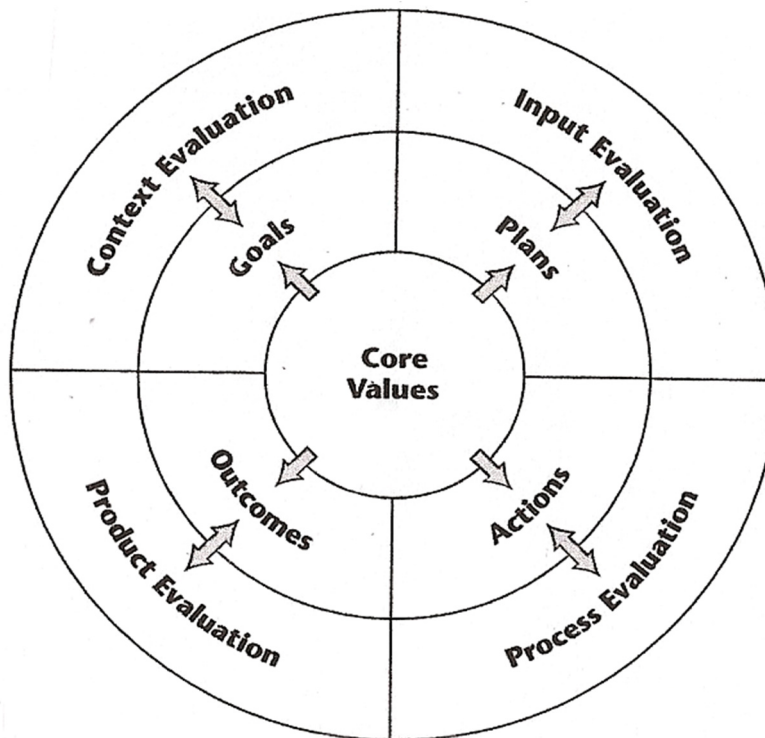




CIPP Evaluation Model Checklist: A Tool for Applying the CIPP Model to Assess Projects and Programs

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Unpacking the following model:



The CIPP Evaluation Model is a comprehensive framework for guiding evaluations of programs, projects, personnel, products, institutions, and systems. This checklist draws together lessons learned by many evaluators and clients in applying the CIPP Model over many years. It is a tool for evaluators and client groups to use in cooperative evaluative efforts. Checkpoints provide direction for launching and executing a sound, practical evaluation and assuring that findings will be applied in processes of program improvement and accountability. The entire checklist is directed to helping evaluators and clients meet accredited standards of the evaluation profession. For details on the CIPP Model, see Stufflebeam and Zhang (2017).

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Overview

This checklist is patterned after the CIPP Evaluation Model, a comprehensive framework for guiding evaluations of programs, projects, personnel, products, institutions, and systems. The model was created to help school districts, state education departments, research and development centers, and the federal government to assess projects in the U.S. War on Poverty of the 1960s and 70s. Over the years the model has been widely applied and further developed. This checklist draws together lessons learned by many evaluators and clients in applying the CIPP Model. The checklist was designed for use in evaluating programs, particularly those aimed at effecting long-term, sustainable improvements, but also applies to evaluations of short term projects. It is a tool for evaluators and client groups (especially an organization’s administrators and staff) to use in cooperative evaluative efforts. Checkpoints provide direction for launching and executing a sound, practical evaluation and assuring that findings will be applied in processes of program improvement and accountability. The checkpoints also identify pitfalls to anticipate and avoid in program evaluations. The entire checklist is directed to helping evaluators and clients meet accredited standards of the evaluation profession.

Background of the Checklist. This checklist is based on a wide range of program evaluations, including many conducted by the Western Michigan University Evaluation Center. Especially, the checklist reflects the Evaluation Center’s 1994-2002 evaluation of Consuelo Foundation’s values-based, self-help housing and community development program—named Ke Aka Ho ’ona—for low-income families on Hawaii’s Waianae Coast. Checklist content related to effective client involvement in evaluation directly reflects the evaluation-oriented leadership provided by highly placed general officers of the U.S. Marine Corps in commissioning and using an Evaluation Center evaluation to reform the Corps’ system for evaluating officers and enlisted personnel. Other evaluation experiences that helped inform this checklist were in such areas as school improvement, science and mathematics education, continuing medical education, distance education, transition to work, training and personnel development, rural education, educational research and development, achievement testing, state and national systems of educational accountability, welfare reform, nonprofit organization services, community and economic development, community-based youth programs, community foundations, personnel evaluation systems, and technology.

Evaluation Defined. Evaluation is the systematic process of delineating, obtaining, reporting, and applying descriptive and judgmental information about some object's quality, cost-effectiveness, probity, feasibility, safety, equity, and significance. The result of an evaluation process is an evaluation as product. Main uses of evaluations are to guide and strengthen enterprises, issue accountability reports, help disseminate effective practices, record and preserve lessons learned for organizational improvement, and, as appropriate, make decision makers, stakeholders, and consumers aware of enterprises that proved unworthy of further use. Evaluation is a ubiquitous process that applies across national boundaries and to all disciplines and service areas.

Core Concepts of the CIPP Model. Corresponding to the letters in the acronym CIPP, this model's core parts are context, input, process, and product evaluation. Proactively, these 4 evaluation parts ask, What needs to be done? How should it be done? Is it being done? Is it succeeding? Retrospectively, the four parts ask, Was the program keyed to clear goals based on assessed beneficiary needs? Were the targeted needs addressed by a sound, responsive plan? Was the program's plan effectively implemented? Did the program succeed?

In this checklist, the "Did the program succeed?" (i.e., retrospective product evaluation) part is divided into impact, effectiveness, sustainability, and transportability assessments. Respectively, these four product evaluation subparts ask, Were the right beneficiaries reached? Were their needs met? Were the gains for the beneficiaries sustained? Did the processes that produced the gains prove transportable and adaptable for effective use in other settings?

Purposes of the Checklist. The checklist's main purposes are to: (1) help evaluators and clients plan and contract for sound evaluations; (2) help the evaluators and client groups cooperate in carrying out evaluation plans; (3) assure that the evaluation will generate timely reports that assist the client group to plan, carry out, institutionalize, and/or disseminate effective services to targeted beneficiaries; (4) help the evaluator review and assess an enterprise's history and issue a summative evaluation report keyed to bottom-line criteria, including its quality, cost-effectiveness, probity, feasibility, safety, equity, significance, and lessons learned; (5) help assure that clients and other program/project stakeholders will make effective use of the evaluation's findings, especially for purposes of program improvement and accountability; and (6) throughout the evaluation, help the evaluator and client group anticipate and avoid pitfalls that could impair the evaluation's success.

Components of the Checklist. This checklist has 12 components. The first two—contractual agreements to guide an evaluation and budgeting the evaluation—are followed by context, input, process, impact, effectiveness, sustainability, and transportability evaluation components. The last three are metaevaluation (evaluation of an evaluation), feedback workshops, and the final synthesis report. Contracting and budgeting for the evaluation are done at the evaluation's outset and subsequently updated as needed. The 7 CIPP components may be employed selectively and in different sequences and often simultaneously, depending on the needs of particular evaluations. The checklist's final 3 components provide concrete advice for assessing the evaluation, reporting interim findings, and producing the final summative evaluation report. In addition to the 12 components, Appendix C contains a generic checklist for use by evaluators when fleshing out specific evaluation plans.

Client/Stakeholder Participation. Beyond guiding the evaluator’s work, the checklist gives specific advice for evaluation clients. For each evaluation component, the checklist provides checkpoints on the left for evaluators and associated checkpoints on the right for evaluation clients. The checkpoints for clients (and other stakeholders) reflect the fact that an effective, useful evaluation depends on cooperation between the evaluator and client, plus appropriate engagement by the broader group of program stakeholders. (It is well established that stakeholders are more likely to buy into, contribute to, and make use of a change process—including an evaluation process—if they are meaningfully involved in planning, carrying out, and assessing that process.) It is in the client group’s interest to facilitate the evaluator’s collection of needed information, apprise the evaluator of possible factual errors or areas of ambiguity in draft reports, actively participate in feedback sessions, and study and apply findings as appropriate. Often the client group should secure an independent assessment of the evaluation (i.e., an independent metaevaluation) to assure and assess its soundness and, as appropriate, convince potentially skeptical parties to trust and use the findings of a sound evaluation. While appropriately engaging stakeholders in the evaluation process, the evaluator must also maintain independence in rendering judgments, writing conclusions, and finalizing reports.

Contracting for the Evaluation. In planning and contracting for an evaluation, the evaluator and client need to deliberate and reach agreement on which CIPP components should be included in the evaluation. They should also agree on whether the evaluation should be formative (i.e., proactive), summative (i.e., retrospective), or both. They need to agree on the many other matters that are enumerated in the contract section of the checklist. The evaluator should record the agreements in the form of a contract or memorandum of agreement and both parties should sign and date the instrument of agreement

Evaluation Design. An evaluation design is the scheme—such as is embodied in the CIPP Model—that lays out general processes for determining a program'sⁱ value plus specific plans for assessing its context, inputs, process, and products. Each specific plan delineates the methods and schedule for collecting, analyzing, and reporting the needed quantitative and qualitative information. In the aggregate, the overall evaluation plan provides directions for synthesizing the broad range of evaluation findings to reach justified conclusions about the program in such terms as quality, worth, efficiency, probity, feasibility, safety, equity, and significance. Initially, an evaluation design is preordinate and proactive in specifying the methodological decisions to be carried out. However, typically the design evolves as a consequence of interim findings, evolving client needs, and responsive evaluation planning. Different specific evaluation plans can and should draw from a wide range of inquiry methods; examples include, among others, survey, case study, success case method, randomized field trial, quasi-experimental design, goal-free studies,ⁱⁱ time series study, meta-analysis, correlation study, predictive study, cost analysis, advocate teams, advocacy-adversary study, anthropological study, archival study, literature review, Delphi study, and value-added assessment. In general, field-based evaluations need to employ a mixed methods approach including both quantitative and qualitative methods. To consider the possible contents of a detailed evaluation design, see Appendix C: A Generic Checklist for Designing Evaluations.

Collecting Information. In preparing the data collection plan, the evaluator should take into account any sound evaluative information the clients/stakeholders already have or can obtain from other sources. CIPP evaluations should complement rather than supplant other defensible evaluations of an entity. The evaluator should acquire both quantitative and qualitative information. Applicable information collection techniques include, among others, site visits, interviews, questionnaires, attitude scales, logs/diaries, on-site observations, public forums, focus groups, document/records analyses, photographic records, rating scales, knowledge tests, and self-assessment devices.

Analysis and Synthesis of Evaluation Findings. To answer an evaluation's questions and judge a program's value, the evaluators need to proceed beyond the collection of information and work through subsequent processes of analyzing and synthesizing the obtained quantitative and qualitative information. Analysis involves identifying and assessing the constituent elements of each set of obtained information and their interrelationships in order to clarify the information's dependability and meaning for answering particular questions. Synthesis involves combining analysis findings across information collection procedures and devices in order to discern their validity and aggregate meaning for answering the audience's bottom-line questions and judging the subject program or project. Analysis and synthesis processes are dependent on and party to the other evaluation processes—design, collection of information, and reporting—and should be considered and planned throughout the entire evaluation process. Often, the analysis process begins as an exploratory investigation of a data set then proceeds to a more formal examination of the data. Techniques for analyzing quantitative information include, among others, frequency counts, percentages, pie charts, bar graphs, means and medians, variances, standard deviations, correlations, multiple regression, t-tests, chi-square tests, analysis of variance, analysis of covariance, a posteriori significance tests, tests of practical significance, value-added analysis, cost-utility analysis, time-series analysis, cluster analysis, and effect parameter analysis. In analyzing quantitative information, evaluators should regularly look at variations as well as central tendencies. Approaches to analyzing qualitative information include, among others, reading and annotating text, identifying categories of needs or outcomes, content analysis, inductive analysis, identifying themes, holistic analysis, case analysis, historical analysis, environmental analysis, identifying issues, and political analysis. To reach bottom-line conclusions, evaluators need to combine the study's values base, information, and quantitative and qualitative analyses into a unified, defensible set of conclusions. The synthesis component is a highly challenging activity. It requires grounding in the obtained information, focusing on the evaluation's bottom-line questions, reference to the full set of analyses, rigorous application of logic and justifiable decision rules, creativity in conceptualizing pertinent judgments, and proficiency in communicating clear, substantiated, and properly qualified judgments.

Metaevaluation. For purposes of this checklist, metaevaluation is the process of delineating, obtaining, and applying descriptive and judgmental information—about the utility, feasibility, propriety, accuracy, and accountability of an evaluation—to guide the evaluation and report its strengths and weaknesses.ⁱⁱⁱ Evaluators should conduct and use feedback from an internal metaevaluation throughout an evaluation process to help assure the evaluation's success. They should also advise the client to obtain an independent assessment of the evaluation (by means of either a contracted external metaevaluation or an assessment by a specially appointed metaevaluation committee). At the evaluation's conclusion,

evaluators should include in their final report their attestation of the extent to which applicable criteria for a sound evaluation were met. Evaluation clients should use metaevaluation reports to assess the evaluator's plans, performance, and reports and to help the evaluation's audience decide on the evaluation's credibility and worthiness for use.

Criteria for Assessing Programs and Projects. The concept of evaluation underlying the CIPP Model and this checklist is that evaluations should assess and report on an appropriate set of pre-defined criteria. Such criteria include: quality (i.e., the program's excellence), cost-effectiveness (its value based on its costs compared to its success in meeting needs of targeted beneficiaries), probity (its integrity, honesty, and freedom from graft, fraud, and abuse), feasibility (its efficiency, political viability, relative ease of implementation, and adequacy of funding), safety (its freedom from unduly exposing program participants to harm), equity (its affirmative and reasonable conformance to principles of justice, freedom, equal opportunity, and fairness for all involved individuals without imposing bias, favoritism, or undue hardships on anyone), and significance (its importance beyond the entity's setting or time frame). In some evaluations, not all of the above criteria will apply, e.g., significance. However, the evaluator and client should carefully deliberate to assure that all of the applicable criteria from the above list will be made a part of the evaluation contract and applied. Final evaluation reports also should identify key lessons learned, including mistakes that should be avoided in future programming and gains that could apply to future organizational improvement efforts.

Criteria for Assessing Evaluations. CIPP evaluations and applications of this checklist should meet metaevaluation criteria based on the Joint Committee (2011) Program Evaluation Standards. The main categories of metaevaluation standards employed in this checklist are utility, feasibility, propriety, accuracy, and evaluator accountability. See note 4 for a consideration that standards beyond those of the Joint Committee may be appropriately applied in some evaluations and note 5 for a detailed list of metaevaluation criteria associated with the Joint Committee Program Evaluation Standards.^{iv}

Reporting Evaluation Findings. Timely communication of relevant evaluation findings to the client and right-to-know audiences is another key theme of this checklist. Pursuant to the evaluation audience's needs for evaluative feedback, periodically findings from the different evaluation components should be drawn together and delivered in interim reports. Ultimately, the evaluator should supply the client group with a comprehensive, summative evaluation report (unless the evaluation contract does not call for one).

Feedback Workshops. Usually, reports should be delivered and deliberated in a feedback workshop. As jointly defined by the evaluator and client, the workshop should be organized to meet clear objectives, follow a written agenda, and be chaired by either the client or the evaluator. In preparing for each workshop, the evaluator should send the draft report to the client (or designated representative) about 10 days prior to the feedback workshop.^v At the workshop the evaluator should use visual aids, e.g., a PowerPoint presentation, to brief the client, staff, and other members of the audience. (It is often functional to provide each workshop participant with a copy of the visual aids for taking notes and their subsequent use in reporting to members of their boards or other stakeholder groups on the most recent evaluation findings.) Those present at the feedback workshop should be invited to raise questions,

discuss and critique the findings, and apply them as they choose. At the workshop's end, the workshop chair should invite each participant to state what they consider to be the meeting's most important point, and then summarize what the meeting accomplished. Subsequently, the evaluator should summarize the evaluation's planned next steps and future reports; arrange for needed assistance from the client group, especially in data collection; and inquire whether any changes in the data collection and reporting plans and schedule would make future evaluation services more credible and useful. Following the feedback workshop, the evaluator should summarize the meeting's objectives, proceedings, and main outcomes; finalize the evaluation report(s), including correcting any factual errors and addressing any areas of ambiguity; update the evaluation plan and schedule as appropriate; and transmit to the client the meeting summary, the finalized report, and any revised evaluation reports, plans, and schedule.

The Final Report. Most evaluations culminate in a final report. Mainly, such a report should document the evaluation's purpose and approach, describe the subject program, and judge the program. The report should be organized to best serve the interests and needs of what often is a diverse audience and thus should be organized to allow different segments of the audience to quickly access the parts of the report that most interest them. For example, the main report could be organized as follows: Executive Summary, Introduction (including key evaluation questions and the general evaluation approach), Background of the Assessed Program (including its genesis and context, plus a photographic reprise), Program Operations (including beneficiaries, staff, cost, procedures, and activities, plus a photographic reprise), and Evaluation Results (including evaluation design, findings, conclusions, and recommendations, plus a photographic reprise). A backup technical report should include such items as the contract for the evaluation, a review of relevant literature (including similar evaluations and pertinent doctoral dissertations), copies of evaluation instruments, detailed results for each employed evaluation instrument, information on the validity and reliability of the employed evaluation tools, copies of interim reports, costs of the evaluation, the evaluators' vitae, a summary of the standards that guided the evaluation, the evaluators' attestation of the evaluation's adherence to professional standards for sound evaluation, a completed copy of this CIPP Evaluation Model Checklist, and the client's response to the evaluation.

Need for Evaluator Independence in the Face of Evaluator/Client Cooperation. Almost all program evaluations depend on some level of client involvement, if only to provide access to program records for the evaluator's examination and program personnel for interviews. However, as seen in the checklist's evaluator and client columns of checkpoints below, an evaluation's success depends on the correct execution of a wide array of evaluator and client responsibilities. In most evaluations, evaluators and clients need to communicate and cooperate effectively as they define, sort, and carry out their individual and joint evaluation responsibilities. While cooperating with the client in conducting the evaluation, the evaluator must also maintain an independent perspective and exercise the authority required to collect needed information and issue sound, credible reports. For the evaluator, these conditions are imperative to delivering an unvarnished, unbiased assessment of the program and getting the results out to the right-to-know audiences. From the client's standpoint, maintaining the evaluator's

independence is essential both to obtain a frank, honest program evaluation and assure that stakeholders will view the findings as credible.

Suggestions for Applying the Checklist. Because this checklist is a tool for clients and evaluation specialists, both parties are advised to study and apply this checklist. Moreover, throughout the evaluation process, the evaluator, client, and pertinent program stakeholders should communicate as needed to assure the evaluation's integrity, soundness, utility, and impact. As needed, the evaluator and client should supplement their understanding of the checklist by consulting the related resources identified below and in the appendix. In individual evaluation cases, either party may initiate the use of the checklist. At a general level, the evaluator and client should review and discuss the relevant sets of checkpoints to develop a mutual understanding of their individual and joint evaluation responsibilities. As they proceed to address particular parts of the evaluation process, they should consult and apply the pertinent checklist component, as needed. In this respect, each checklist component is a distinct, individual checklist that provides guidance for the involved part of evaluation, e.g., contractual agreements, input evaluation, effectiveness evaluation, or metaevaluation. To facilitate selective use of the checklist's 12 components, each one has been configured to be self-contained, the price of which is some redundancy from component to component. It cannot be overemphasized that, in almost all evaluations, the evaluator and client should communicate, as needed, throughout the entire evaluation process. They should do so to secure a sound evaluation that contributes effectively to program improvement and accountability and other intended beneficial uses of findings.

Documentation. The checklist is intended as a set of reminders, especially to facilitate productive exchange and planning between the evaluator and client. It is designed as an organized listing of potentially important items that might or might not apply in given evaluations. The checklist is not intended for regimented, mechanical application. Nevertheless, those evaluators (and clients) who desire to maintain a record of having considered and addressed the checkpoints could simply mark relevant codes next to each considered checkpoint. Such codes might consist of a + (if relevant and addressed), a - (if relevant but not addressed), and an NA (if not applicable to the particular evaluation). Items not yet considered could be left blank. Depending on the interests of the study's client and other stakeholders, the evaluator might include such a completed checklist in the study's technical report. Also, the metaevaluator can display the record of assigning +, -, and ? in a table with 30 rows representing the 30 standards and 3 columns, headed +, -, and ?; each column total, in such a table, should show the percentage of the 30 standards that were marked +, -, or ?.

Evaluation Client as Evaluation-Oriented Leader. A supplementary motive for issuing this checklist is to promote and support the role of evaluation client as evaluation-oriented leader. Evaluation-oriented leadership is one of society's most important roles. The role is embodied in evaluation clients who acquire a sound concept of evaluation; gain a commitment to secure useful, valid evaluations; develop skills for carrying out client responsibilities in evaluations; exercise leadership in helping stakeholders understand and value sound evaluation; take the initiative in obtaining needed evaluation services; and help assure that contracted evaluations are accurate, ethical, useful, and applied. The most important outcomes of exercising evaluation-oriented leadership are program improvement,

accountability, credibility, and, overall, assurance that targeted beneficiaries receive effective, reasonably priced, accountable services. Evaluation-oriented leadership is needed in a wide range of public and professional fields. These include school administration, public administration, legislative leadership, military leadership, health care, philanthropy, business, social services, financial services, agriculture, food services, transportation, construction, tourism, hotel and restaurant management, public media, community and economic development, technology, research, manufacturing, etc. It is hoped this checklist will encourage and assist leaders in the wide array of public and professional service areas to conceptualize the sound practice of evaluation, gain a commitment to and confidence in leading and supporting efforts to evaluate programs and services, communicate and cooperate effectively with evaluators, and educate and assist constituents to make sound use of evaluation. Overall, this checklist is grounded in the principle that securing and using systematic evaluation is among a leader's most important responsibilities, because valid evaluation is essential to help assure a program's quality, integrity, safety, cost-effectiveness, accountability, and credibility.

Stakeholder Review Panels. A particularly important tool for use by the evaluation-oriented leader and the evaluator is the stakeholder review panel. Such a panel includes representatives of the different segments of the evaluation's audience. The panel's role is both to review and provide critical reactions to draft evaluation designs, schedules, instruments, reports, dissemination plans, follow-up plans, and the like and to make informed use of evaluation findings. Such a panel is an ideal group for participating in the feedback workshops described above and referenced throughout the checklist. The panel should be engaged to assess the draft evaluation materials for clarity, relevance, importance, and utility. The panel should be labeled a review panel, not an advisory panel or a steering committee. A role of providing critical reviews is within the capabilities of a wide range of stakeholders. It is also a vitally important formative metaevaluation role for giving feedback to the evaluator for use in strengthening the evaluation's plans and operations. However, such a group typically lacks, within its membership, sufficient capability to suggest how deficiencies in evaluation materials should best be overcome. Also, because they do not have ultimate responsibility for the evaluation's success, they should not be accorded authority over its design and execution. Steering the technical aspects of an evaluation is in the evaluator's sphere of expertise, responsibility, and authority for delivering an independent evaluation. The evaluator must not give away this role to the stakeholder panel. While the evaluator should be open to suggestions from the review panel, he or she should emphasize that the panel's role in giving feedback on the evaluation is to critique, not engineer evaluation activities. Following this approach, the evaluator can receive possibly contradictory critiques from different stakeholders with different points of view and assess and use these inputs on their merits. Finally, it is important to emphasize that involvement of stakeholders in a review panel is a powerful means of assuring that stakeholders will study, assess, make prudent use of the evaluation's findings, and help encourage others to use the findings.

The Checklist and Doctoral Dissertations. Many doctoral students have employed the CIPP Model as the framework for their doctoral dissertations. This CIPP Evaluation Model Checklist is potentially useful in completing such dissertations. In such uses, a two-step process is recommended. First, employ the checklist to plan, conduct, and report a sound evaluation aimed basically at assessing the program's value, answering the client group's evaluative questions, serving the client group's intended uses of

findings, and meeting the standards of the evaluation profession, e.g., utility, feasibility, propriety, accuracy, and accountability. Second, characterize and assess the completed evaluation within the general structure of a doctoral dissertation. While dissertations appropriately may be structured according to different outlines, the following is offered as a generic outline for dissertations based on applications of the CIPP Model and this checklist.

- **Executive Summary**
- **Introduction** (the evaluation's purpose, client group, key questions, intended uses, and negotiated agreement; professional standards that were followed; and safeguards for the rights of evaluation participants)
- **Review of Relevant Literature** (citing and assessing similar studies, pertinent publications, and relevant rules and laws)
- **Evaluation Framework** (a characterization of the CIPP Evaluation Model and how it was adapted for use in the dissertation)
- **Evaluation Methodology** (use of the CIPP Checklist plus explanations of stakeholder engagement, data sources, sampling procedures, measurement tools, analysis procedures, synthesis procedures, and reporting methods)
- **Evaluation Findings** (findings—as applicable—for the program's context, inputs, process, impacts, effectiveness, sustainability, and transportability)
- **Conclusions** (assessments—as applicable—of the program's quality, cost-effectiveness, probity, feasibility, equity, safety, and significance plus responses to the client group's key evaluation questions)
- **Impacts of the Evaluation** (documentation of how the evaluation findings were used and with what effect)
- **Metaevaluation** (the evaluator's attestation of the evaluation's adherence (or not) to the evaluation profession's standards, summary of an external assessment of the evaluation if the client obtained one, and—if provided—the client's response to the evaluation)
- **References**
- **Appendix** (such items as the contract or memorandum of agreement for the evaluation, human subject review board approval, key evaluation instruments, data tables, information on the validity and reliability of the employed evaluation tools, list of interim reports, costs of the evaluation, the evaluator's résumé, membership of the evaluation review panel (if one was engaged), summary of the standards or metaevaluation criteria that guided the evaluation, and a copy of this completed CIPP Evaluation Model Checklist)

The Checklist and Published Journal Articles, Monographs, or Books. Typically, evaluations are proprietary, with reports being delivered only to the client and pre-sanctioned members of a defined audience. However, some evaluations have wide ranging significance and accordingly are worthy of publication in pertinent professional journals, a monograph, or even a book. When this is so, the client may authorize the evaluator to prepare an article or other form of publication based on the evaluation

and to submit it for publication. Such a publication authorization should be stated in the original contract for the evaluation or based on written client-evaluator agreements reached later in the evaluation process. The evaluator must not publish an article or other piece based on a contracted evaluation absent an explicit agreement with the client to do so. In preparing an authorized publication, the evaluator must adhere to contractual agreements governing the evaluation, especially any guarantees to evaluation participants of anonymity or confidentiality. Also, the evaluator must retain authority to edit the authorized publication's contents and to deliver the article, as written, to the selected source of publication. In other words, the evaluator should not give the client or anyone else the power to veto or edit the authorized publication. However, it is appropriate for the evaluator to invite the client to append to the publication his or her reaction to it. Overall, such a publication must adhere to the professional standards for evaluations that governed the study and to the contractual agreements for the evaluation.

As with dissertations, publications based on completed evaluations appropriately may be structured according to different outlines. The following outline is offered as a generic scheme for crafting journal articles based on a completed evaluation that employed the CIPP Evaluation Model Checklist.

- **Abstract**
- **Introduction and Background** (e.g., genesis of the evaluation, client and intended users, key questions, intended uses of findings, the evaluator, the evaluation time frame, and the guiding contract)
- **Description of the Program** (e.g., location, environment, history, objectives, beneficiaries, procedures, staff, and resources)
- **Evaluation Approach** (e.g., summary of the CIPP Evaluation Model and, as applicable, how it was adapted for use in this evaluation)
- **Evaluation Procedures** (stakeholder engagement, data sources and samples, data collection tools and process, analysis, and synthesis)
- **Evaluation Reporting** (interim reports, feedback workshops, the final report, and—as applicable—spin-off communications)
- **Evaluation Findings** (e.g., assessments, as applicable, of the program's context, inputs, implementation, main effects, side effects, and costs)
- **Conclusions** (judgments—as applicable—of the program's quality, cost-effectiveness, feasibility, probity, safety, and significance, plus responses to the client group's key evaluation questions)
- **Evaluation Impacts** (e.g., documentation of resultant program decisions, funding decisions, policy changes, lessons learned, and spin-off effects at other sites)
- **Metaevaluation** (evaluator's attestation of the evaluation's adherence to standards of the evaluation profession, plus reference to any independent metaevaluation)
- **Summary**
- **References**

- **Client’s Response to the Evaluation** (provided the client desires or is willing to have her or his assessment of the evaluation appended to the article)

Related Resources. For additional information about the CIPP Model, please consult the references and related checklists listed at the checklist’s end. Additional checklists with relevance to the design, execution, reporting, and assessment of evaluations are referenced in Appendix A. The CIPP Model’s background of development is summarized in Appendix B. As noted above, Appendix C contains a detailed checklist of items to consider when developing specific evaluation plans.

The Checklist

1. Contractual Agreements

CIPP evaluations should be grounded in explicit, printed advance agreements with the client, and these should be updated as needed throughout the evaluation.

Evaluator Activities—Assuring Integrity and Viability

- Clearly identify the evaluation’s client, right-to-know audiences, and financial sponsor (if different from the client).
- Document the evaluation assignment: program to be evaluated, purpose, intended users, intended uses, key questions, pertinent types of evaluation (context, inputs, process, product), values and criteria for judgment, and time frame.
- Identify the standards to be used in guiding and assessing the evaluation, e.g., utility, feasibility, propriety, accuracy, and evaluator accountability.
- Record agreements assuring that the needed information (as jointly defined by the evaluator and client) can be obtained.
- Define safeguards to protect the rights of human subjects and those who provide information for the evaluation, including, as

Client/Stakeholder Activities—Acquiring Needed Evaluations and Protecting Institutional Interest

- Engage a potential evaluator in discussing the need for a contracted evaluation study.
- Clarify with the evaluator what is to be evaluated, for what purpose, according to what criteria, and for which audiences.
- Reach agreement with the evaluator on standards for judging the evaluation.
- Discuss with the evaluator what information—from printed and human sources—is appropriate to the evaluation and available for collection.
- Make clear to the evaluator the organization’s policies and procedures for maintaining security of information and protecting the

appropriate, evaluation participants' informed consents and the written approval by the pertinent human subjects review board.

- Define the general process and schedule for collecting needed information, including a commitment to minimize disruption to the organization.
- Identify procedures for checking the accuracy of obtained information and correcting detected deficiencies, especially proofing and cross-checking recorded and coded data.
- Indicate, in general terms, what quantitative and qualitative analyses will be employed to assess the program, e.g., statistical summaries and significance tests and content analyses.
- Identify, in general terms, the audience(s) for and nature, contents, and approximate required timing of the final summative evaluation report (plus any derivative, targeted special reports).
- Identify, in general terms, the audiences to receive reports; the nature, general contents, and timing of interim evaluation reports; and the participants, agenda, and timing of feedback workshops.
- Record agreements with the client to protect the integrity of the reporting process, including the evaluator's authority to edit reports plus assurances that reports will be delivered to all agreed-upon audiences.
- Describe the approved channels for communication with and assistance from the client and other stakeholders.
- Record agreements on the evaluation's timeline, who will carry out the evaluation responsibilities, and arrangements for

rights of participants in the evaluation.

- Clarify how the client group will facilitate the collection of needed information. Also, help the evaluator schedule information collection activities so as to minimize disruption to the organization.
- Inform the evaluator about the organization's procedures for assuring the accuracy of reports and records that might be used in the evaluation.
- React to the evaluator's plans for analyzing information and summarizing findings in terms of their utility for addressing the client group's questions.
- Assure that the planned final report (and possible derivative, targeted special reports) will meet the needs of the evaluation's different audiences and be delivered when they are needed.
- Assure that the evaluation's reporting plan and schedule are functionally responsive to the needs of the program and plan jointly with the evaluator for the client group's participation in feedback workshops.
- Define with the evaluator the persons and groups who will receive and use evaluation reports and work with the evaluator to assure that the reporting process will be functional, ethical, credible, and legally and politically viable.
- Designate key contact persons for the evaluation and assure that the evaluation plan is consistent with the organization's protocol.
- Clarify for all concerned parties the evaluation roles and responsibilities of the client group and plan with the evaluator for needed

providing members of the client group with needed orientation and training.

- Affirm the evaluator's advice to the client for securing an independent metaevaluation of the evaluation and the evaluator's commitment to address the metaevaluator's needs for such items as copies of evaluation plans, tools, data sets, and reports.
- Record agreements on the evaluation budget and payment amounts and dates, including type of budget, i.e., fixed price, cost reimbursement, or cost-plus. (See sub-checklist 2: Budgeting the Evaluation.)
- Record agreements regarding the client's provision of institutional support for the evaluation, including work space, equipment, transportation assistance, communication services, clerical assistance, etc.
- Define clear provisions for reviewing, controlling, amending, and/or canceling the evaluation.
- Draft the contract.
- Finalize, sign, and date the final contract.

orientation and training of evaluation participants.

- Decide how the evaluation will be assessed both to judge its soundness and, as appropriate, to instill program stakeholders' confidence in the findings.
- Assure that budgetary agreements are clear and functionally appropriate for the evaluation's success, including budget type and limits or restrictions, sufficient funds to conduct a sound evaluation, agreed-on indirect cost rate, invoice requirements, and audit provisions.
- As appropriate, determine and address the evaluator's needs for institutional support.
- Assure that the evaluation will be periodically reviewed and, as needed and appropriate, subject to modification and termination.
- Have the draft contract reviewed by a legal expert and apprise the evaluator of any needed changes.
- When satisfied with the finalized contract's soundness, sign and date it.

2. Budgeting Evaluations

When designing and contracting an evaluation, it is necessary to determine as completely as possible the funds needed to complete the work. A fully functional evaluation budget is a detailed, well organized, client-approved estimate of financial and associated resources required to implement the full range of planned tasks within a given time period. A sound budget stems from and concretizes an agreement between evaluator and client that the planned study is sufficiently designed and funded to be executed at high levels of quality, professionalism, and fiscal accountability.

Evaluator Activities—Projecting Evaluation Costs and Assuring the Evaluation’s Fiscal Viability

- Ensure that the evaluation design includes sufficient detail for building a sound budget. (See Appendix C for a checklist of items to include in a comprehensive, detailed evaluation design.)
- Reach agreement on the appropriate type of budget agreement and a provision for any needed renegotiations and updates.
- Reach agreement with the client on the required level of budget detail.
- Develop a list of pertinent cost factors to meet the evaluator’s needs and the client’s requirements.

Client/Stakeholder Activities—Assuring the Evaluation’s Cost-Effectiveness and Accountability

- Review the evaluation design to assure that it contains a complete set of appropriate categories for funding the evaluation, including tasks, personnel and consultants, non-personnel resources, funding period and schedule, subcontracts, and provisions for updating the design and budget as appropriate.
- Decide the appropriate type of budget agreement, e.g., pure grant, fixed-price contract, cost-reimbursable contract, cost-plus grant, cost-plus profit (for the evaluator), cooperative agreement.
- Specify or agree on the appropriate level of budget detail, e.g., line-item budget, line item by evaluation task, line item by year or other period, task by year or other period, total bottom-line cost only, breakout of evaluator and client contributions, explanatory budget notes.
- Clarify with the evaluator the evaluation cost factors that should be addressed in the budget, e.g.:
 - budget ceiling
 - daily rate for staff per diem
 - daily rate for consultant per diem
 - allowance for pre-award costs, hiring costs, name
 - projected number of staff trips
 - projected average travel

- and daily salary rate for each evaluation staff member
- name and hourly salary rate for each staff member
- fringe benefit rates for each category of evaluation staff
- number of work days for each staff member
- number of work hours for each staff member
- projected average travel cost per staff trip
- name and daily rate for each consultant
- name and hourly rate for each consultant
- number of work hours for each consultant
- projected number of consultant trips
- projected total travel days for consultants
- cost per consultant trip
- indirect cost rate
- factor for annual staff salary increments
- factor for annual level of inflation
- institutional sustainability fee factor
- evaluator profit factor
- allowable fees for evaluator's research, teaching, conference attendance, etc.

Determine line items to be budgeted, e.g.:

- personnel salaries
- personnel fringe benefits
- total personnel travel
- consultant honoraria
- consultant travel
- consultant materials and other support
- total consultant costs
- supplies
- telephone
- photocopying and printing
- computers
- postage
- total direct costs
- indirect costs
- institutional sustainability fee
- supplemental grant
- evaluation contractor profit
- subcontracts other costs

Group line items for convenience, e.g., personnel, travel, consultants, supplies, services, subcontracts, total direct costs, total indirect costs, total project costs, budget notes.

Determine and document the evaluator's financial contribution to the evaluation, if any.

As appropriate, address any questions the evaluator might pose regarding how certain line items are to be funded, e.g., the client might directly pay for certain items (such as travel or printing), thereby eliminating the evaluator's indirect charges for those items.

No client involvement here, unless the evaluator poses particular questions.

Reach agreement with the evaluator on any costs to be covered by the evaluator, e.g., reduction or elimination of the evaluator's usual indirect cost charges, contributed time

- Compute costs and charges (e.g., by year, evaluation tasks, subcontracts, overall, and evaluator contribution, if any), append budget notes, obtain a budget review, and finalize the budget.
- Provide for institutional fiscal accountability, including responsibility for internal accounting, financial reporting, and internal audit of the evaluation project's finances.
- Clarify requirements for payment, including funding source and contact persons, financial reporting requirements, schedule of financial reports, and amounts and schedule of payments.
- Review the evaluation budget; negotiate changes, as appropriate; and approve the final budget.
- Provide for receiving, reviewing, and, as appropriate, auditing the evaluator's financial reports.
- Provide for approving and remitting payments to the evaluator, per agreements on the evaluator's documentation of charges and the schedule for payments to the evaluator.

of staff members, or the evaluation organization's funding of certain direct expenses.

3. Context Evaluation

Context evaluation assesses needs, goals, assets, and problems within a defined environment. Clients employ feedback from this type of evaluation to set (or clarify) goals that are grounded in assessed needs of targeted beneficiaries and later to assess the extent to which a program's outcomes effectively addressed the intended beneficiaries' assessed needs.

Evaluator Activities—Assessing Needs and Assets

- Provide the client group with an overall perspective on the context evaluation, including the context evaluation questions and the general approach.
- Compile and assess background information— on values, customs, and political dynamics in the program's environment; the intended beneficiaries' needs; relevant unsolved problems; the program's goals; relevant assets and

Client/Stakeholder Activities—Clarifying Goals and Judging Outcomes

- Reach a clear understanding with the evaluator on the program's targeted beneficiaries and the context evaluation questions to be addressed; as appropriate, provide client group reactions to the context evaluation plan, especially regarding feasibility.
- Define clear protocols for the evaluator's access to and secure use of the host institution's pertinent reports and files of information. Stress to staff that by providing information for the evaluation, they have an essential role in assuring that their program

opportunities—from such sources as the program’s funding proposal; student health records, grades, and test scores; relevant evaluation reports; surveys and interviews of program stakeholders; newspaper archives; and relevant funding programs.

- Engage a data collection specialist^{vi} to monitor and record data on the program’s environment, including related programs, area resources, area needs and problems, and political dynamics.
- Interview program leaders and staff to review and discuss their perspectives on beneficiaries’ needs and to identify any problems (political or otherwise) the program will need to solve.
- Interview other stakeholders to gain further insight into the needs of intended beneficiaries, relevant assets or opportunities, and potential problems for the program.
- Develop a plan for collecting and analyzing the context evaluation information. In addition to interviews, include techniques, such as system analysis, survey, document and records reviews, secondary data analysis, hearings, diagnostic tests, and the Delphi technique to address the context evaluation questions.
- Develop a general plan and schedule for reporting context evaluation findings.
- Draft each needed context evaluation report; arrange and schedule a feedback workshop

regularly will receive sound evaluative feedback geared to program improvement and accountability.

- Instruct program staff regularly to make available to the evaluation team information they collect on the program’s beneficiaries and environment.
- As appropriate, authorize and make arrangements for the evaluator to interview program leaders and staff.
- As appropriate, help the evaluator identify persons to interview beyond the program’s core set of stakeholders and, as appropriate, facilitate the evaluator’s collection of information from these persons.
- As requested by the evaluator, engage program staff to review and provide the evaluator with feedback on the face validity and feasibility of draft data collection instruments and the data collection plan.
- Communicate with the evaluator concerning such context evaluation reporting matters as timing, venue, and audience; also plan, with the evaluator, for scheduling and conducting context evaluation reporting sessions, including agendas and whether the evaluator or client will chair such feedback sessions.
- Assign staff (e.g., the stakeholder review panel) to study and prepare to react to the

with the client; and, about 10 days prior to the workshop, send the report to the client and agreed-upon stakeholders, e.g., the stakeholder review panel, if there is one.

- At the feedback workshop, use a PowerPoint or similar presentation to summarize the context evaluation findings; engage participants in discussing the findings; invite them to identify any areas of inaccuracy or ambiguity in the draft report; and ask them to suggest what, if any, additional context evaluation information should be included in future reports. Also, engage their assistance, as appropriate, in facilitating collection of any additionally needed information.
- Finalize the context evaluation report (including correcting any factual errors and ambiguous language in the draft report) and send the finalized report and associated visual aids to the client.^{vii}
- context evaluation report and attend a scheduled feedback workshop for purposes of discussing, assessing, and using the findings.
- Discuss the context evaluation findings and provide feedback to the evaluator regarding the accuracy, clarity, and utility of the findings, plus possible needs for future context evaluation information.
- Use the context evaluation findings to assure that the program is focused on appropriate needs, taking advantage of pertinent community and other assets, and avoiding threats to the program's success. Also, use context evaluation findings—throughout and at the program's end—to help assess the program's effectiveness and significance in meeting beneficiaries' assessed needs.

4. Input Evaluation

Input evaluation assesses competing strategies and subsequently the work plans and budgets of the approach selected to meet beneficiaries' assessed and targeted needs. The client group may use input evaluation findings to choose, flesh out, and obtain funds for a new program or to review and revise a previously adopted procedural plan.

Evaluator Activities—Assessing Critical Competitors

- Provide the client group with an overall perspective on the input evaluation, including agreed-upon input evaluation questions and the two-stage general approach to input evaluation: (a) identifying and assessing alternative program approaches and then (b) close analysis and assessment of the program staff's detailed action plan for executing the chosen program approach.
- Identify existing program approaches that could serve as models for the contemplated program.
- Reach agreement with the client on criteria for evaluating competing program strategies. (Especially, stress the importance of a program approach's responsiveness to assessed and targeted needs; sound logic; fit with existing programs; provisions for staffing, facilities, equipment, and materials; adequate budget; realistic schedule; provisions for keeping stakeholders informed and involved; provisions for sustainability; and provisions for ongoing monitoring and assessment).
- Collect required information on the identified program strategies and compare them on the agreed-upon criteria. In identifying and assessing alternative program strategies, employ such evaluation techniques as literature searches, visits to exemplary programs, advocate teams, and pilot trials. In

Client/Stakeholder Activities—Program Planning

- Help program staff understand the two-stage approach to input evaluation, their role in assessing and helping choose among assessed alternative approaches, their role in working out the program's detailed action plan, and their role in using input evaluation findings to strengthen the program's working plan.
- Inform the evaluator of alternative program approaches that should be assessed in the process of developing a program plan.
- Deliberate with the evaluator concerning what criteria are most important in selecting a program approach, e.g., relevant goals; response to targeted needs; coherent content structure; research base; practical procedures; reasonable facilities, equipment, software, and staffing requirements; needs for staff training; cost; compatibility with existing programs; adaptability; political viability; successful track record elsewhere; and sustainability.
- As needed and appropriate, facilitate the evaluator's collection of needed information.

evaluating the program staff's action plan for carrying out the chosen program approach, employ techniques such as logic models, cost analysis, Program Evaluation and Review Technique (PERT), and instruments to assess program staff members' relevant knowledge and attitudes.

- Draft an input evaluation report; arrange and schedule a feedback workshop with the client; and, about 10 days prior to the workshop, send the report to the client and agreed-upon stakeholders, e.g., the stakeholder review panel, if there is one.
- At the feedback workshop, use a PowerPoint or similar presentation to summarize the input evaluation findings and participate with stakeholders in discussing the findings. Also invite participants to identify any areas of inaccuracy or ambiguity in the draft input evaluation report.
- Finalize the input evaluation report (including correction of any factual errors and ambiguous language in the draft report) and send the finalized input evaluation report and associated visual aids to the client.
- If the client rejects all assessed program strategies, per agreement with the client and in accordance with an updated evaluation budget and contract, plan and conduct an advocate teams study.
- Assign staff (e.g., the stakeholder review panel) to study and prepare to react to the evaluator's report on alternative program strategies and attend a scheduled feedback workshop for purposes of discussing, assessing, and using the input evaluation findings.
- Discuss the input evaluation findings and make as much progress as is feasible toward deciding on a sound program evaluation strategy. Also provide feedback to the evaluator regarding the accuracy, clarity, and utility of the input evaluation findings.
- (a) Select the assessed strategy (or combination of strategies) to be adopted or (b) decide that none is acceptable and request a follow-up advocate teams study (through which competing teams independently and competitively invent and write up new program strategies keyed directly to the client's selected criteria and in which the evaluator then assesses the strategies against the criteria).^{viii}
- Deliberate with the evaluator to identify general orientations for the two or more competing strategies to be invented and compared (e.g., a strategy based on reform of the organization's existing program, a creative / "out-of-the-box" strategy, a particular program that worked well elsewhere, and an approach that is highly

- As applicable, draft a report on the findings of the advocate teams study; send the report to the client; arrange and schedule a feedback workshop with the client; and, about 10 days prior to the workshop, send the report to the client.
- At the feedback workshop, use a PowerPoint or similar presentation to review the advocate teams' study findings (contrasting the assessed program strategies on the agreed-upon criteria); then engage participants in discussing the comparative attributes of the strategies and invite them to identify any areas of inaccuracy or ambiguity in the report.
- Finalize the advocate teams study report (including correcting any factual errors and clarifying material that the client group saw as ambiguous) and associated visual aids and send the report and visual aids to the client.
- Assess the program's explicated strategy against the established input evaluation criteria, outline a plan for supporting the program through ongoing process and product evaluation, provide these items to the client, and express to the client a willingness to assist further (especially with process and product evaluation) depending on the client's needs.
- Schedule a feedback workshop and assign staff (e.g., the stakeholder review panel) to study and prepare to react to the advocate teams study report and participate in the feedback workshop.
- Discuss the advocate teams' study findings and make as much progress as is feasible toward deciding on a sound program evaluation strategy. Also provide feedback to the evaluator regarding the accuracy, clarity, and utility of the advocate teams' study report.
- Use the advocate teams' study findings to select a program approach and to plan the details of funding, installing, operating, and evaluating a program that is scientifically, economically, socially, politically, and technologically defensible. (As appropriate, use the input evaluation findings to support a request for external funding of the new program.)
- Use the evaluator's final set of inputs to acquaint staff with issues pertaining to the successful implementation of the program; then proceed with implementation of the program plan, including ongoing process and product evaluations.

recommended in relevant literature), help identify members of the advocate teams, and help arrange the schedule, venue, protocols, and logistics for the advocate teams study.

5. Process Evaluation

Process evaluations monitor, document, and assess program activities. Client groups use process evaluation findings to guide and strengthen program activities and to document a program's activities and expenditures.

Evaluator Activities—Assessing Critical Competitors

- Provide the client group with an overall perspective on the process evaluation, including agreed-upon process evaluation questions, plus the needs to (a) provide staff with regular feedback on the evolving program and (b) document and assess the actual operations.
- Train and engage the on-site evaluator to monitor, observe, maintain a photographic record of, and develop periodic progress reports on program implementation; then deliver the program implementation reports directly to the off-site lead evaluator. (Experience teaches that usually the on-site evaluator should not report findings directly to the program's client and staff, nor participate in feedback workshops. Instead, the on-site evaluator's findings are best incorporated into the lead evaluator's formal process evaluation reports. It has been found that such differentiated staffing of the evaluation is in the best interest of helping the on-site evaluator maintain rapport with program staff and avoid becoming defensive when staff members criticize the program implementation reports.)
- In order to study and document the program's ongoing operations, employ techniques, such as on-site observation, interviews, rating scales, questionnaires, records analysis, photographic records, case studies of program beneficiaries, focus groups, self-

Client/Stakeholder Activities—Program Planning

- Prepare program staff to address the evaluator's continuing need for information on the program's implementation and periodically to receive and use process evaluation feedback for program improvement.
- Introduce the on-site evaluator to the program's staff. Clarify the protocol under which that evaluator will operate, work out a general schedule for the on-site evaluation activities, and confirm that the on-site evaluator will report only to the off-site lead evaluator. Also, inform program staff of agreements between the client and lead evaluator that, so far as possible, the off-site lead evaluator will protect the anonymity of program staff members when writing formal process evaluation reports and that the lead evaluator will act likewise when participating in associated feedback sessions.
- Work with the evaluator to assure that the process evaluation activities are reasonable, minimally disruptive to program operations, and accepted by program staff.

reflection sessions with program staff, and tracking of program expenditures.

- Through cooperation with the program's staff, the on-site evaluator will maintain printed and photographic records of program events, problems, costs, and allocations; periodically interview beneficiaries, program leaders, and staff; and supply the lead evaluator with periodic reports from the on-site data collection activities.
- Periodically, the lead evaluator will draft reports on process evaluation findings and send the draft reports to the client about 10 days in advance of a meeting to review the findings at a feedback session.
- The lead evaluator will collaborate with the client to conduct a feedback session, with either the evaluator or client chairing the session. After employing visual aids and handouts to review the findings, the lead evaluator will engage the session's participants to discuss and assess the findings, identify any factual errors or areas of ambiguity, and identify any special needs for information in future process evaluation reports. As noted above, typically the on-site process evaluator should not participate in the feedback session because of the possibility of dissension over any disputed findings between him or her and members of the client group. Such disputes are best addressed by the lead evaluator and client.
- The lead evaluator will correct errors and address ambiguities as needed in the draft process evaluation report, finalize the process evaluation report (possibly incorporated into a larger report, especially at late stages in the program evaluation), make copies of associated visual aids, update evaluation
- Meet with the lead evaluator, as appropriate, to keep apprised of the process evaluation's progress and assure that the on-site evaluator is receiving access to needed documentation and personnel. As appropriate, address problems or needs for assistance in the process evaluation.
- Engage intended users (e.g., the stakeholder review panel) to review each process evaluation report and subsequently participate in a feedback session to discuss and begin applying the evaluation findings.
- Use the process evaluation findings to strengthen the program design, maintain a record of the program's progress, coordinate and strengthen staff activities; also provide the evaluator with feedback regarding the process evaluation report's adequacy and the needs for future information. As appropriate, address the lead evaluator's requests for assistance in gathering future process evaluation information.
- As appropriate, use the process evaluation report and supporting visual aids to update the program's financial sponsor, policy board, community members, other developers, etc., on the program's progress and to help guide program decision making.

plans, and send the report, visual aids, and updated evaluation plan to the client.

- Repeat the collection and reporting of process evaluation findings as needed. Throughout the process evaluation, it can be advantageous to maintain an up-to-date profile of the program's actual operation. As the overall evaluation proceeds, the evaluator can usefully flesh out such a profile by incorporating product evaluation findings. Such a regularly updated profile can provide the evaluator with an invaluable source for addressing particular questions that the client and other stakeholders may pose over the course of the evaluation assignment.
- As needed, continue engaging the evaluator in documenting and reporting on the program's implementation.

6. Impact Evaluation

Impact evaluation is the subpart of product evaluation that assesses a program's reach to the targeted beneficiaries and its impact on the relevant environment. Client groups use impact evaluation to assure that the program is reaching the intended beneficiaries, document and make assessments concerning the actual persons and groups that were served, and document the program's impacts on the relevant community environment.

Evaluator Activities—Examining Program Reach and Impacts

- Confirm with the client the program's definition of intended beneficiaries, any restrictions on serving other persons, and any organization(s) to be served, e.g., institutions and communities.
- Engage the program's staff and consultants and/or an evaluation team member to maintain a directory of persons and groups served, make notations on their needs, and record program services they received.
- Prepare to interview stakeholders in order to gather additional impact information by selecting a sample of interviewees and preparing a relevant interview guide.

Client/Stakeholder Activities—Controlling and Documenting Who Gets Served

- Provide the evaluator with documentation on the program's intended beneficiaries, e.g., individuals, institutions, and communities.
- Provide the evaluator with relevant records regarding actual program recipients.
- If requested by the evaluator, review the evaluator's list of intended interviewees and offer suggestions to help assure that the evaluation will gather perspectives from a

- Interview experts and area stakeholders, such as administrators of similar programs, community leaders, employers, school and social program personnel, clergy, city officials, police, judges, and homeowners, to learn their perspectives on the program's quality, importance, and effects on the community.
- Assess the extent to which the program reached an appropriate group of beneficiaries and organizations.
- Assess the extent to which the program inappropriately provided services to a non-targeted group, while considering that extending services to persons outside the target group may be a good thing in certain circumstances.
- Draft an impact evaluation report (possibly incorporated into a larger report) and provide it to the client and agreed-upon stakeholders about 10 days in advance of any feedback session that may have been scheduled.
- At the feedback session (if there is one), use a PowerPoint or similar presentation to summarize impact evaluation findings; engage participants in discussing the findings; invite them to identify any areas of inaccuracy or ambiguity in the draft impact evaluation report; and ask them to suggest what, if any, additional information on program impacts should be included in future reports.
- sufficient range of program stakeholders, relevant experts, and community representatives.
- Encourage the evaluator to examine why certain targeted beneficiaries may not be using the program.
- Apprise the evaluator of any factors that should be taken into account when judging the program's reach to the target group of beneficiaries, such as many members of the targeted group leaving (or arriving in) the area due to downturns (or upturns) in the local economy.
- As appropriate, address the evaluator's inquiry concerning why program resources are being expended to serve persons outside the group of targeted beneficiaries.
- Direct staff to study and prepare to react to the evaluator's report on program impacts, and, as appropriate, to participate in a scheduled staff meeting to go over the impact evaluation findings.
- Discuss the impact evaluation findings and provide feedback to the evaluator regarding the accuracy, clarity, and utility of the impact findings, plus possible needs for future impact-related information. As appropriate, arrange for staff to facilitate the evaluator's collection of additional impact evaluation information.

- Finalize the impact evaluation report and, as appropriate, update the plan for collecting impact evaluation information; then send these updates, plus copies of pertinent visual aids and handouts, to the client.
- Use the impact evaluation findings to assess the extent to which the program is reaching intended beneficiaries and organizations, assess whether the program is reaching inappropriate beneficiaries, judge the extent to which the program is addressing important community needs, and adjust program plans and activities as appropriate.
- Continue assessing and reporting impact evaluation findings and ultimately compile and include these findings in the final, summative evaluation report.
- Use the final impact evaluation findings for accountability purposes in reporting on the program's success in reaching the intended beneficiaries and organizations and contributing to the broader community.

7. Effectiveness Evaluation

Effectiveness evaluation is the subpart of product evaluation that documents and assesses the quality, cost-effectiveness, and significance of outcomes. Client groups use this type of evaluation to document the full range of program outcomes (including side effects) and to assess the outcomes in consideration of beneficiaries' needs and program costs.

Evaluator Activities—Examining Main and Side Effects

- Interview key stakeholders, such as community leaders, beneficiaries, program administrators and staff, and other interested parties, to obtain their assessments of the program's positive and negative outcomes (such interviews may address questions concerning all parts of the overall product evaluation).
- As feasible and appropriate, conduct in-depth case studies of selected beneficiaries.

Client/Stakeholder Activities—Assessing Outcomes

- If requested by the evaluator, review the evaluator's list of intended interviewees and offer suggestions to help assure that the evaluation will gather perspectives from a sufficient range of program stakeholders and relevant experts.
- As appropriate, assist the evaluator to select participants for case studies; also assure that the case studies will stipulate and protect participants' rights, such as privacy, anonymity, confidentiality, and voluntary participation.

- Engage program staff to supply documentation on the range, depth, quality, and significance of the program's effects on beneficiaries.
- As appropriate, engage an evaluation team member to compile and assess information on the program's effects on the community.
- Engage a goal-free evaluator to ascertain what the program actually did and to identify its full range of effects—positive and negative, intended and unintended, expected and unexpected—irrespective of the program's stated goals (see note 1).
- Obtain information on the program's costs and conduct a cost analysis of the program.
- As appropriate, obtain information on the nature, cost, and success of similar programs conducted elsewhere and judge the subject program's effectiveness in contrast to the identified "critical competitors."
- Compile findings on the program's costs, effectiveness, unanticipated consequences, and, as appropriate, contrast to similar programs in a draft report (that may be incorporated in a larger report) and send it to the client about 10 days in advance of a scheduled feedback session.
- With either the evaluator or client serving as chair, conduct a feedback session to cover findings on the program's costs, main effects, side effects, cost-effectiveness, and contrast to any alternative programs that were studied.
- As needed, engage program staff members to cooperate in the collection of effectiveness information; also work with the evaluator to assure that the data collection process will be minimally disruptive to the assessed program.
- As appropriate, provide the evaluator with the organization's records of the program's contributions to the broader community (newspaper articles, letters from community members, awards, etc.).
- Obtain from the evaluator a clear understanding of the purpose, procedures, and benefits of a goal-free evaluation and, as needed, inform staff of the nature and purpose of this procedure and take steps to assure their full cooperation.
- Provide the evaluator with access to the program's financial records and, as appropriate, facilitate the evaluator's compilation and analysis of the program's costs.
- Make the evaluator aware of programs that might be considered as viable alternatives to the program being evaluated.
- Schedule a feedback session to go over and begin applying the evaluation's effectiveness findings and cost-effectiveness findings. Direct staff (e.g., a stakeholder review panel) to study and document their reactions to the effectiveness and cost-effectiveness evaluation report and to attend the session.
- Engage feedback session participants to discuss findings, raise any pertinent issues of accuracy and clarity in the draft report, identify any needs for additional program outcome information, and begin applying the

Use visual aids to review these product evaluation findings and engage with the client and stakeholders in discussing the findings and their implications for program improvement and accountability. Invite the participants to identify any factual errors and areas of ambiguity in the effectiveness and cost-effectiveness evaluation report and to identify any needs for additional evaluation of program outcomes.

- Finalize the effectiveness and cost-effectiveness evaluation report, including clarifying areas of ambiguity and correcting any factual errors. Then send the report to the client, either as a distinct report on the program's effectiveness and cost-effectiveness or part of the larger final evaluation report.

- Incorporate the findings of the effectiveness and cost-effectiveness evaluation report in an updated program profile and ultimately in the final evaluation report.

findings. As appropriate, assign staff members to facilitate the evaluator's collection of additional effectiveness and cost-effectiveness information.

- Use effectiveness and cost-effectiveness evaluation findings to gauge the program's positive and negative effects on beneficiaries, gauge the program's positive and negative effects on the community/pertinent environment, sort out and judge important side effects, examine whether program plans and activities need to be changed (or replaced), make a bottom-line assessment of the program's value compared to its costs, and (as appropriate) prepare and issue a program accountability report.

- Receive the finalized effectiveness and cost-effectiveness evaluation findings and take steps to assure that the program's staff will make beneficial use of the findings and that program stakeholders will be appropriately informed of the findings.

8. Sustainability Evaluation

Sustainability evaluation is the part of product evaluation that assesses the extent to which a program's contributions will be or are successfully institutionalized and continued over time. Client groups use feedback from this type of evaluation to help determine whether a program should be continued and, if so, to plan and take appropriate steps to assure the long-term, effective operation of a successful program.

Evaluator Activities—Examining Long-Term Viability

- Develop plans and tools for evaluating the program's prospects for long-term sustainability. The sustainability evaluation should include a review of the evaluation's context, input, process, impact, and effectiveness and findings; interviews of program leaders and other stakeholders; (often) querying focus groups; and examination of relevant institutional records.
- Interview program leaders, staff, and beneficiaries to identify their judgments about what program successes could and should be sustained and to obtain their ideas concerning long-term implementation of the program.
- Obtain and examine plans, budgets, staff assignments, and other relevant information regarding the organization's intentions concerning long-term implementation of the program.
- As appropriate, conduct a focus group session (involving a cross section of stakeholders) to discuss the desirability and practical possibilities of sustaining the program.
- Develop a draft sustainability evaluation report and, about 10 days prior to the scheduled feedback session, send the report to the client. The report should be based on

Client/Stakeholder Activities: Continuing Successful Practices

- Identify persons who could contribute relevant perspectives on the program's prospects for institutionalization and provide the evaluator access to relevant institutional records, especially projections on costs for sustaining the program.
- Respond to the interviewer's questions concerning program successes that could and should be sustained and ideas for possibly continuing the program.
- Provide the evaluator with any plans for institutionalizing the program (staff, budget, facilities, schedule, etc.).
- As appropriate, facilitate the evaluator's planning and conduct of a focus group session to engage stakeholders in examining the desirability and feasibility of sustaining the program.
- Collaborate with the evaluator to plan and schedule a feedback session on the findings of the sustainability evaluation, identify the feedback session participants (e.g., including

relevant data on program effectiveness, program costs, cost-effectiveness, beneficiary needs, stakeholder perspectives on the desirability of program continuation, and the organization's possible institutionalization plans, including budgets.

- At the feedback session, use a PowerPoint or similar presentation to review sustainability findings and engage participants in discussing the findings. Ask them to identify any factual errors in the report, plus any areas of ambiguity. Also, invite them to consider whether a follow-up study should be conducted to assess the program's long-term implementation and results.
- Finalize the sustainability evaluation report and send it to the client. As appropriate, append a plan for a follow-up study to assess the program's long-term implementation and results.
- Discuss sustainability evaluation findings to assess whether program beneficiaries still need the program's services, staff and beneficiaries favor program continuation, and all involved believe program continuation is feasible. Inform the evaluator of any areas of inaccuracy or ambiguity in the sustainability evaluation report. Also, discuss whether a follow-up study is needed to assess long-term implementation and results of a sustained program.
- Use the sustainability findings as appropriate to set goals and to plan, staff, and fund continuation activities, including ongoing evaluation of the continuation effort.

the stakeholder review panel), and assign the feedback session participants to attend the session and to study the report in preparation for the session.

9. Transportability Evaluation

Transportability evaluation is the part of product evaluation that assesses the extent to which a program has been (or could be) successfully adapted and applied elsewhere. (This component of a CIPP evaluation should be applied when the client or some other authorized party desires and arranges for such a study.) Client groups use transportability evaluation findings to help disseminate a successful program and, often, to provide support for future funding of the program. In other cases, they prefer not to invest in dissemination of their local program.

Evaluator Activities—Examining Program Replicability

- If the client requests a transportability evaluation, proceed accordingly to plan and carry out an assessment of whether the program is adaptable for use in other settings or, as appropriate, how well it has actually been replicated at other sites.

Client/Stakeholder Activities—Dissemination

- Determine whether or not the program is intended to be disseminated and adopted elsewhere and whether there is a need for an evaluation of the program's transportability.

- As appropriate, engage the program staff to help identify actual or potential adopters of the program by keeping a log of inquiries, visitors, and adaptations of the program.
- If relevant, identify and survey a representative sample of potential adopters. Ask them to (1) review a description of the program and a summary of evaluation findings; (2) judge the program's relevance to their situation; (3) judge the program's quality, feasibility, significance, and replicability; and (4) report whether they are using or plan to adopt all or parts of the program.
- Visit, characterize, and assess adaptations of the program.
- Compile transportability evaluation findings in a draft report, determine with the client whether to conduct a feedback session over the report, and, if a feedback session is to be conducted, send the report to the client about 10 days in advance of the session.
- As appropriate, at the feedback session, use a PowerPoint or similar presentation to summarize the transportability evaluation findings. Then engage with the participants in a discussion of the findings. At the session's end, invite participants to identify any areas of inaccuracy or ambiguity in the report, also any
- As appropriate, assign program staff members to maintain records of inquiries, visitors, and, especially, replications or adaptations of the program, including pertinent photographs or other visual representations.
- React to and provide advice concerning the evaluator's planned sample of potential or actual adopters to be surveyed and the draft survey instrument.
- Help the evaluator identify organizations that have replicated or adapted the program; as appropriate, assist the evaluator to contact and make arrangements to visit these program replications/adaptations.
- As appropriate, plan with the evaluator to conduct a feedback session to deliberate about the transportability evaluation findings and designate either the evaluator or client to chair the session. Assign pertinent staff members (e.g., the stakeholder review panel) to attend the feedback session and to prepare for their participation by reviewing the draft transportability evaluation report, identifying any factual errors or areas of ambiguity in the report, and suggesting what additional transportability evaluation information should be obtained.
- Consider how well the program worked elsewhere, including problems encountered and improvements that could be adopted locally, apprise the evaluator of any areas of inaccuracy or ambiguity in the report, identify any additionally needed transportability evaluation information, and begin planning

needs for additional transportability evaluation information.

how the transportability evaluation findings might be used, e.g., seeking external funding to support dissemination of the program. Also, as appropriate, assign staff to facilitate the evaluator's collection of additional transportability evaluation information.

- Finalize the transportability evaluation report and associated visual aids, send them to the client, and, as appropriate, deliberate with the client concerning possible additional needs for information on the program's transportability.
- Use the transportability evaluation findings to gauge how well the program worked elsewhere; identify ways to strengthen the local program; identify a target audience for information on the program; determine what information about the program should be disseminated; disseminate information on the program's outcomes, significance, and adaptability; and, as appropriate, incorporate transportability evaluation findings in proposals for future funding of the program or its dissemination.

10. Metaevaluation

Metaevaluation is an assessment of an evaluation, especially its adherence to pertinent criteria of sound evaluation. Evaluators always should assess their evaluation against appropriate metaevaluation standards both to assure and ultimately assess and report on the evaluation's soundness (e.g., its utility, feasibility, propriety, accuracy, and accountability). They should also advise their client to engage an external metaevaluator (or, as warranted, a special metaevaluation committee) to assess the evaluation. Client groups use metaevaluation findings to help assure an evaluation's soundness and to judge the extent to which the evaluation's findings merit serious consideration and use.

Evaluator Activities—Quality Assurance and Accountability

- Reach agreement with the client that the evaluation will be guided and assessed against criteria of utility, feasibility, propriety, accuracy, and evaluator accountability (based on the Joint Committee [2011] Program Evaluation Standards or some other mutually agreeable and professionally vetted set of criteria for judging evaluations).

Client/Stakeholder Activities—Judging the Evaluation

- Review the Joint Committee (2011) Program Evaluation Standards and reach an agreement with the evaluators that criteria based on these standards or other defensible standards will form the basis for guiding and judging the evaluation work.

- Encourage and support the client to obtain an independent assessment of the evaluation's plan, process, reports, and impacts.
- Document the evaluation's goals, plan, process, and findings, so that the evaluation can be rigorously studied and evaluated.
- Systematically and proactively apply the selected metaevaluation standards to help assure that the evaluation will be sound and fully accountable.
- As appropriate, periodically use the metaevaluation's findings (internal and, if available, external) to strengthen the evaluation.
- Assess and provide written commentary on the extent to which the evaluation ultimately met each agreed-upon metaevaluation standard and include the internal metaevaluation results in the final evaluation report's appendix. As appropriate, include the client's assessment of the evaluation in the final evaluation report's appendix.
- Contract for an external assessment of the evaluation or arrange some other means of obtaining an independent assessment of the contracted evaluation, e.g., an appointed metaevaluation committee or a metaevaluation that is separately funded by a charitable foundation or other organization.
- Keep a file of information (especially critiques of evaluation plans and draft reports and uses of evaluation findings) pertinent to judging the evaluation against the agreed-upon evaluation standards.
- Supply the metaevaluator with relevant information (such as critiques of draft evaluation plans and reports and records of evaluation uses) and otherwise assist, as appropriate, all legitimate efforts to evaluate the evaluation. Also document and inform the evaluator and, if there was one, the independent metaevaluator (or metaevaluation committee) of significant uses of the evaluation's findings.
- As appropriate, raise questions about and, as needed, act to assure that the evaluation adheres to the evaluation contract and agreed-upon metaevaluation standards (e.g., issuing timely reports, keeping stakeholders informed of evaluation plans that affect them, adhering to agreed-upon protocols for data collection, and maintaining security of obtained information).
- Consider appending to the final evaluation report a statement reacting to the evaluation, to the evaluator's attestation of the extent to which metaevaluation standards were met, and to the results of any independent metaevaluation.

- Discuss with the client issues concerning the evaluation’s adherence to the stipulated metaevaluation standards (e.g., utility, feasibility, propriety, accuracy, and evaluator accountability) that should be taken into account when applying and disseminating the evaluation’s findings.
- Take into account both internal and, if available, external metaevaluation results in deciding how best to interpret, assess, apply, and disseminate the evaluation’s findings.

11. Feedback Workshops

A feedback workshop is a face-to-face or teleconference meeting between the evaluator and client group to review and discuss a draft evaluation report. Feedback workshops provide a particularly structured and useful approach to helping the client and other stakeholders assess consistency between an evaluation report and stakeholder needs for evaluative feedback, enhance their understanding of evaluation findings, inform the evaluator of the need to correct factual errors or areas of ambiguity in the draft report, and begin using evaluation findings. Such a workshop also helps the evaluator improve the accuracy, clarity, and utility of the draft report; update the evaluation plan; and secure cooperation for collecting needed information. The feedback workshop component of the CIPP Evaluation Checklist is a guide for the evaluator and client to employ in planning, conducting, and following up evaluation reporting sessions.

Evaluator Activities—Explain and Obtain Feedback re Draft Reports

Client/Stakeholder Activities—React to and Use Draft Reports

BEFORE THE WORKSHOP

- | | |
|--|---|
| <ul style="list-style-type: none"> <input type="checkbox"/> Reach agreements with the client—concerning purpose, timing, venue, agenda, designation of a meeting chair, and recording of minutes—for a meeting to review a designated draft evaluation report. <input type="checkbox"/> Assign evaluation team members to participate in the feedback workshop and define their responsibilities. <input type="checkbox"/> Draft the report that will serve as the basis for the feedback workshop and provide it to the client about 10 working days prior to the scheduled meeting. | <ul style="list-style-type: none"> <input type="checkbox"/> Communicate with the evaluator to help focus and plan a meeting to go over a draft evaluation report. <input type="checkbox"/> Select client group members to participate in the feedback workshop, schedule their involvement, and define their associated responsibilities. <input type="checkbox"/> Disseminate the draft report to the client’s workshop representatives; instruct them to review and critique the draft report prior to the workshop; and confirm the meeting’s date, time, and location. |
|--|---|

- Draft a workshop agenda and submit it to the client at least one week before the workshop.
- Prepare briefing materials, such as PowerPoint slides, transparencies, and handouts to facilitate review and discussion of the draft report.
- Communicate with the evaluator to finalize the workshop agenda, distribute the workshop agenda to the client's workshop representatives, and remind them to arrive at the meeting prepared to discuss the draft report's accuracy and clarity.
- Make any needed logistical arrangements (e.g., meeting space, audiovisual equipment, and refreshments).

DURING THE WORKSHOP

- Introduce participants from the evaluation team, affirm the workshop's goals, summarize the agenda, and distribute briefing materials.
- Brief the client group on the evaluation work, findings, and recommendations.
- Invite client group members to identify problems of ambiguity and fact in the draft report.
- Clear up any misunderstanding, acknowledge problems of fact or ambiguity in the draft report, and project improvements to be made in the finalized report.
- Review, discuss, and adjust evaluation plans as appropriate, including content needed in future reports and the schedule for future evaluation events.
- Discuss, as appropriate, how the client group can facilitate future data collection and other evaluation activities.
- Summarize the meeting from the evaluation team's perspective, including agreed-upon future actions and client group members' commitments to facilitate future evaluation activities.
- Open the meeting, summarize its goals, and introduce client group participants.
- Engage client group members to ask questions, provide comments, and discuss the relevance and applicability of findings.
- Engage client group members to note and explain any areas of inaccuracy or ambiguity in the draft report.
- Engage client group members to identify questions for which they need additional information.
- Engage client group members to identify actions they likely will take in response to the draft report and those that need to be informed by future evaluation inputs.
- Arrange for client group members to assist future evaluation activities, as needed, especially in facilitating data collection.
- Invite each client group participant to identify one or two salient points related to the meeting's deliberations.

- Thank the client group for their participation and wish them well in carrying out their program, especially in using evaluation findings.
- Summarize the meeting’s utility for the client group and affirm commitments by the client group to assist future evaluation activities, especially data collection.

AFTER THE WORKSHOP

- Revise the report based on the workshop meeting by correcting all identified factual errors and areas of ambiguity. Then submit the revised report to the client.
- Distribute the revised report to members of the client group and invite them to identify any factual errors or areas of ambiguity that still need to be corrected.
- Follow up with the client to ensure that the revised report has satisfactorily addressed pertinent issues of accuracy or ambiguity.
- Communicate with the evaluator to resolve any remaining issues of accuracy and ambiguity in the evaluation report.
- Adjust the plan for future evaluation activities as appropriate and provide the updated plan to the evaluation’s client.
- Work with client group members to apply the findings as appropriate.
- Proceed to implement the updated evaluation plan.
- Assist the evaluator to implement the updated evaluation plan in accordance with agreements reached during the feedback workshop, especially regarding data collection.

12. The Final Synthesis Report

A final synthesis report pulls together evaluation findings to inform the full range of audiences about what was attempted, done, and accomplished; what lessons were learned; the bottom-line assessment of the program; and the extent to which the evaluation adhered to stipulated metaevaluation standards. Client groups use final, summative evaluation reports for accountability to sponsors, oversight groups, and beneficiaries; to strengthen programs; to make decisions related to program continuation and, possibly, dissemination; and to provide support for future funding requests.

Evaluator Activities—Summative Evaluation

- Organize the report to meet the differential needs of different audiences; e.g., in the body of the report, provide three sub-reports, including program background, program implementation, and program results.^{ix}

Client/Stakeholder Activities—Accountability, Institutional Learning, and Planning

- React to the evaluator’s outline for the final report toward the goal of assuring that it will appeal to and assist the full range of audiences to understand and make appropriate use of evaluation findings.

- Continuing the example, in the program background sub-report, include discrete sections on the organization that sponsored the program, the origin of the program being evaluated, the program's environment, its purpose and intended beneficiaries, and its funding.
- In the program implementation sub-report, include sections that give detailed, factual accounts of how the main program components were planned, funded, staffed, and carried out such that groups interested in replicating the program could see how they might organize, fund, and conduct the various program activities. These sections should be factual and descriptive and evaluative only to the extent of presenting pertinent cautions (e.g., that the descriptive information is dated).
- In the program results sub-report, include sections on the evaluation design, the evaluation findings (e.g., divided into context, input, process, impact, effectiveness, sustainability, and transportability), and the evaluation conclusions (divided into strengths, weaknesses, lessons learned, and bottom-line assessment of the program, including, as appropriate, its quality, worth, probity, practicality, safety, and significance). Contrast the program's contributions with what was intended, what the beneficiaries needed, what the program cost, and (if assessed) how its cost-effectiveness compares with similar programs elsewhere.
- At the end of each of the three sub-reports, consider including photographs and graphic representations that portray and help retell the report's most important points.
- Help assure that the historical account presented in the program background sub-report is accurate, sufficiently complete yet brief, and of interest and use to at least some of the audiences for the overall report.
- Help assure that the account of program implementation is accurate and sufficiently detailed to help others understand and possibly fund and apply the program's procedures (taking account of pertinent cautions concerning, for example, that the program is undergoing further development).
- As needed, help the evaluator fill in certain information gaps in the draft report, e.g., program cost data.
- If asked, supply the evaluator with photographs that would add appeal and meaning to the report's contents.

- Supplement the main report contents with an executive summary; a prologue recounting how the evaluation was initiated; pertinent quotations throughout; an epilogue identifying needed further program and evaluation efforts; acknowledgements; information about the evaluators; and a backup technical report containing such items as interview protocols, questionnaires, feedback workshop agendas, data tables, a review of relevant literature and similar evaluations, an on-site evaluator's handbook of procedures, and the evaluator's attestation of the extent to which the evaluation met the stipulated metaevaluation standards.
- Plan and schedule with the evaluator a feedback session to go over the draft final report, select persons to attend the session, and schedule their participation.
- Compile the report components identified above into a draft final report and, about 10 days in advance of the feedback session, send the report to the client.
- Provide copies of the draft final report to the feedback session participants and instruct them to study and critique the draft report in advance of the scheduled session.
- At the feedback session, provide the participants with a PowerPoint or similar presentation on the final report, collaborate with the client to engage the participants in a discussion of the findings and their implications for use, and invite participants to identify any areas of inaccuracy or ambiguity in the draft report.
- Discuss findings, raise any pertinent issues of accuracy and clarity in the draft report, prepare for applying findings, and possibly decide to supply the evaluator with the client group's written assessment of and response to the evaluation process and findings.
- Finalize the final report, including the possibility of appending the client's assessment of and response to the evaluation's process and findings; then send the finalized report to the client.
- In combination with the evaluation's intended users, use the report to take stock of what was accomplished, what failures and shortfalls occurred, (as appropriate) how the effort compares with similar programs elsewhere, and what lessons should be heeded in future programming.

- As appropriate and feasible, cooperate with the client's efforts to disseminate the evaluation's findings, e.g., through presentation at a special conference.
- Use the full report as a means of preserving institutional memory of the program, especially lessons learned; informing interested parties about the enterprise; and, as appropriate, preparing proposals for future funding.
- As appropriate and consistent with the advance contract, consider publishing the evaluation as a book or monograph or a synopsis of evaluation procedures and findings in a relevant journal, particularly if the evaluation findings have far-reaching significance.
- Assure with the evaluator that any publication of the evaluation will strictly honor canons of fairness and agreements with evaluation participants regarding privacy, anonymity, and confidentiality.

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Appendixes

Appendix A: Related Checklists

Checklist for Negotiating an Agreement to Evaluate an Educational Program by Robert Stake

Checklist for Developing and Evaluating Evaluation Budgets by Jerry Horn

Evaluation Contracts Checklist by Daniel Stufflebeam

Evaluation Plans and Operations Checklist by Daniel Stufflebeam

Evaluation Values and Criteria Checklist by Daniel Stufflebeam

Feedback Workshop Checklist by Arlen Gullickson & Daniel Stufflebeam

Key Evaluation Checklist by Michael Scriven

Program Evaluations Metaevaluation Checklist (Based on the Program Evaluation Standards) by Daniel Stufflebeam

Appendix B: Background of the CIPP Evaluation Model

This checklist represents a sixth installment of the CIPP Model. The model's first installment—actually before all 4 CIPP parts were introduced—was published more than 45 years ago (Stufflebeam, 1966) and stressed the need for process as well as product evaluations. The second installment—published a year later (Stufflebeam, 1967)—included context, input, process, and product evaluations and emphasized that goal-setting should be guided by context evaluation, including a needs assessment, and that program planning should be guided by input evaluation, including assessments of alternative program strategies. The third installment (Stufflebeam et al., 1971) set the 4 types of evaluation within a systems/improvement-oriented framework. The model's fourth installment (Stufflebeam, 1972) showed how the model could and should be used for summative as well as formative evaluation. The model's fifth installment broke out product evaluation into the above-noted four subparts (of impact, effectiveness, sustainability, and transportability evaluation) in order to help assure and assess a program's long-term viability. The model's sixth installment—illustrated in this checklist—elaborates the role of client groups in assuring that evaluations will be useful, feasible, proper, accurate, and accountable and also stresses the importance of both internal and external metaevaluation.

Appendix C: A Generic Checklist for Designing Evaluations

Focusing the Evaluation

- Determine the evaluation assignment and client.
- Identify the major levels of evaluation audiences, e.g., program leaders, staff, and recipients.
- Identify each audience's questions, information needs, and concerns about the evaluation.
- Identify parties who might be harmed by the evaluation, and obtain their input.
- Examine the background of the request for the evaluation and its social and political contexts.
- Identify and address potential barriers to the evaluation, e.g.:
 - need to gather sensitive information
 - limited access to all the relevant information
 - human subject review requirements
 - requirements for confidentiality or anonymity
 - restrictions on the evaluator's authority to edit reports
 - client's hedging on decisions to release reports to all right-to-know audiences
 - opponents of the evaluation
 - conflicts of interest
 - issues of race and language
 - high indirect cost rate
 - lack of needed funds
- Identify and review relevant information, e.g., previous evaluations of the program, evaluations of similar programs, pertinent literature, and relevant needs assessments.
- Agree with the client on the evaluation model or approach to be applied.
- Agree with the client on the time frame, the evaluators, key evaluation questions, required reports, client and stakeholder responsibilities, and allowable cost for the evaluation.

Analyzing Information

- Identify bases for interpreting findings, such as beneficiaries' needs, objectives, standards, norms, the program's previous costs and performance, costs and performance of similar programs, and judgments by experts and program stakeholders.
- Specify qualitative analysis procedures, e.g., thematic analysis, content analysis, summaries, scenarios, or contrasts of photographs.
- Specify quantitative analysis procedures, e.g., descriptive statistics; trend analysis; cost analysis; significance tests for main effects, interactions, and simple effects; effect parameter analysis; meta-analysis; test item analysis; factor analysis; regression analysis; and charts, tables, and graphs.
- Select appropriate computer programs to facilitate quantitative and qualitative analyses.
- Plan to search for trends, patterns, and themes in the qualitative information.
- Plan to contrast different subsets of qualitative and quantitative information to identify both corroborative and contradictory findings.
- Plan to address each evaluative question by referencing and citing the relevant qualitative and quantitative information.
- Plan to use qualitative information to elaborate and explain quantitative findings.
- Plan to state caveats as appropriate in consideration of any inconclusive or contradictory findings.
- Plan to synthesize quantitative and qualitative information, e.g., by embedding quantitative information within a qualitative narrative or by embedding interview

- Advise the client to fund an independent metaevaluation.
- Decide whether to proceed with the assignment.

Collecting Information

Consider collecting a wide range of information about the program, e.g.:

- context
 - history
 - beneficiaries
 - benefactors
 - goals
 - plans
 - schedule
 - reputation
 - resources
 - costs
 - staff
 - implementation
 - main effects
 - side effects
 - sustainability
 - transportability
 - judgments by stakeholders
 - judgments by experts
 - contrast to similar programs
- Choose the framework for collecting information, e.g., case study, sample survey, field experiment, or a multi-method study.
 - Determine the information sources: documents, files, databases, financial records, beneficiaries, staff, funders, experts, government officials, or community interest groups.
 - Determine the information collection instruments and methods, e.g.:
 - interviews
 - participant observers
 - literature review
 - search of archives
 - focus groups
 - Delphi
 - survey
 - rating scales
 - knowledge tests
 - debates
 - site visits
 - photography
 - video records
 - log diaries
 - goal-free study
 - case study
 - Specify the sampling procedures for each source: purposive, probability, or convenience.
 - Seek to address each main question with multiple methods and data points.
 - Schedule information collection, denoting times when each information source and each method will be engaged.
 - Assign responsibilities for information collection.

responses and other qualitative findings in the discussion of quantitative findings.

- Anticipate that the client or other stakeholders may require recommendations to correct problems identified in the findings, and be prepared to explain that the same data that uncovered the problems are unlikely to provide valid direction for solving the problems.
- Consider planning a follow-up evaluation to generate and validly assess alternative courses of action for solving identified problems; such procedures might include an input evaluation of available alternative solution strategies, creation and evaluation of new solution strategies, engagement of relevant experts, review of relevant literature, or a working conference to chart and assess possible courses of action.

Reporting Information

- Clarify the audiences for evaluation reports, e.g., the program's client, staff, policy board, and beneficiaries.
- Identify reports needed by different audiences, such as interim, final, or component-specific reports; context, input, process, and product evaluation reports; technical appendixes; executive summary; and an internal metaevaluation report.
- For each report, determine the appropriate formats, such as printed, oral, electronic, multimedia, storytelling, or sociodrama.
- Outline the contents of at least the main reports, showing how findings from different sources and methods will be synthesized to answer the main evaluation questions.
- Consider dividing the final report into three sub-reports: Program Background (for those who need background information), Program Implementation (for those who would replicate the program), and Program Results (for the entire audience).

- Orient and train data collectors.
- Give the client and other interested parties a rationale for the information collection plan.
- Review the information collection plan's feasibility with the client, and consider making prudent reductions.

Organizing Information

- Develop plans and assignments for coding, verifying, filing, controlling, and retrieving information.
- Design a database for the obtained information, including appropriate software.
- Specify the equipment, facilities, materials, and personnel required to process and control the evaluation's information.

- In the technical appendix, include information such as the following:

- resumes of evaluation staff and consultants
- information collection instruments and protocols
- reports of findings for particular data collection procedures
- data tables
- log of data collection activities
- list of interim reports
- the evaluation contract
- summary of evaluation costs
- internal account of how well the evaluation met the evaluation profession's standards

- Develop a plan and schedule for delivering reports to the right-to-know audiences.
- As appropriate, obtain prerelease reviews of draft reports.
- Conduct feedback workshops or other types of reporting sessions to assist the client group in reviewing and discussing draft evaluation reports.

Administering the Evaluation

- Delineate the evaluation schedule.
- Define and plan to meet staff and resource requirements.
- Ensure that the evaluation plan is sufficient to meet pertinent standards of the evaluation field.
- Provide for at least internal formative and summative metaevaluations.
- Delineate a budget for the evaluation.
- Negotiate an evaluation contract, specifying audiences, evaluator responsibilities and protocols, and editorial and dissemination responsibility and authority, among other provisions.
- Provide for reviewing and updating the evaluation plan, budget, and contract.

ⁱ For ease of communication, throughout this checklist, we refer to the object of an evaluation as a program. In reality objects of evaluations may be a program, project, product, service, organization, system, theory, plan, person, etc. The focal objects in this checklist are programs and projects, but the checklist could be adapted and applied to other entities, such as a personnel evaluation system.

ⁱⁱ In a goal-free study, a contracted goal-free evaluator, by agreement with the client, is prevented from learning a program's goals and is charged to document and assess what the program is actually doing and achieving, irrespective of its aims. This technique is powerful for identifying side effects, or unintended outcomes, both positive and negative, and for describing what the program is actually doing, irrespective of its stated procedures. For descriptive and illustrative information on goal-free evaluation, see pp. 264-265 and 374 in Stufflebeam and Shinkfield (2007), also pp. 347-348 in Stufflebeam and Coryn (2014).

ⁱⁱⁱ The current version of the CIPP Model subscribes to the 2011 Program Evaluation Standards, developed by the Joint Committee on Standards for Educational Evaluation and grounds its concept of metaevaluation in these standards of utility, feasibility, propriety, accuracy, and evaluation accountability. However, sound metaevaluations may be based on other vetted standards, such as the U.S. Government Office (Controller General of the United States, 2007) Government Auditing Standards or the American Evaluation Association (2018) Guiding Principles for Evaluators. Also, in some metaevaluations, it can be acceptable to reference more than one set of vetted standards.

^{iv} This checklist subscribes to the Joint Committee (2011) Program Evaluation Standards. These standards are grouped and summarized below.

The Utility standards are intended to ensure that the evaluation will serve the information needs of intended users. Specific Utility standards are Evaluator Credibility, Attention to Stakeholders, Negotiated Purposes, Explicit Values, Relevant Information, Meaningful Processes and Products, Timely and Appropriate Communicating and Reporting, and Concern for Consequences and Influence.

The Feasibility standards are intended to ensure that the evaluation will be realistic, prudent, and frugal. Specific Feasibility standards are Project Management, Practical Procedures, Contextual Viability, and Resource Use.

The Propriety standards are intended to ensure that the evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results. Specific Propriety standards are Responsive and Inclusive Orientation, Formal Agreements, Human Rights and Respect, Clarity and Fairness, Transparency and Disclosure, Conflicts of Interest, and Fiscal Responsibility.

The Accuracy standards are intended to ensure that the evaluation will reveal and convey technically adequate information about the features that determine the program's worth or merit. Specific Accuracy standards are Justified Conclusions, Valid Information, Reliable Information, Explicit Program and Context Descriptions, Information Management, Sound Designs and Analyses, Explicit Evaluation Reasoning, and Communication and Reporting.

The Evaluator Accountability standards are intended to ensure that an evaluation is appropriately documented and systematically, thoroughly, and transparently assessed both internally and externally, for its utility, feasibility, propriety, and accuracy. Specific Evaluator Accountability standards are Evaluation Documentation, Internal Metaevaluation, and External Metaevaluation.

For detailed information related to evaluation standards, please see the Joint Committee (2011) Program Evaluation Standards; Chapter 3 in Stufflebeam and Shinkfield (2007); Chapter 3 in Stufflebeam and Coryn (2014), and Stufflebeam’s Program Evaluations Metaevaluation Checklist (available at www.wmich.edu/evalctr/checklists).

^v The feedback workshops referenced throughout the checklist are a systematic approach by which evaluators present, discuss, and examine findings with client groups. A checklist for planning feedback workshops can be found at www.wmich.edu/evalctr/checklists/. Also, see pp. 626-628 in Stufflebeam and Shinkfield (2007) and pp. 601-603 and p. 620 in Stufflebeam and Coryn (2014).

^{vi} Applications of the CIPP Model have typically included relatively low-cost evaluation team members who spend much time at the program site systematically observing and recording pertinent information. (Their costs are relatively low because they reside in the program’s geographic area and/or are relatively junior members of the evaluation field, such as graduate research assistants.) Called Traveling Observers when program sites are dispersed, or Resident Observers when program activities are all at one location, these evaluators help design and subsequently work from a specially constructed Traveling Observer’s Handbook containing prescribed evaluation questions, procedures, forms, and reporting formats. Such handbooks are tailored to the needs of the particular evaluation. While the observers focus heavily on context and process evaluations, they may also collect and report information on program plans, costs, impacts, effectiveness, sustainability, and transportability. The use of such specialists enhances the feasibility of regularly and closely studying a program when it would be too costly for the lead evaluators or high-cost experts to be on site for extensive periods of time. For additional information on the “traveling observer technique” see pp. 580-581 in Stufflebeam and Shinkfield (2007) and pp. 327-329 and p. 551 in Stufflebeam and Coryn (2014).

^{vii} Whereas each of the seven evaluation components includes a reporting function, findings from the different components are not necessarily presented in separate reports. Depending on the circumstances of a particular reporting occasion, availability of information from different evaluation components, and the needs and preferences of the audience, information across evaluation components may be combined in one or more composite reports. Especially, process, impact, and effectiveness information are often combined in a single report. Also, product evaluation findings usually should be interpreted in terms of the program’s effectiveness in meeting assessed needs, e.g., as determined through systematic context evaluation. The main point is to design and deliver evaluation findings so that the audience’s information requirements are served effectively and efficiently. Using naval terms, one could consider each of the seven types of evaluation (context, input, process, impact, effectiveness, sustainability, transportability) when conducted alone akin to a ship on an individual mission or—remembering something Lee Cronbach once said—a combination of several evaluation studies conducted in concert is like a fleet of ships pursuing a common mission.

^{viii} An advocate teams study employs a technique for use in input evaluations in which teams work in isolation from each other to generate competing proposals for meeting targeted needs and in which an independent team subsequently evaluates the alternative proposals against established criteria. For descriptive and illustrative information on the technique, see pp. 340, 478-492, 498-499, 581, 643, and 675-678 in Stufflebeam and Shinkfield (2007) and pp. 325-326 in Stufflebeam and Coryn (2014).

^x Clearly, different audiences have different needs and interests regarding the range of information available from an evaluation. A report on a program's background, organizational setting, and geographic environment would be of considerable interest to an audience that had no previous contact with the program; this same information would be of much less interest to an audience that possesses detailed familiarity with such matters. Potential adopters of a program often would want detailed documentation on how the program was organized, designed, staffed, funded, and operated, but many other persons with interest in the program would not require such detailed information. Likely, all audiences for the program evaluation would want information on its outcomes and judgments of its value. In general, evaluators are advised to identify the different audiences for an evaluation, analyze their differential needs, and—accordingly—design, prepare, and deliver modularized reports. When presented with such a modularized report, the different audiences can turn directly to the section(s) that most interest them. Providing such easy access to the desired information is in the interest of increasing the evaluation's impacts.

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