

Investment Risk

Assessment Protocol – with regard to the likelihood that a nonprofit organization is producing Social Value reliably

For use by External Analysts

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Introduction

This tool is designed to enable external analysts *trained in its use* – with explicit attention paid to achieving and assuring inter-rater reliability – to assess the likelihood that investing in a *nonprofit social or behavioral services agency*¹ will deliver social value as defined by the intended beneficiaries' achievement of measurable outcomes or impacts². This assessment should provide meaningful information to nonprofit funders who care about whether the money that they bring to a given nonprofit is likely to be of benefit to society.

Our development of this assessment has been informed by the approach to understanding social value described in the 2008 white paper *Guide to Effective Social Investing*.³ We have designed it using a risk assessment approach because funds available to support nonprofits are limited, while at the same time the vast majority of nonprofits have little by way of data to show that they are accomplishing what they intend. Therefore, the risk is significant that funders will make investments in nonprofit organizations that do not have much probability of yielding social value.

This assessment looks at qualitative and quantitative data to assign a level of risk to investing in a given nonprofit organization. By *high risk investment* we mean that funding a nonprofit, as it exists at the moment, is not likely to produce social value. We recognize fully that such high risk, developmental investing is essential to the nonprofit sector and to our society, inasmuch as it stimulates and supports innovative efforts to grapple with intractable societal challenges and provides the resources necessary to launch start-up projects or build up young or relatively small or weak organizations that seek to address them. *We do not intend to discourage high risk investing; but we do believe that high risk investing brings with it high levels of investor responsibility* – that it is incumbent on the investor to become involved with the organization and bring nonfinancial resources to it (technical assistance, access to other funders, etc.) in order to help it develop organizational depth, sustainability, effectiveness, and reliability. *Failure to do so will more often than not mean that the organization will remain at its current level of development and be unlikely to produce social value* – which at the very least means the investment is largely a waste of money and, for intended beneficiaries, the services they get will have high opportunity costs.

In contrast, a *low risk investment* generally will involve funding more mature organizations with well developed performance management capacities. (Some people call this mezzanine investing.) Such investments also are essential to society and the nonprofit sector, for they strengthen the sector's ability to do effective work right now, addressing pressing problems where delay means continued human suffering or perpetuating structural social inequalities and the associated problems this engenders for marginalized or disadvantaged groups, families, and

¹ Organizations working in different domains would need to have a tool with significantly different questions.

² Another assessment tool is designed for agencies that focus on providing output services – and looks at social value in terms of providing high quality services.

³ A copy in pdf format can be downloaded from the website of the *Working Group for Effective Social Investing* at: <http://www.alleffective.org/>. We have, however, moved beyond some of the ways in which the Guide thinks about key assessment metrics, based on our experiences beta-testing the tool with nonprofit organizations we know well (which thereby serve as a validity test) and by discussing the resulting ratings with their executive directors. Our adjustments to the questions in this tool have been considerable over the course of this process.

individuals. *Such investing amounts to purchasing social value, and requires little of the investor beyond making good selections.*

The Guide to Effective Social Investing identified three performance domains – tactical data use, strategic data use, and program value – that together define the social value of an agency’s work. Two indicators were defined for each domain. These domains and indicators⁴ are:

1. Tactical Data Use Domain

- a. Data Integrity Indicator
- b. Outcomes Focus Indicator

2. Strategic Data Use Domain

- a. Making Essential Adjustments Indicator
- b. Relating Staff Efforts to Outcomes Indicator

3. Program Value Domain

- a. Capacity to Deliver Program/Services with Fidelity Indicator
- b. Program Impact Indicator

We believe that the six indicators constitute those aspects of an organization that should be looked at closely when a social investor is attempting to determine the likelihood that an organization is able to generate social value reliably and sustainably.

To assess these indicators we have developed a short but comprehensive set of simple and straightforward questions that, when answered and scored, produce valid and useful ratings of organizations in each of the three performance domains. ***Organizations that rate high (in the red) in one or more domains are the riskiest investments.*** Of course, as we discussed above, that does not mean they should be avoided. But it does mean that a social investor should proceed with open eyes and the understanding that simply giving such organizations money most likely will not generate much in the way of social value. Such organizations will need considerable time and significant nonfinancial support – and a high degree of involvement from investors – to help them improve to the point where they are reliable sources of public good. These kinds of high risk social investments (which always involve great opportunity costs) can be considered the equivalent to venture capital investments in start-ups. Examples include many beloved grass roots, community-based, neighborhood, and faith-based organizations. And ***we propose that the intended results of such a high risk investment be the development of the organization itself***, not (in the foreseeable future) any outcomes it seeks for the people it serves. We call these ***social venture investments, and recognize that such investments have the potential for creating enormous social value over time.***

Investments in organizations with domain ratings mostly in the medium range (yellow) are somewhat less risky, but most will require no less by way of vigilance, nonfinancial support and

⁴ While the Guide used the concept of “data management discipline” as the first indicator of tactical data use, we have expanded this concept and therefore do not confine ourselves to rating whether performance data are valid and recorded in a timely manner; we also rate how complete the data are. Specifically, this tool lowers the rating of this indicator for organizations that have little by way of outcome data.

investor involvement if they are to mature into high social value institutions offering low risk investment opportunities. Again, the opportunity costs are significant and should not be underestimated. But, then too, ***such organizations offer investors the chance to roll up their sleeves and help those nonprofits that they find attractive do what is necessary to become high performing organizations – a real contribution to society when done successfully.***

By now it will come as no surprise that ***we see only those organizations in the low risk range (green) in all three domains as “blue chip” social investment opportunities – where investors’ dollars are essentially purchasing proven social value and there is little need for further investor efforts.*** However, even with such organizations there is a need for periodic reassessment. We believe that by applying this method initially, and at least annually thereafter, investors can usefully track the investment types (“blue chip,” to “social venture”) and risk levels across their social investment portfolios, plan the kind and degree of their involvement with the nonprofits in which they invest, and calculate how best to make future investments align with and enhance the social value that they care about.

But to be clear: ***An organization’s rating is only a snapshot of the organization at a single point in time.*** Organizations that are defined as “risky” investments using the rating tool on a given date may, in fact, be on an upward trajectory over a two or three year period that a social venture investor might reasonably expect to see realized. These organizations are perhaps the best long run “bets” of the social venture investor, provided they continue to improve and when appropriate undertake rigorous program evaluations. Of course, in the same line of thinking, a “risky” organization trending the wrong way through periodic use of the assessment tool should be avoided altogether – unless the investment is made very intentionally to arrest or reverse the organization’s decline (in which case there should be a time limit after which no further investments are made if no improvement is evident).

We have tested both individual questions and the tool as a whole with a large number of nonprofit organizations, the leaders of which have agreed that the resulting assessments fairly capture the state of their organizations and the level of investment risk they constitute. We hope that others will use it as a springboard for refining their thoughts about how best to assess the ability of social service agencies to deliver solid social value reliably, measurably, and sustainably.

And finally, we want to express our heartfelt gratitude to all the individuals who took the time to review and comment on various drafts, and to the nonprofit social service agencies that allowed us to pilot test this assessment on-site and thereby test its validity.

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February, 2010

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Nonprofit Investment Risk Assessment Protocol
For Social and Behavioral Service Agencies
For use by an external evaluator
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Date: _____

Nonprofit organization being assessed: _____

Location: _____

Evaluator / Analyst(s): _____

Instructions: The external evaluator will base his or her ratings on data collected during a site visit to the organization being assessed. At a minimum, the ratings should be based on interviews with the following people:

- *executive director and chief operating officer*
- *person directly in charge of all programming or services*
- *person in charge of reporting to funders (typically director of quality assurance/performance management or development director)*
- *each site director (for all sites – unless there are so many sites that a significant sampling is a reasonable alternative)*
- *each program director (at all sites or a sample of sites)*
- *one direct service staff member from each program (at all sites or a sample of sites)*

The evaluator should also review and take into account information derived from each of the following documents:

- *the most recent strategy that has been adopted by the board of directors*
- *written, operational versions of the organization’s mission, goals, and objectives*
- *the most recent operational theory of change*
- *any existing program logic models that are operational*
- *all external evaluation reports*
- *a sample of current, internal performance reports used in the management of each site and each program – including but not limited to: unduplicated counts of participants served, participant demographics, service utilization by participants, activities/efforts delivered by staff to participants, quality indicator reports, etc.*
- *relevant personnel policies and procedures that pertain to:*
 - *job descriptions*
 - *performance evaluations and compensation*
 - *service quality management*
 - *professional accountability*
 - *data entry*
 - *data use in supervision and program management*
 - *data integrity standards and processes for assuring data integrity*
- *a staff performance review form*

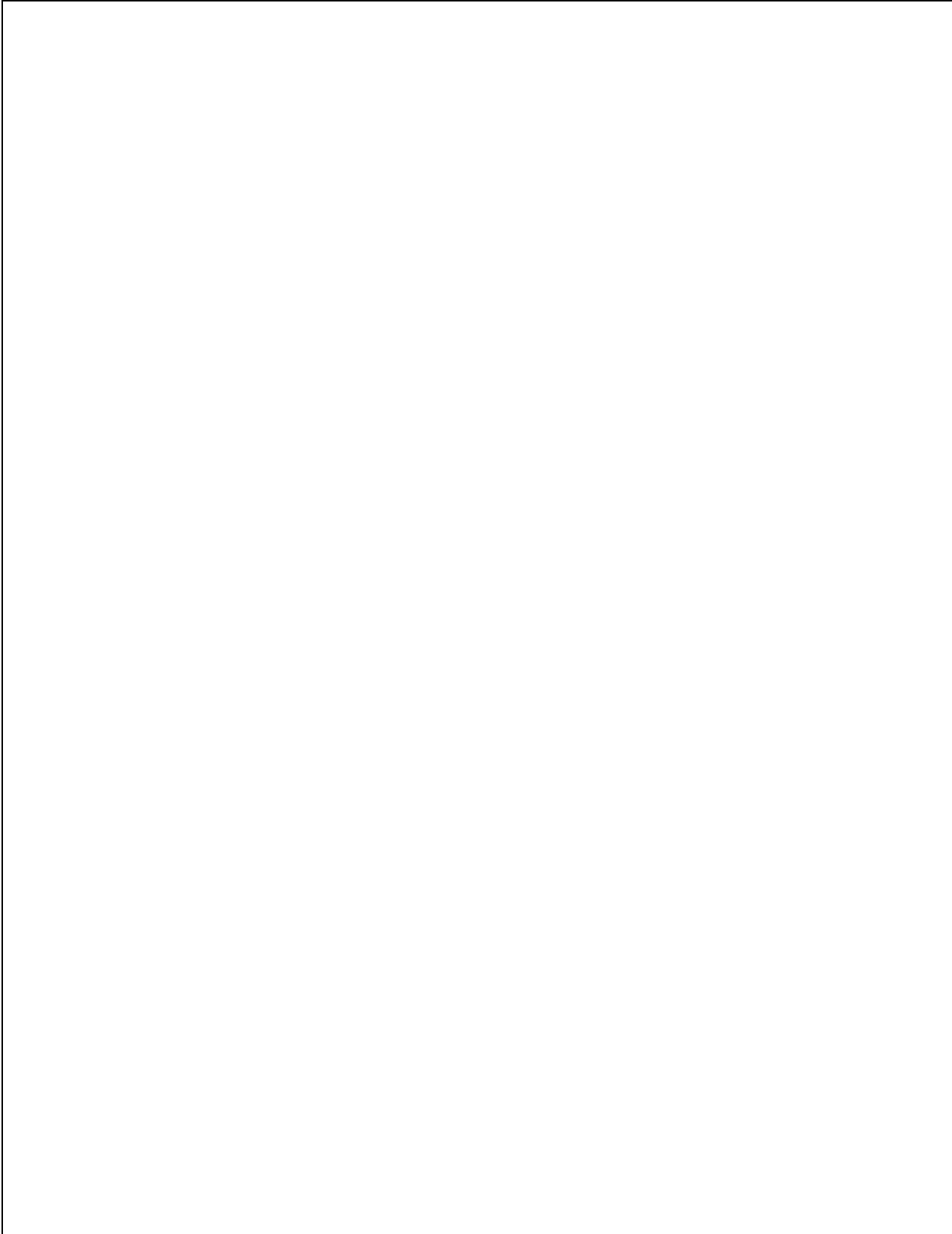
Summary of Assessment Findings⁵

Summative Domain Ratings	Investment Risk Level Low, Medium, High
Domain I: Tactical Data Use	
Domain II: Strategic Data use	
Domain III: Program Value	
Overall Organizational Rating	

Rationale for Overall Investment Risk Rating⁶

⁵ See pages 22 – 28.

⁶ Beyond that, we would suggest the following standard: A “low investment risk” rating can only be achieved if an organization has received a “low” rating in all 3 domains; a “high investment risk” rating is assigned if any of these domains has received a “high” rating. All other combinations of domain ratings should result in a “medium investment risk” rating.



Section I
Score all Items⁷

1. The organization's core programming consists of one or more programs or an array of services intended to achieve measurable outcomes or impacts for intended beneficiaries.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following data were reviewed to make this assessment:

List the specific service recipient or program participant outcomes that the organization aims to achieve.

⁷ Please Note: Scales vary in the direction of scores based on items' contents.

2. The organization monitors those outcomes for clients in its core programming that it believes are produced by staff activities/services (including negative outcomes when these become apparent).

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following data were reviewed to make this assessment:

List the specific outcomes and indicators the organization measures and tracks.

3. The organization monitors client contacts for its core programming,

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following data were reviewed to make this assessment:

This should be based on your assessment of how completely the organization monitors client contacts (whether on site or off site), how easy it is to retrieve such data, and how such data are actually utilized (e.g., infrequently to report to funders vs. for the purposes of managing day to day operations). Infrequently used or difficult to access data should result in a rating of 3 or 4.

4. For its core programming, the organization monitors how much time (hours and minutes) each client spends participating in programming or using services intended to produce outcomes or impacts over the course of a week.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

This includes outreach and time spent working to engage clients. Describe at least one such example if you give a rating of 1 or 2.

5. **In the past year**, the organization has made a significant change (e.g., restructuring, changes in personnel, adding/eliminating program[s], program redesign, change[s] to service frequency/intensity) **due to knowledge it gained from positive and/or negative performance data** it collected and analyzed.⁸

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Describe at least one such example if you give a rating of 1 or 2.

⁸ Changes made for other reasons are not pertinent to this assessment.

6. There are things that the organization believes it does very well in helping program participants make meaningful progress toward specific outcomes, but which it never monitors.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
4	3	2	1

The following interviews and associated findings were used to make this assessment:

Be specific in listing the things the organization believes it does very well, but about which it collects no data.

7. *This Question is only for: the executive director, the chief operating officer, the development director, and mid level management staff who are asked to produce data for external constituencies – not for front line staff.* When it is time to generate annual reports or requests for information from funders or other key constituencies, the organization spends the following amount of time⁹ retrieving the data and displaying it in a usable format.

At least a month	2 weeks to a month	1 - 2 weeks	Less than 1 week
4	3	2	1

The following interviews and associated findings were used to make this assessment:

N.B. This does not include the time it takes to write a report. Indicate specific estimates by each person interviewed regarding how much time the organization requires to pull the data out of wherever they are stored and configure them in a usable format.

⁹ This question is deliberately phrased in a subjective way – it rests on the assumption that organizations which feel burdened by having to spend what they consider to be a great amount of time to producing data outputs are not likely to have a system for generating data that is useful for day to day performance management.

8. **Ask only members of senior management and middle management.** The organization:
- a. Accepts only core programming funding
 - b. Generally accepts only core programming funding, but on occasion accepts revenues for peripheral programming
 - c. Prefers to accept only core programming funding, but often will accept revenues for peripheral programming
 - d. Accepts funding largely by availability

Score as follows: a = 1, b = 2, c =3, d = 4

The following interviews and associated findings were used to make this assessment:

The following must always be read to respondents: “What this means is that the organization has a history of, and an intention to continue, a strategy of pursuing and accepting grants, contracts and other funds largely by availability – regardless of whether the activities they support are well aligned with its core programming. It will, if necessary, hire new staff to provide the services called for in new contracts/grants if it doesn’t already have the capacity to do the work – and even if these new services are peripheral to its mission or not designed to produce outcomes for intended beneficiaries.”

Please discuss how your observations and discussions informed your rating.

9. **Ask only members of senior management and middle management.** The organization is planning to increase its capacity to serve people in its core programming (i.e., services that are intended to produce participant outcomes) by the following proportion within the next three years:

Over three times current number	Two to three times current number	Up to twice current number	Not at all
1	2	3	4

The following interviews and associated findings were used to make this assessment:

Please discuss how your discussions informed your rating.

10. **Ask only members of senior management and middle management.** Any growth in service capacity – through replication, expansion of current program size in present location(s), etc. – is in core programming (i.e., services that are intended to produce participant outcomes).

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following interviews and associated findings were used to make this assessment:

What this means is that the organization's growth strategy is focused on its core programming, not on expanding programs peripheral to its mission or services that are not designed to produce participant outcomes. This can include plans for future growth, if the organization has not grown recently. Please discuss how your observations and discussions informed your rating.

11. In its core programming, the organization has implemented systems and processes for assuring operational adherence to original program design.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
3	6	9	12

The following interviews and associated findings were used to make this assessment:

*Discuss the degree to which the core program is codified: with clearly delineated services/activities, specific personnel intended to deliver them, implementation and performance standards – and the use of specified data to assure fidelity to the model. **If the program is not fully codified in the areas just listed, make a rating of 9 or 12.***

12. The organization currently is focusing on improving the quality of its programming.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following interviews and associated findings were used to make this assessment:

Discuss the quality improvement processes that are used, and the data that are tracked to inform these processes. Give examples of any organizational adjustments that these processes have driven over the past year.

13. The organization's performance management database reports¹⁰ on (check all that apply):
- a. Client enrollment data (demographic and/or baseline data) ___
 - b. Client contacts ___
 - c. Incremental short term outcomes ___
 - d. Staff direct service activities ___

4 items checked	3 items checked	2 items checked	0 or 1 item checked
1	2	3	4

The following data were reviewed to make this assessment:

Short term outcomes are incremental changes in clients' attitudes, emotions, knowledge, behavior or social condition that must be achieved while they are in the program.

¹⁰ Obviously the system will not be able to report on these data sets if it is not tracking them.

14. The organization’s performance management data system tracks participant’s achievement of outcomes at least yearly if a program is intended to serve participants for more than one year (so-called intermediate outcomes).

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	3	3	4

The following data were reviewed to make this assessment:

15. The organization’s front line staff members are held accountable for how well their efforts succeed in helping clients achieve targeted outcomes.

Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree
3	6	9	12

The following interviews and associated findings were used to make this assessment:

Accountability means that performance is assessed, staff are provided with professional development opportunities if they are not proficient in meeting performance standards, improvement required where standards are not met, and dismissal is the result should there be no improvement over a significant period of time.

N.B.: This will require a review of personnel policies and procedures. If these are vague or not available in regard to this matter, respondents’ assertions that staff are held accountable for client outcomes should be tempered with judicious skepticism. Please discuss what led to your final rating of this item.

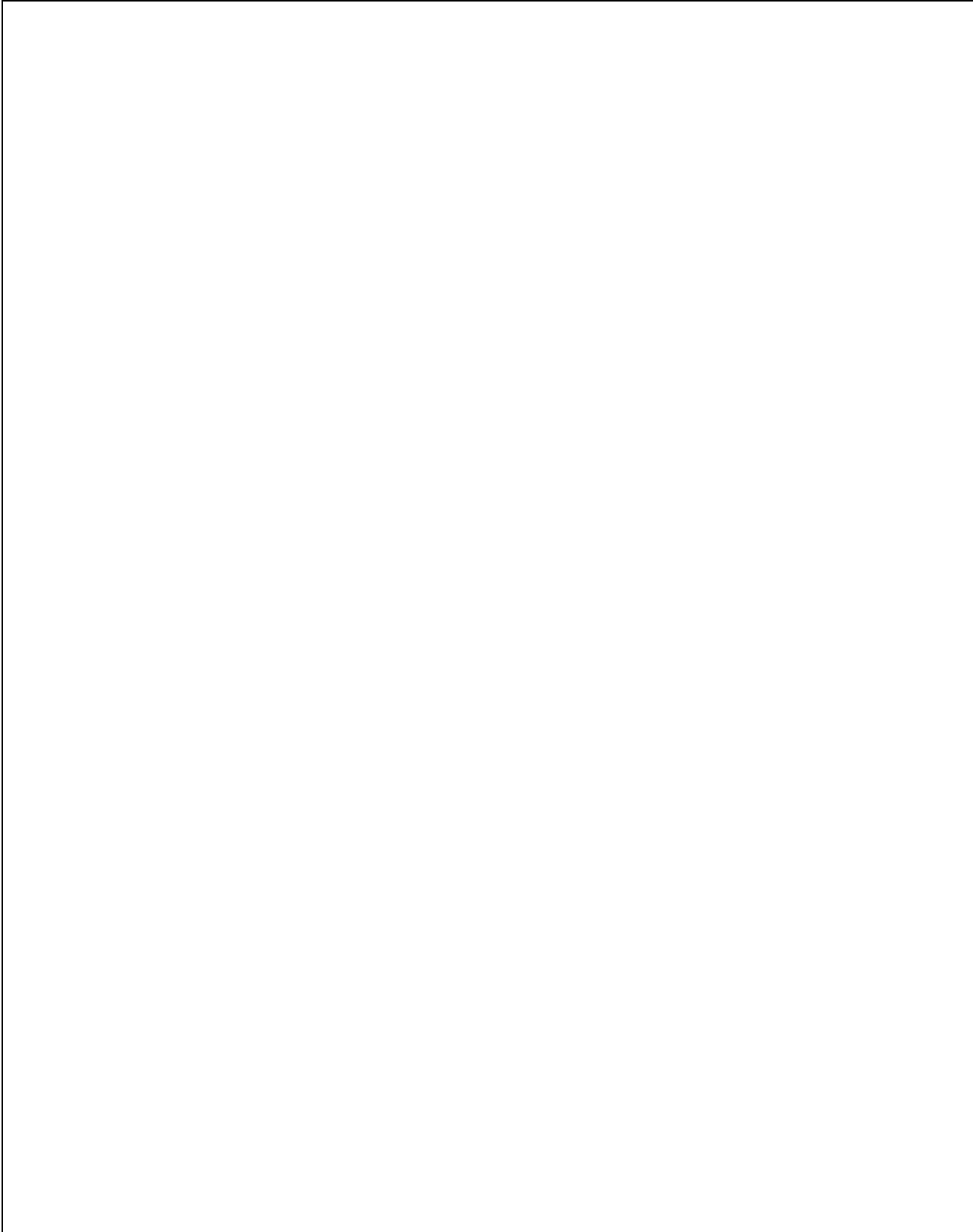


16. The organization’s front-line staff and their supervisors review aggregated client outcome data in documented meetings to manage performance.

Weekly	Every two weeks	Monthly	Less frequently than monthly
1	2	3	4

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Such reviews are essential to ensure fidelity to their service models or programs. Discuss what you learned about performance management reviews – both in personnel policies/procedures and in interviews.



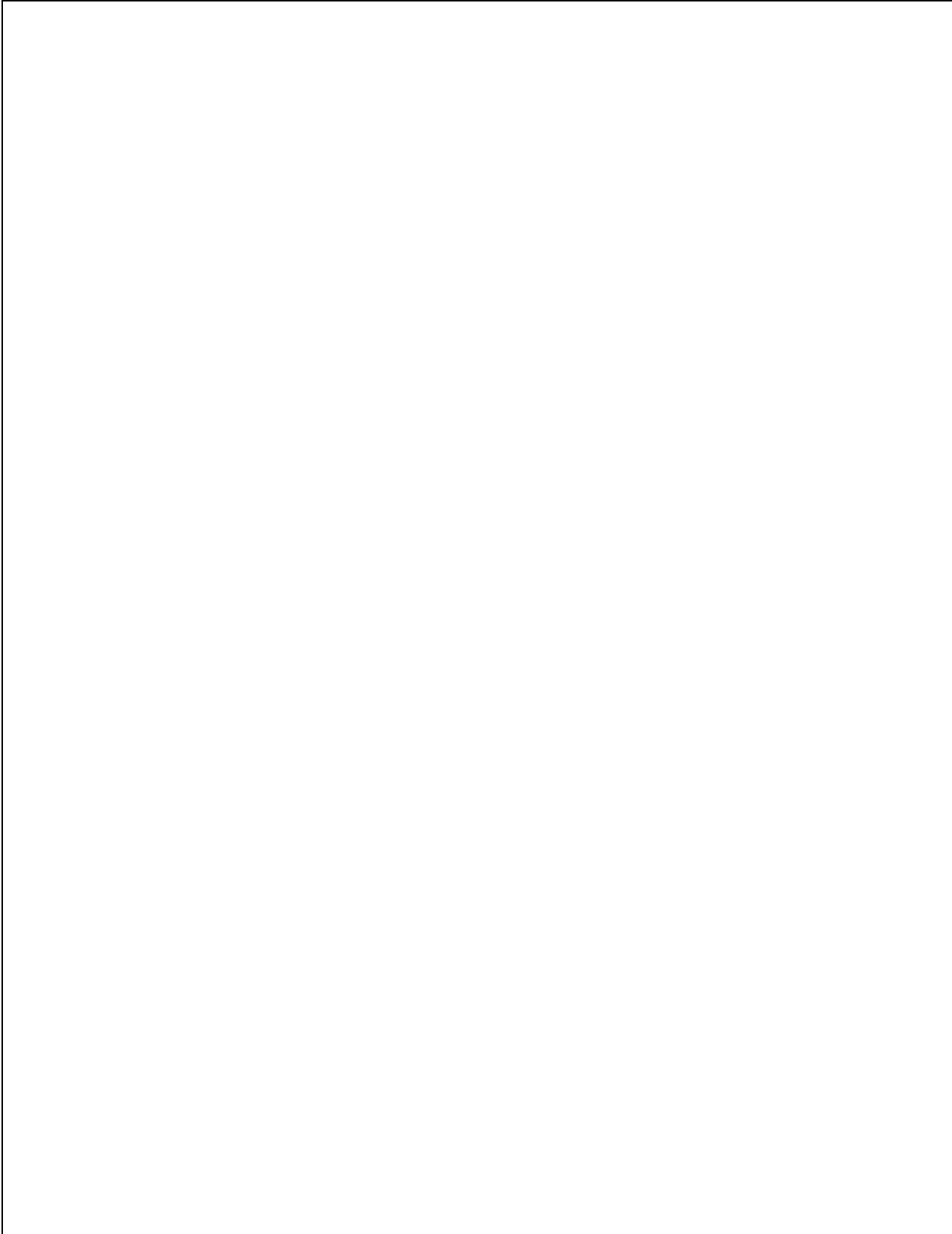
17. The organization systematically monitors client outcomes (positive and negative) until it knows whether participants have achieved benefits that are sustained no less than a full year after they have ended their use of services – i.e., are no longer enrolled (long-term outcomes).

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following data were reviewed to make this assessment:

Indicate all the outcomes that are tracked in the organization's data system, and/or are documented in external evaluation(s); list the indicators that are used, and the time period for which the organization tracks such data after participants have completed its program(s).¹¹ This will permit review of the rating in case there is some ambiguity regarding what constitutes a long-term outcome for this organization.

¹¹ This also is a way to look at how deeply the organization understands basic performance management concepts – such as, in this case, long term outcomes.



18. The organization routinely checks to verify data accuracy.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
3	6	9	12

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Checks on accuracy involve observing, to the extent reasonable, whether client contacts, staff activities and client progress toward outcomes are indeed taking place as noted in the data .

Do not give a rating of 1 even if the organization does make such checks if it fails to require corrective actions as indicated. Cite relevant personnel policies and practices where these are available, take note if no such documents exist.

19. Program staff at all levels of the organization are held accountable for data quality.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
3	6	9	12

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Data quality encompasses timeliness, completeness and accuracy of data entry.

This will require a review of personnel policies and procedures. If these are vague or not available in regard to this matter, respondents' assertions that staff are held accountable for data quality should be tempered with judicious skepticism. Please discuss what led to your final rating of this item.

20. Supervision of front-line staff is grounded in reviews of the outcomes achieved by the clients they are serving.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
1	2	3	4

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

This will require a review of personnel policies and procedures. If these are vague or not available in regard to this matter, respondents' assertions that staff supervision is grounded in client outcome data should be tempered with judicious skepticism. Please discuss what led to your final rating of this item.

Section II

Give the rating that most closely describes the organization

21. The likely positive¹² impact (related to intermediate and long term outcomes¹³) of the organization’s core programming has been (*note to analyst: in asking this question, read from the right to the left column until you reach a statement that is not true; give the rating appropriate for the statement that best captures the true level of evaluative data*):¹⁴

Proven in at least one experimental evaluation (i.e., using a randomized control group study by an external evaluator). ¹⁵	Demonstrated by the use of internal performance data (outcomes) that have been analyzed by external evaluator(s) and compared to outcomes obtained for carefully matched group[s] of non-participants)	Demonstrated through internal performance data that have been benchmarked systematically against similar outcomes for the general population (or key groups) through the use of public data sets by an internal evaluator.	Suggested by comparing program participant outcomes to duration and dosage of their program participation.	Suggested by tracking program participant outcomes.	Suggested by collecting stories about program participants and /or output data (number of people served, etc.).
3 or 6 ¹⁶	9	12	18	24	30

¹² **Negative impact data should, if they point to serious threats to program participants’ lives and prospects, immediately result in a rating of “high risk” investment...trumping all other considerations.** Where some negligible negative impacts are noted, these should be weighed against whatever positive impacts are established...and might result in a decision to rate the organization as a “medium level risk” investment, with the idea that with some hard work the negative impacts can be eliminated and the positive ones strengthened or amplified.

¹³ Programs that produce short term outcomes only have much less social value and hence are higher social value investment risks than those that produce intermediate outcomes (measured when participants leave programming) and long term outcomes (measured one or more years after the end of program participation).

¹⁴ **Note: use only the numeric scores indicated – do not use intermediate numbers!**

¹⁵ N.B – the RCT evaluation need not have been done by the organization being assessed. It is enough for the organization to be using core programming that has been proven effective by its use in at least one other organization – provided that the target population being served is the same. **If the target population is not the same, the analyst should give a score of 6 or 9 (which is the next level down) based on his/her judgment of the closeness of the two groups.** The reason it is not essential for the organization being assessed to have done the research itself is because at various points throughout this assessment the organization’s ability to deliver programming with fidelity is being rated.

¹⁶ Rate as a 6 if any key findings for intermediate or long term impacts were statistically valid, but below a 95% degree of confidence. If none of the key findings were statistically valid at or above a 90% degree of confidence, give a rating of 9.

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Please cite specific evaluation reports – including who did them, when and where they were done, and with what populations

Please list the outcomes or impacts documented by the evaluation(s) you reviewed, and state your confidence in the data and findings, as well as your opinion of their significance (statistical significance, effect size) and social importance:

Please develop and discuss the rationale for your final rating of this question:

Section III

For each item, choose the answer which best reflects the organization

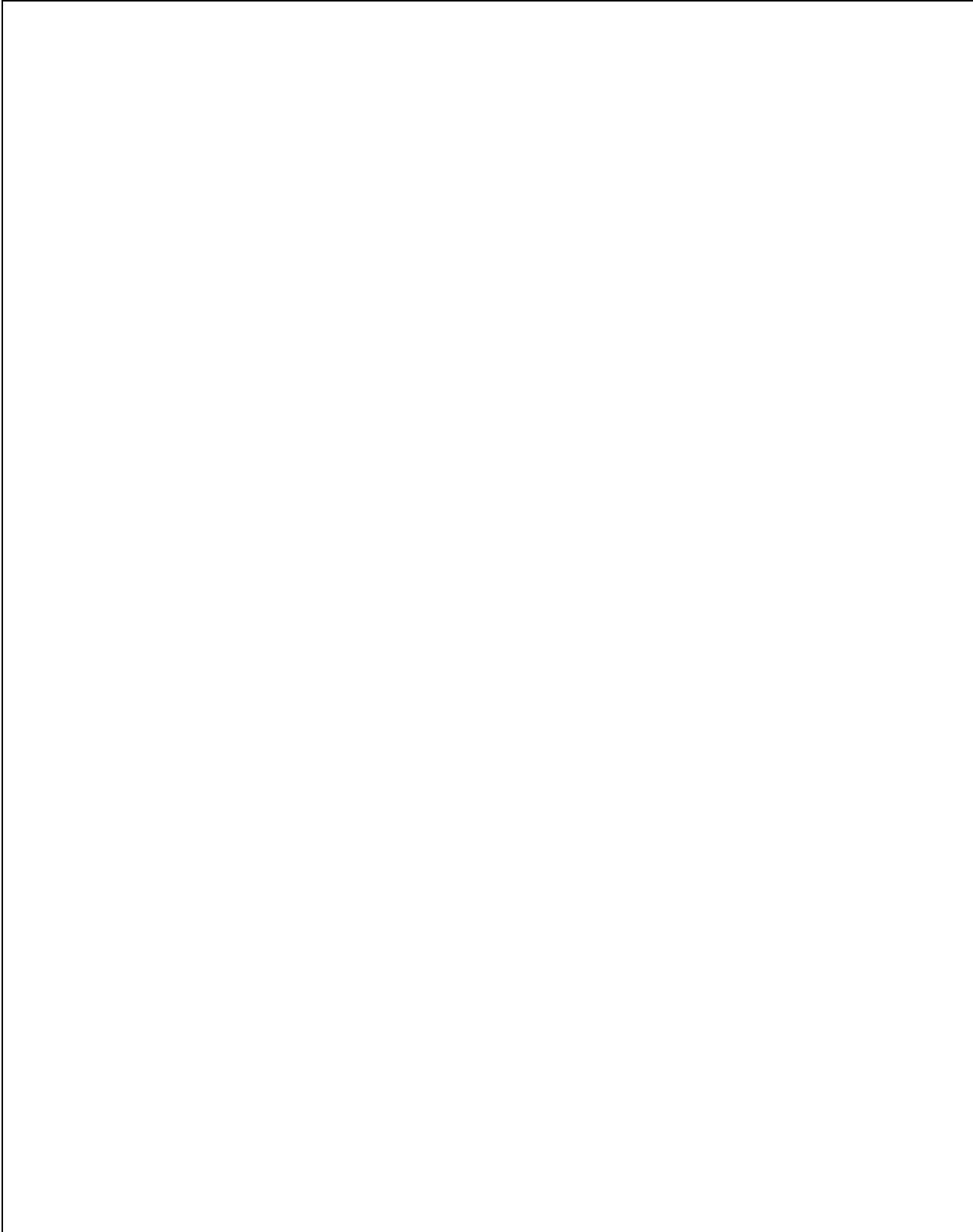
22. The evidentiary basis for the organization's practices¹⁷ is best described in the following way:
- a. The organization's core program model(s) as a whole has/have been proven effective by one or more impact evaluations (done by one or more other organizations using this/these model(s), or by the present organization) in one or more scientifically valid experimental or quasi-experimental evaluations.
 - b. The program model(s) incorporate(s) elements taken from other, similar programs that have been proven valid by research done in one or more scientifically valid impact evaluations(s) using experimental or quasi-experimental evaluations.
 - c. The program model(s) was/were designed using knowledge that has been developed by social researchers interested in the population this program serves
 - d. The program model(s) was/were designed using what practitioners consider "best practices."
 - e. None of the above.

Score as follows: a = 3, b = 6, c = 9, d = 12, e = 15

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Describe the evidentiary basis for all programs used by the organization, and also how closely the program model(s) is/are tied to evidence-based knowledge. If there is a range of evidentiary basis for different programs offered by the agency, rate each program separately and then take the average of these ratings to give a score.

¹⁷ This may refer to the practices of one program for a single-service agency, or those in multiple programs for a multi-service agency



23. The organization has a theory of change for its core programming featuring:

- a. A well defined target population
- b. One or more codified program(s) – with clear elements/activities, personnel competencies, implementation standards¹⁸, performance standards¹⁹
- c. Measurable outcomes for programs intended to produce outcomes

Score as follows: no elements are present = 12, one element present = 9, two elements present = 6, three elements present = 3

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Discuss the documentation, or lack of it, of the organization's theory of change. It is acceptable if there is no separate document codifying the theory of change, if the elements have been delineated in other documentation (e.g., a policy and procedure manual). Absence of any written theory of change – or assertion of an implicit but not codified theory of change, should be rated as "no elements present" = a rating of 12.

¹⁸ Implementation standards are specifications regarding how a program or service must be delivered: where, by whom, how often, for how long, and using what activities.

¹⁹ Performance standards are specifications of the organization's expectations in relation to the rate(s) of achieving success – e.g., the number and percent of program participants or service recipients who achieve each targeted outcome.

24. The outcomes tracked by the organization are the key short term, intermediate, and long term outcomes that research has shown are essential for members of the target population being served to improve their lives meaningfully.

Agree strongly	Agree somewhat	Disagree somewhat	Disagree strongly
3	6	9	12

This is not to be asked as a question. It is an assessment to be made by the analyst.

Discuss the basis for your assessment, including reference(s) to research or evaluation studies.

25. The organization's theory of change has which of the following characteristics. It is:
- a. **Plausible** (i.e., it has face validity, it "makes sense" to the informed reviewer)
 - b. **Doable** (i.e., it can be executed fully within available resources)
 - c. **Measurable** (i.e., its various key elements can be monitored using operational data – qualitative and quantitative)
 - d. **Testable** (i.e., its implementation standards, performance standards, and success criteria are stated in ways that allow for internal program management and external evaluation)

Score as follows: no elements are present = 15, one element present = 12, two elements present = 9, three elements present = 6, four elements present = 3

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

Discuss how you assessed the four indicators (plausibility, doability, measurability, testability)

26. *Ask only members of senior management and middle management.* What percent of the organization's **program budget** is devoted to its core programming as opposed to "service population" or peripheral programming?

Above 85%	70% to 84%	55% to 69%	Below 55%
3	6	9	12

This question is only to be asked of the executive director, chief operating officer, director of all programs, and chief financial officer.

N.B. Overhead/administrative budget must be excluded from this calculation. Discuss the basis for your assessment.

27. The organization serves _____ participants in its outcome-producing programs annually

Over 1000	600 - 1000	300 - 599	Under 300
2	4	6	8

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

The rating must be based on a review of a minimum of two years' worth of data immediately preceding the current year, plus the current year to date data. If a full set of such data are not available, an automatic rating of 8 must be assigned.

28. *Ask only members of senior management and middle management.* The percent of participants who exit the organization’s outcome producing program(s) prematurely²⁰ each year averages:

Less than 10%	10% – 17%	17.01% - 25.00%	Over 25%
3	6	9	12

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

The rating must be based on a review of a minimum of two years’ worth of data immediately preceding the current year, plus the current year to date data. If a full set of such data are not available, an automatic rating of 12 must be assigned.

²⁰ This refers to participants who leave before they have achieved the outcomes that have been designated as the criteria for judging that the program(s) is/are effective.

29. *Ask only members of senior management and middle management.* The organization averages _____ percent front line staff turnover annually.

Under 10%	10.01% - 15%	15.01% - 20%	Over 20%
4	8	12	16

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

The rating must be based on a review of a minimum of two years' worth of data immediately preceding the current year, plus the current year to date data. If a full set of such data are not available, an automatic rating of 16 must be assigned.

30. **Ask only members of senior management and middle management.** The percent of core (outcome producing) program participants that have received a full dosage of programming/services necessary for them to achieve key outcomes - as called for by the theory of change is:

Over 90%	75% - 89.9%	60% - 74.9%	Under 60%
4	8	12	16

The following interviews and associated findings were used, and data were reviewed, to make this assessment:

The rating must be based on a review of a minimum of two years' worth of data immediately preceding the current year, plus the current year to date data. If a full set of such data are not available, an automatic rating of 16 must be assigned.

Indicator Scoring Tool
 Scoring System Developed by
 David E. K. Hunter, Ph.D.
 Hunter Consulting LLC

Domain I: Tactical Data Use

Indicator 1: Data Integrity

Pertinent Assessment Items	Evaluator's Assessment Score
#2	
#3	
#4	
#6	
#13	
#14	
#16	
#17	
#18	
#19	
Total Score	

Indicator 1: Data Integrity – Total Score Range	Indicator 1: Numeric risk rating
14 - 17	1
18 - 21	2
22 - 25	3
26 - 29	4
30 - 33	5
34 - 37	6
38 - 41	7
42 - 46	8
47 - 51	9
52 - 56	10

Indicator 2: Outcomes Focus

Pertinent Assessment Items	Evaluator's Assessment Score
#1	
#2	
#5	
#7	
#8	
#9	
#10	
#12	
#13	
#14	
#15	
#16	
#17	
#20	
#23	
#24	
Total Score	

Indicator 2: Outcomes Focus – Total Score Range	Indicator 2: Numeric risk rating
22 - 27	1
28 - 33	2
34 - 39	3
40 - 46	4
47 - 53	5
54 - 60	6
61 - 67	7
68 - 74	8
75 - 81	9
82 - 88	10

Domain II: Strategic Data Use

Indicator 3: Making Adjustments

Pertinent Assessment Items	Evaluator's Assessment Score
#5	
#9	
#10	
#12	
#13	
#15	
#23	
#24	
Total Score	

Indicator 3: Making Adjustments – Total Score Range	Indicator 3: Numeric risk rating
14 – 17	1
18 – 21	2
22 – 25	3
26 – 29	4
30 – 33	5
34 – 37	6
38 – 41	7
42 – 46	8
47 – 51	9
52 – 56	10

Indicator 4: Relating Staff Efforts to Outcomes

Pertinent Assessment Items	Evaluator's Assessment Score
#2	
#3	
#4	
#5	
#6	
#8	
#11	
#12	
#13	
#14	
#15	
#16	
#17	
#20	
#23	
#24	
Total Score	

Indicator 4: Relating Staff Efforts to Outcomes – Total Score Range	Indicator 4: Numeric risk rating
24 - 30	1
31 - 37	2
38 - 44	3
45 - 51	4
52 - 59	5
60 - 67	6
68 - 75	7
76 - 83	8
84 - 91	9
92 - 99	10

Domain III: Program Value

Indicator 5: Capacity to Deliver Program/Services with Fidelity

Pertinent Assessment Items	Evaluator's Assessment Score
#1	
#2	
#3	
#4	
#5	
#6	
#7	
#8	
#9	
#10	
#11	
#12	
#13	
#14	
#15	
#16	
#17	
#18	
#19	
#20	
#22	
#23	
#24	
#25	
#28	
#29	
#30	
Total Score	

Indicator 5: Capacity to Deliver Program/Services with Fidelity – Total Score Range	Indicator 5: Numeric risk rating
51 - 67	1
68 - 84	2
85 - 101	3
102 - 118	4
119 - 135	5
136 - 142	6
143 - 159	7
160 - 176	8
177 - 193	9
194 - 210	10

Indicator 6: Program Impact

Pertinent Assessment Items	Evaluator's Assessment Score
#1	
#9	
#10	
#11	
#13	
#17	
#21	
#22	
#23	
#24	
#25	
#26	
#27	
Total Score	

Indicator 6: Program impact data – Total Score Range	Indicator 6: Numeric risk rating
28 - 37	1
38 - 48	2
49 - 59	3
60 - 70	4
71 - 81	5
82 - 92	6
93 - 103	7
104 - 114	8
115 - 125	9
126 - 136	10

ASSESSMENT RESULTS

Indicator	Level of Investment Risk for Indicator Ratings: LOW = rating of 1 - 3 MEDIUM = rating of 4 – 7 HIGH = rating 8 - 10
Domain I: Tactical Data Use	Domain Summative Risk Rating (low, medium, high): ²¹
Indicator 1: Data Integrity	Indicator numeric risk rating:
Indicator 2: Outcomes Focus	Indicator numeric risk rating:
Domain II: Strategic Data Use	Domain Summative Risk Rating (low, medium, high)
Indicator 3: Making Essential Adjustments	Indicator numeric risk rating:
Indicator 4: Relating Staff Efforts to Outcomes	Indicator numeric risk rating::
Domain III: Program Value	Domain Summative risk rating (low, medium, high):
Indicator 5: Capacity to Deliver Program/ Services with Fidelity	Indicator numeric risk rating:
Indicator 6: Program Impact	Indicator numeric risk rating:

²¹ Use the two Indicator Ratings of each domain to calculate a Domain Summative Risk Rating as follows: the combination of 2 Indicator scores in the low range = a Domain Summative Risk Rating of LOW; and the combination of 2 Indicator scores in the high range = a Domain Summative Risk Rating of HIGH; any other combination of 2 Indicator scores = a Domain Summative Risk Rating of MEDIUM.