Statement → Influencing Factors → Activity → Outcome

Once the participating stakeholders have clarified the problem, intervention (including specific activities), influencing factors, and desired outcomes, you can begin to put together a logic model. Figure 1 provides the basic components of a logic model – resources/inputs, activities, outputs, outcomes and impact – and the relationships between these components.

Figure 1. Basic Components of a Logic Model



Source: WK Kellogg Foundation, Logic Model Development Guide (2004).

1. **Resources**: What resources are available to your program? Include staffing, financial resources, organizational resources, and community resources. Which of these resources will your program specifically use? Conversely, consider what constraints might inhibit the success of your program. It might also be helpful to separate resources by the entities, stakeholders or organizations that are supplying them.

2. **Activities**: What products, services, and infrastructure changes will help your program achieve its goals? Activities connect resources with outputs and outcomes, and should be appropriate to the target population.

3. **Outputs**: What products or services will your program deliver? Describe types, levels, and implementation targets of deliverables.

4. **Outcomes**: What short-term and long-term outcomes do you expect to achieve for each activity? Examples might include changes in behavior, knowledge, skills, status, and function level. Identify outcomes that are specific, measurable, action-oriented, realistic, and time-bound (SMART).
    - **Goal outcomes should answer the WHO, WHAT, WHEN and WHY** – for example, instead of "Recruit more members" a goal outcome should state "By July 31st(WHEN), [program name] (WHO) will have enrolled 200% more individuals in [health care plan] (WHAT) to increase health care coverage for the target population (WHY)."

Source: University of Texas Southwestern Medical Center, The Logic of Planning: Using Logic Models for Membership Recruitment and Retention Participant's Manual (2006).

5. **Impact**: What are the expected long-term (7-10 years) impacts of the program, within your target population and/or the community at large?

Creating a Logic Model

There are three commonly recognized approaches to creating a logic model, all of which can be used by one program for different purposes or needs. Similarly, a program might use a blend of the approaches to address their evaluation needs. The WK Kellogg Foundation describes the three approaches in its Logic Model Development Guide:

1. Theory Approach

- This approach focuses on the conceptual aspects of the planning, primarily the reasons the project was initiated. These types of logic models emphasize the 'big picture' thoughts and ideas that provided rationale for the creation of the program.
- This logic model serves to provide the major assumptions of the program and reflects the HOW and WHY of the program over the WHAT and WHO.
- Most useful for justification to funders and stakeholders and initial stages of **program planning design**.

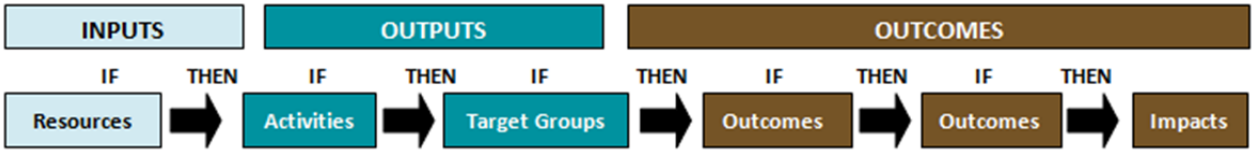
2. Outcomes Approach

- This approach concentrates on connecting resources and activities with the desired results of the plan, the 'nuts and bolts' of the program.
- Logic models with an outcomes approach generally separate steps out by impact over time, describing outcomes at short-term, intermediate and long-term periods.
- Most useful for **designing evaluation and reporting strategies**.

3. **Activities Approach**
    - This approach focuses on the implementation and process of the program. The detailed steps of what the program intends to do are highlighted.
    - Most useful for **informing and managing program planning activities**.

Although the focus of the logic model may differ depending on the goal of the project and the approach used, the logic model will require the same basic components described above. In constructing the logic model, conceptualizing resources, activities, outputs and outcomes in terms of IF-THEN statements, as displayed in Figure 2, may help clarify the relationships between these components.

Figure 2. Conceptualizing a Logic Model in Terms of IF-THEN Statements.



1. **Inputs**
    a. Certain resources are needed to operate your program
2. **Outputs**
    a. IF you have access to those resources, THEN you can implement your chosen activities (or strategies).
    b. IF you implement your activities, THEN you will produce a certain amount of intended product or service for the intended participants
3. **Outcomes**
    a. IF you produce the intended products or services, THEN your targeted population will benefit in short-term, intermediate-term, and long-term ways
    b. IF your target population benefits in the intended ways, THEN there might be impact in organizations, systems or communities that was expected.

It is often useful to keep the long-term outcomes for the program in mind. These long-term outcomes and impacts on the target populations are, after all, the justification for creating the program in the first place. Continued attention to the specific goal outcomes of the program ensures the focus remains on the target populations rather than on the program's processes. When identifying and clarifying outcomes, it may help to ask the following questions:

- Do these outcomes capture what the program aims to get done?
- Are we comfortable basing an evaluation of our effectiveness on these outcomes?
- Are there other things we should look at instead of these outcomes?
- Have we identified the population to be affected?

Source: United Way: Valley of the Sun United Way, Logic Model Handbook (2008).

It may also be more helpful to work "backwards," developing the intended outcomes and impacts of the program before identifying resources needed and moving forward through the model. This enables an organization to focus on desired outcomes, rather than on resources and constraints, and build a program suitable in scope to achieve those outcomes.

For example, you might work backwards by answering the following questions:

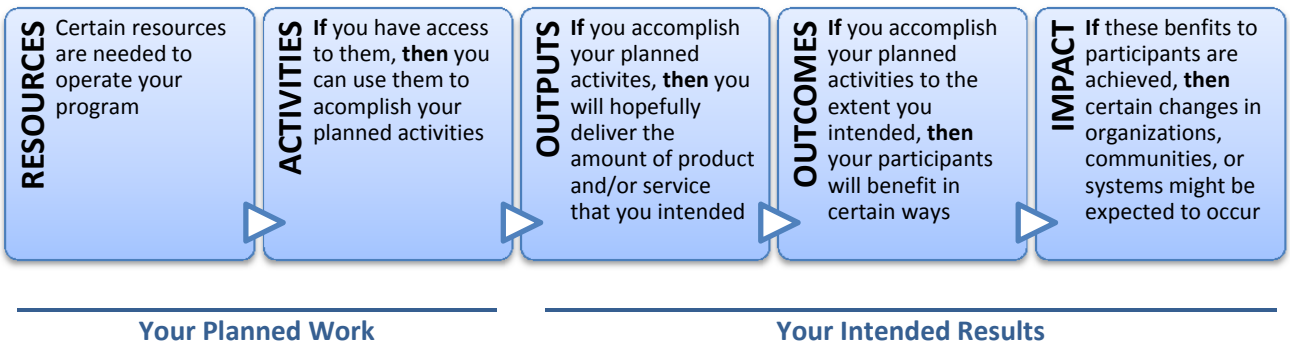
- Keeping your overall program goal statement in mind, in 4-6 years, how will you know when you accomplished it?
- In 3-5 years, how will you know you accomplished it?
- In 1-3 years, how will you know you accomplished it?
- Looking at your outcomes (the prior three answers), how much service or product will be needed to accomplish those outcomes?
- Considering those outputs, what strategies or activities will produce those outputs?
- What resources will you need to implement those strategies or activities?

Source: Logic Model Magic: Using Logic Models for DASH Program Planning & Evaluation.

Using Your Logic Model

Once an organization has a logic model for its program, it can attach the model to a timeline, which further enables process accountability and evaluation. A logic model can be "read" by assuming the logical if-then relationship between the components as demonstrated in Figure 3.

Figure 3. How to Read a Logic Model



Source: WK Kellogg Foundation, Logic Model Development Guide (2004).

Logic models are useful both at the beginning stage of a project during program planning and while a project is in progress or has been completed in order to evaluate its impact.

Logic models contribute to effective program planning by:

- providing a clear overview of the program, which in turn promotes common understanding and vision between stakeholders and team members;

- demonstrating how a program's strategies contribute to the achievement of intended goals and objectives;
- identifying gaps and inconsistencies within a program, such as objectives that are not being met, or activities that are not contributing to specific objectives;
- identifying key indicators of success early in the development of a program so data collection can be built into the program infrastructure;
- providing an effective communication tool that helps new stakeholders or potential sponsors to understand a program; and
- involving stakeholders in program planning (through the collective development of a logic model).

Logic models also guide the development of program evaluations by:

- matching activities with associated objectives and indicators of success, logic models provide a useful blueprint or template for evaluation design;
- serving as a resource for evaluability assessment, the process of determining if a program is ready to be evaluated. For example, a program may not be ready for evaluation if there is no clear relationship between its activities and objectives;
- showing sponsors how specific program activities contribute to the achievement of program goals and objectives, logic models are a useful way of demonstrating accountability to program sponsors; and
- Providing a useful starting point for engaging stakeholders in participatory evaluations.

Source: The Health Communication Unit, Logic Models Workbook Version 6.1 (2001).

Targeted Technical Assistance

This memo provides an overview of the general principles, concepts and uses related to logic models. Given the varying size and scope of the individual SHAP projects, states may choose to create one logic model or multiple models that correspond to different components of their SHAP work. In addition, depending on composition of stakeholder groups, the model may need to be more or less detailed**.** SHADAC is available to consult with states one-on-one to review their logic model concepts and to assist with logic model development.

References

WK Kellogg Foundation, Logic Model Development Guide(2004). Available at http://ww2.wkkf.org/DesktopModules/WKF.00_DmaSupport/ViewDoc.aspx?fld=PDFFile&CID=281&ListID=28&ItemID=2813669&LanguageID=0.

University of Texas Southwestern Medical Center, The Logic of Planning: Using Logic Models for Membership Recruitment and Retention Participant's Manual (2006). Available at http://www.utsouthwestern.edu/vgn/images/portal/cit_56417/19/60/205407Recruitmentretention_partman.pdf.

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The Health Communication Unit, Logic Models Workbook Version 6.1 (2001). Available at http://www.thcu.ca/infoandresources/publications/logicmodel.wkbk.v6.1.full.aug27.pdf.

Additional Resources

Centers for Disease Control and Prevention, Evaluation Brief: Aligning a Logic Model with a Strategic Plan (2009). Available at http://www.cdc.gov/healthyyouth/evaluation/pdf/brief8.pdf.

Department of Health and Human Services: Administration for Children and Families, Creating and Using the Logic Model for Performance Management (Updated 2010). Available at http://www.acf.hhs.gov/programs/cse/grants/resources/logic_model/section1.html.

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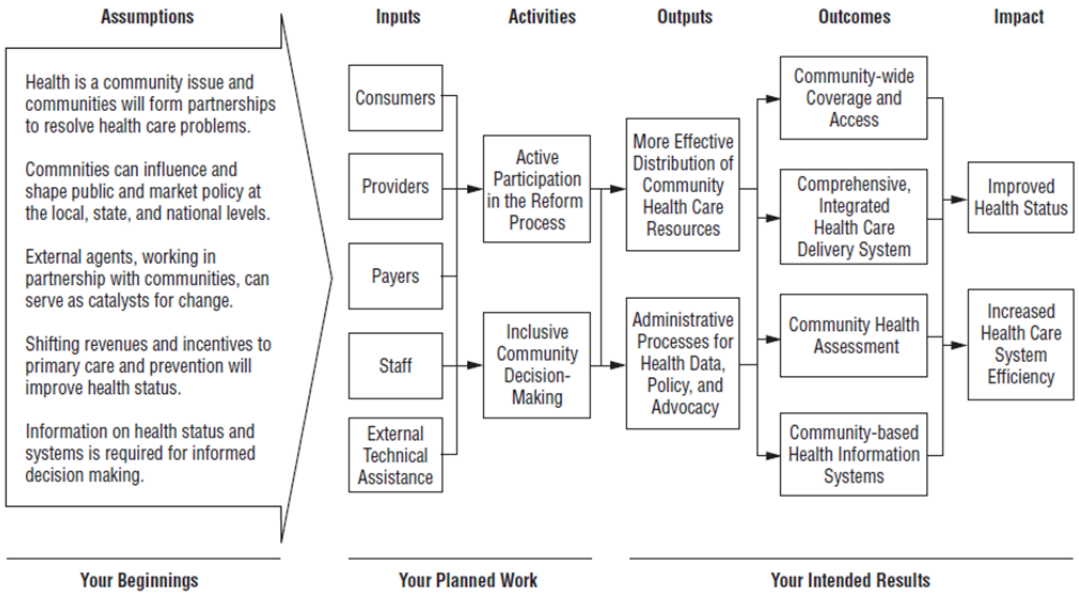
University of Idaho Extension, The Logic Model for Program Planning and Evaluation. Available at http://www.uiweb.uidaho.edu/extension/LogicModel.pdf.

University of Wisconsin – Extension , Enhancing Program Performance with Logic Models (2010). Available at http://www.uwex.edu/ces/pdande/evaluation/pdf/lmcourseall.pdf.

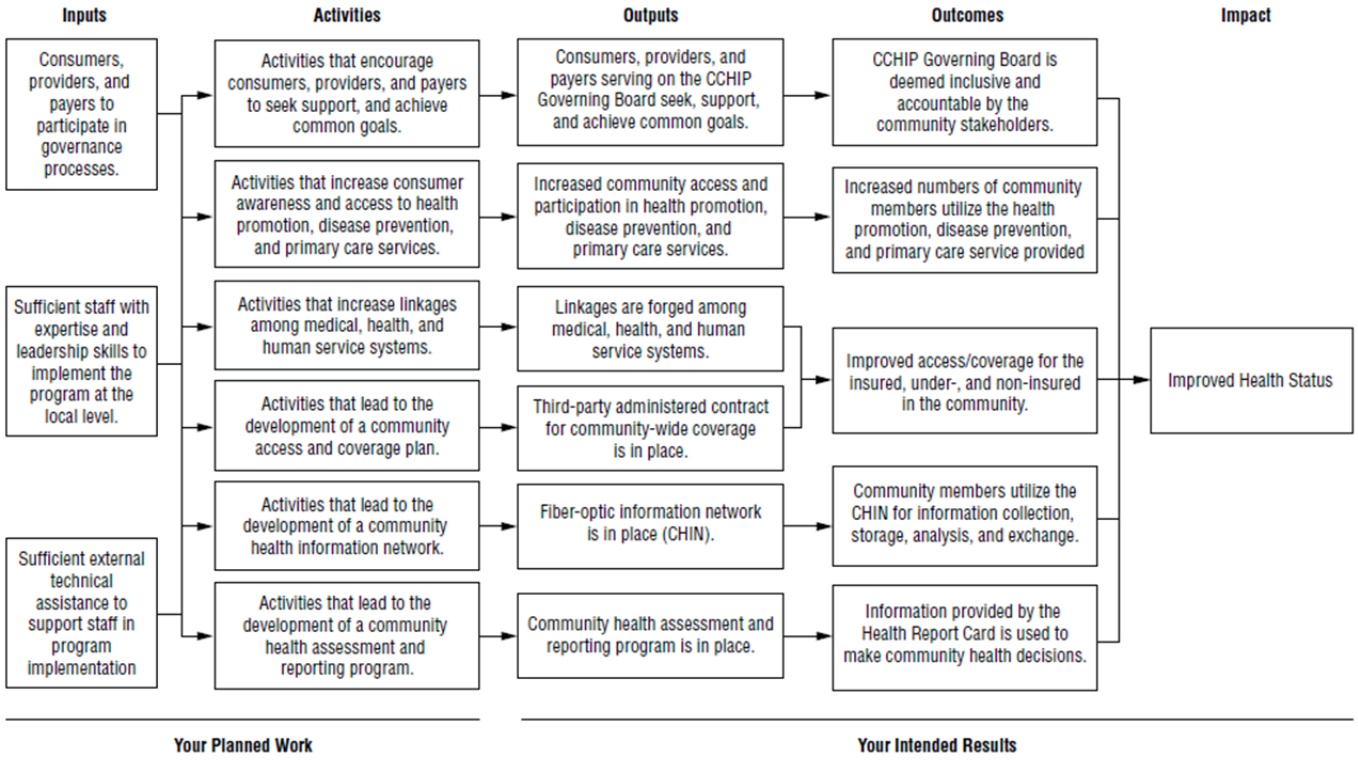
Appendix. Examples of Logic Model Approaches

Figure A1. Example of Theory Approach Logic Model – adapted from WK Kellogg Foundation's Comprehensive Community Health Models of Michigan



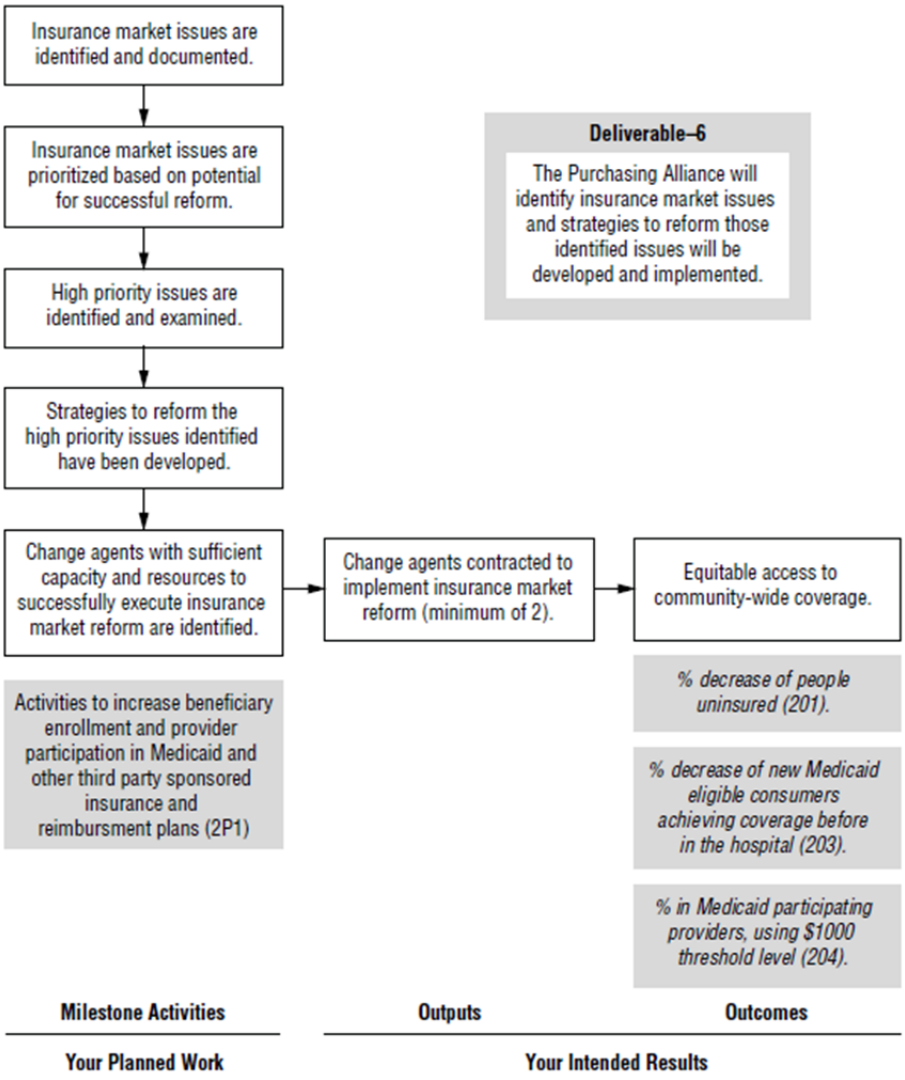
Source: WK Kellogg Foundation, Logic Model Development Guide (2004).

Figure A2. Example of Outcomes Approach Logic Model – from the Calhoun County Health Improvement Program (WKKF)



Source: WK Kellogg Foundation, Logic Model Development Guide (2004).

Figure A3. Example of Activities Approach Logic Model – from Calhoun County Health Improvement Program (WKKF)



Source: WK Kellogg Foundation, Logic Model Development Guide (2004).