

## Introductions

**Emma Perk**



**Lori Wingate**



WESTERN MICHIGAN  
UNIVERSITY



This material is based upon work supported by the National Science Foundation under grant number 1204683. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the presenters and do not necessarily reflect the views of NSF.

## Behind the Scenes

Mike Lesiecki



Janet Pinhorn



Tim Suchomski



**NETWORKS**

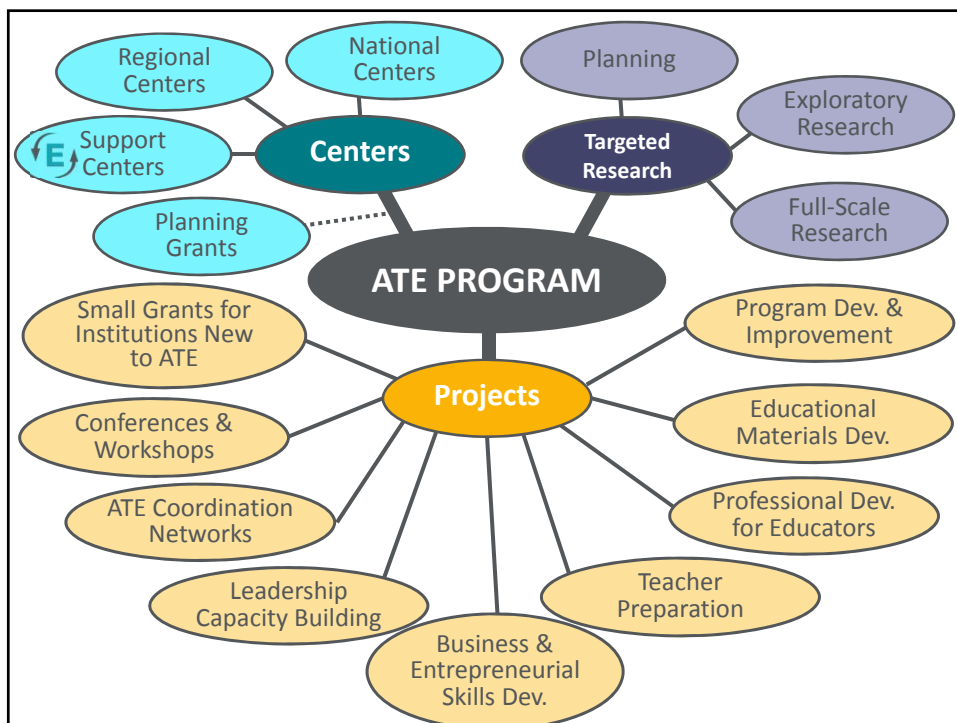


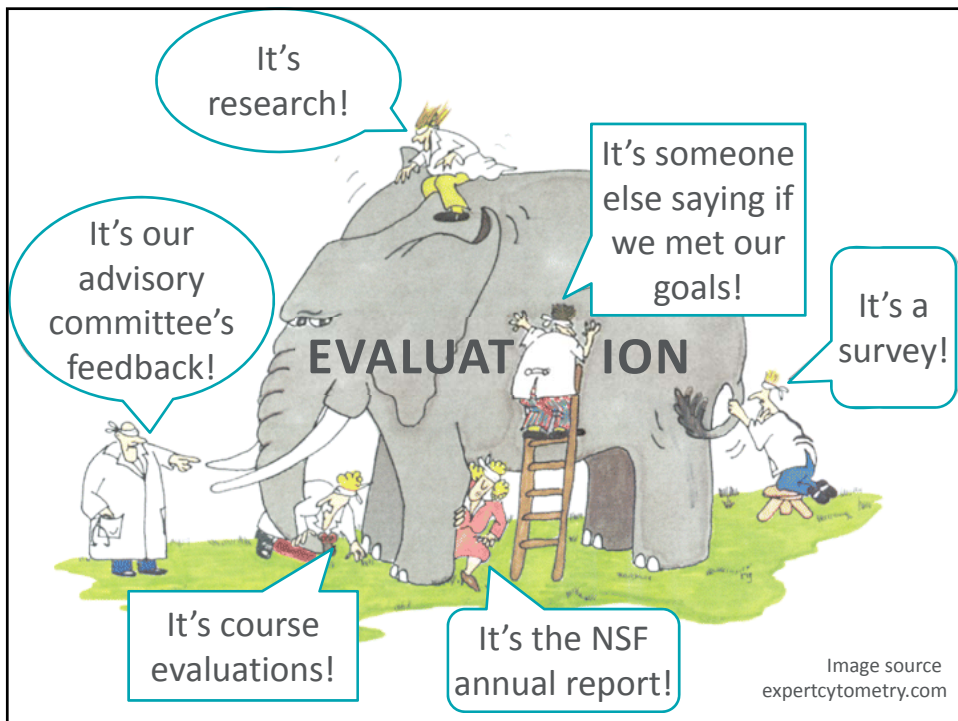
**MARICOPA  
COMMUNITY  
COLLEGES®**

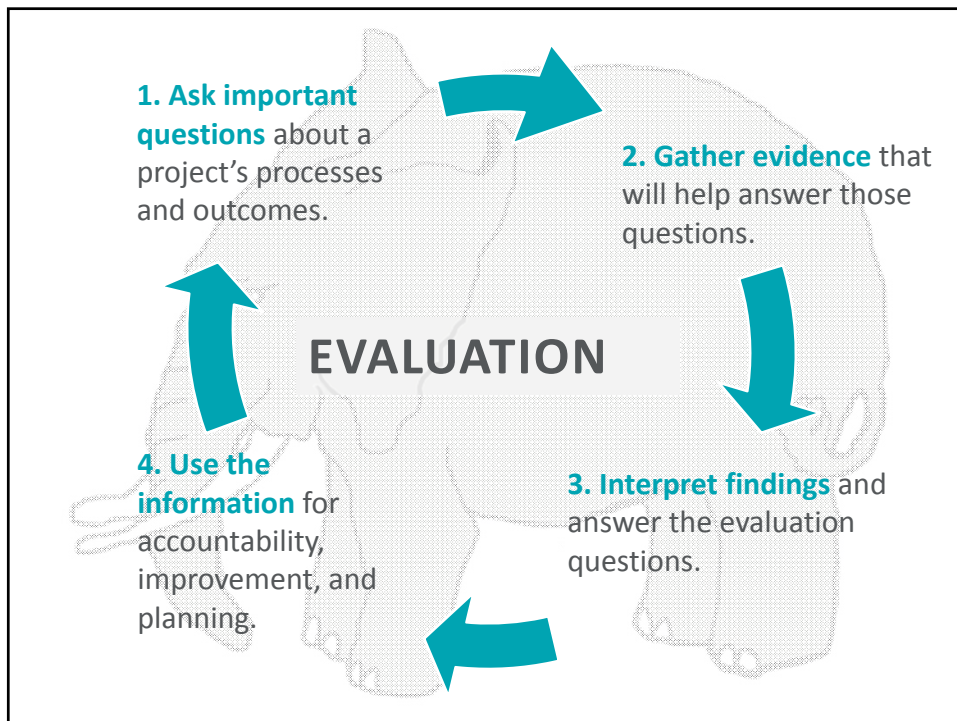
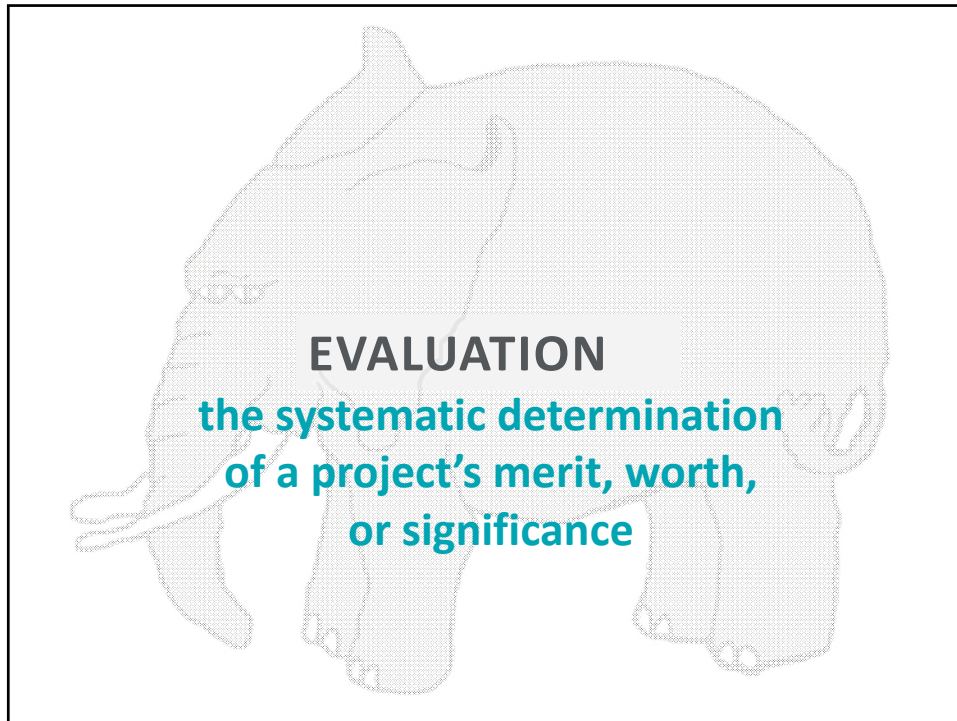
## Objectives


By the end of the webinar, you will

1. Know what evaluation elements should be included in an ATE proposal and where
2. Understand how a strong evaluation plan can strengthen an ATE proposal









Evaluation Resource Center for  
Advanced Technological Education

## Evaluation Planning Checklist for NSF-ATE Proposals

Lori Wingate | August 2015

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This checklist is intended to be of assistance to prospective ATE principal investigators in developing evaluation plans for proposals to the National Science Foundation's Advanced Technological Education (ATE) program. It is organized around the components of an NSF proposal (see the [NSF Grant Proposal Guide](#)) with an emphasis on the evaluation aspects. This document is not intended to serve as a comprehensive checklist for preparing an ATE proposal, but to provide guidelines for those elements that involve evaluation. All proposers should carefully read the [ATE Program Solicitation](#). For additional guidance related to developing ATE proposal evaluation plans, see [10 Helpful Hints](#) and [10 Fatal Flaws: Writing Better Evaluation Sections in Your Proposals](#).

Proposal Component	What you need to do	What you need to know
<b>PROJECT SUMMARY</b> (1 page)	<input type="checkbox"/> Prepare a 1-page project summary that specifically addresses the NSF Intellectual Merit and Broader Impacts criteria.	In addition to the NSF-wide Intellectual Merit and Broader Impacts criteria, the ATE program has additional ones, some of which are about evaluation, that are specified in the program solicitation. You are unlikely to have enough space to address all criteria in the project summary, so focus on the ones most relevant to your proposal.  Resource: <a href="#">NSF's Revised Merit Review Criteria Resources for the External Community</a>
<b>PROJECT DESCRIPTION</b> (15 pages total)	Develop a coherent narrative describing your work and relevant background. Sections include <ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Results from Prior NSF Support*</b></li> <li><input type="checkbox"/> Rationale</li> <li><input type="checkbox"/> Goals, Objectives, Deliverables, Activities</li> <li><input type="checkbox"/> Timetable</li> <li><input type="checkbox"/> Management Plan</li> <li><input type="checkbox"/> Roles and Responsibilities of the PI, co-PI(s), and Other Senior Personnel</li> <li><input type="checkbox"/> Plan for Sustainability</li> <li><input type="checkbox"/> <b>Evaluation Plan*</b></li> <li><input type="checkbox"/> Dissemination Plan</li> </ul>	It is important that all elements of the project description, including the evaluation plan, convey a coherent plan that supports your initial claims about the project's intellectual merit and broader impacts (see above).  <b>*Results from Prior NSF Support and Evaluation Plan</b> are the Project Description sections that must include evaluation elements. What should be included in these sections is described below. You may wish to include evaluation activities or deliverables in other areas, such as the Timetable and Management Plan, as appropriate.  For helpful information related to sustainability and dissemination, refer to ATE Central's <a href="#">Handbook</a> and <a href="#">Outreach Kit</a> .

## Words of Wisdom



**Penny Billman**  
Evaluator,  
REGS Consulting



**Connie Della-Piana**  
Program Officer,  
NSF



**Leslie Goodyear**  
Principal Research  
Scientist, EDC



**Michael Lesiecki**  
Executive Director,  
MATEC



**Gerhard Salinger**  
former ATE program  
co-lead, NSF



**Jacqueline Rearick**  
Grants Specialist, Virginia  
Western Community College



**Lana Rucks**  
Evaluator,  
The Rucks Group



**Elizabeth Teles**  
former ATE program  
co-lead, NSF

## ATE Proposal Components

- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Biographical Sketches
- Budget & Budget Justification
- Current & Pending Support
- Facilities, Equipment & Other Resources
- Supplementary Documents

The ATE  
Evaluation  
Planning  
Checklist is  
organized  
around these  
categories

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Evaluation-related information is  
needed in these sections



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needed in these sections



### Cover Sheet

#### Human Subjects

**Human Subjects** (OPG I.L.D.6)


Exemption Subsection

IRB App. Date (MM/DD/YY) Pending

Human Subjects Assurance Number

- Indicate "pending" if application not yet submitted
- You WILL need approval before grant is awarded





“ At the first indication of negotiating toward an award, begin the IRB process. ”

Gerhard Salinger,  
Former NSF-ATE program co-lead

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## Project Summary

**PROJECT SUMMARY: EvaluATE**

**Overview.** This proposal seeks funding to continue EvaluATE, the resource center dedicated to supporting and improving the evaluation practices of approximately 240 ATE grantees across the country. EvaluATE conducts webinars and workshops, publishes a quarterly newsletter, maintains a website with a digital resource library, develops materials to guide evaluation work, and conducts the annual survey of ATE grantees. EvaluATE's mission is to promote the goals of the ATE program by partnering with projects and centers to strengthen the program's evaluation knowledge base, expand the use of exemplary evaluation practices, and support the continuous improvement of technician education throughout the nation. EvaluATE's goals associated with this proposal are to (1) Ensure that all ATE PIs and evaluators know the essential elements of a credible and useful evaluation; (2) Maintain a comprehensive collection of online resources for ATE evaluation; (3) Strengthen and expand the network of ATE evaluation stakeholders; and (4) Gather, synthesize, and disseminate data about the ATE program activities to advance knowledge about ATE technician education.

**Intellectual Merit.** EvaluATE is housed within The Center for Systems Michigan University. The Center has been a leader in the evaluation field since 1965. What we learn and discover from all aspects of our evaluation work—from small contracts with local clients through large research and development grants—we apply to our mission-focused work to advance the theory, practice, and utilization of evaluation. EvaluATE's products are informed by current research on evaluation, the National Science Foundation's priorities for the evaluation of ATE grants, and the needs of ATE PIs and evaluators for sound guidance that is immediately relevant and usable in their contexts. With active involvement by an array of ATE colleagues, EvaluATE has made significant progress in developing a culture of evaluation within the program. The fundamental nature of EvaluATE's work is that of evaluation capacity building, which is "work to continuously create and sustain overall organizational processes that make quality evaluation and its use routine" (Stockill, Bateman, & Compton, 2002). As such, it is geared toward supporting ATE grantees to use evaluation regularly to improve their work and demonstrate their impacts. Our goals are to create and sustain organizational processes that are focused and measurable.

**Broader Impacts.** The work outlined in this proposal is based on research on evaluation and human learning since 2008 when EvaluATE was established. All of EvaluATE's products are available to the public, and there is evidence that our impacts extend beyond the ATE program. EvaluATE's findings from the annual survey of ATE grantees aid in advancing understanding of the status of technician education and illuminate areas for additional research. We are gathering data and reporting on findings related to ATE grantees' efforts to recruit and retain women (2011) and individuals from under-represented groups (2012) in order to draw more attention to the importance of broadening participation within the ATE program. Given the new attention to veterans in the current program solicitation, the 2013 survey will investigate ATE grantees' work to serve students with veteran status. Survey data are available upon request for research and evaluation purposes. As reflected in proposal, as many as 25 ATE PIs and evaluators will contribute directly to EvaluATE's work under the auspices of the new grant. Involvement by a broad spectrum of ATE stakeholders increases the relevance and utility of our work to ATE stakeholders and others. A small cadre of community college-based ATE PIs will join the EvaluATE team, facilitating the development, review, and pilot


# Merit Review Criteria

Intellectual Merit

potential to advance knowledge

Broader Impacts

potential to benefit society



## Project Summary

### ATE-Specific Merit Review Criteria:

- Is the evaluation plan clearly tied to the project **outcomes**?
- Does the project provide for effective assessment of **student learning**?
- Is the evaluation likely to provide **useful information** to the project and others?
- Will the project evaluation inform others through the **communication of results**?

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### 15-page narrative

## ATE Proposal Components

Project Description

**15-page narrative**

### Results of Prior Support

Rationale  
Goals, Objectives, Deliverables,  
Activities  
Timetable  
Management Plan  
Roles & Responsibilities of the PI, co-  
PI(s), Other Senior Personnel  
Plan for Sustainability

### Evaluation Plan

Dissemination Plan

## Project Description

### Results of Prior Support

“ specific outcomes and results including metrics to demonstrate the impact of the project ”



## Results of Prior Support

Use your markers

*Is this strong evidence of IMPACT?*

The prior project achieved all of its goals.	<input type="checkbox"/>	<input type="checkbox"/>
The PI and co-PIs published four peer-reviewed articles based on data generated by the project.	<input type="checkbox"/>	<input type="checkbox"/>
The project developed three lab manuals, provided 40 faculty with professional development, and served 125 students.	<input type="checkbox"/>	<input type="checkbox"/>
The project supported internships for 75 students, more than half of whom secured full-time positions at their internship sites.	<input type="checkbox"/>	<input type="checkbox"/>

## Project Description

Project Description

# 15-page narrative

**Results of Prior Support**

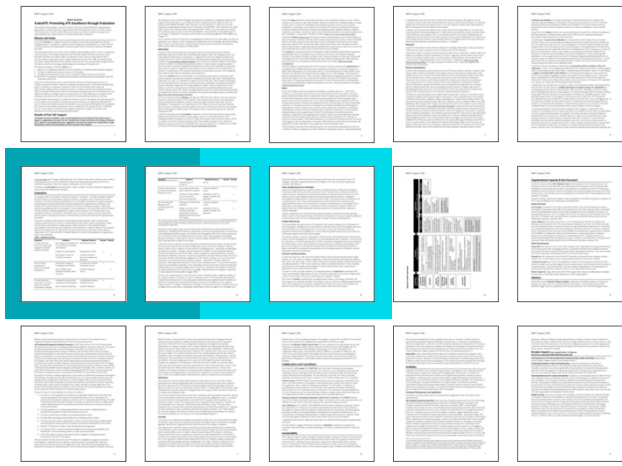
- Rationale
- Goals, Objectives, Deliverables, Activities
- Timetable
- Management Plan
- Roles & Responsibilities of the PI, co-PI(s), Other Senior Personnel
- Plan for Sustainability

**Evaluation Plan**

- Dissemination Plan

**Project Description**

**Evaluation Plan**



Your evaluation plan should be 1 to 3 pages  
Aim for about 1½ pages

**Project Description**

**Evaluation Plan**

- Identify evaluator and briefly describe his/her experience/expertise
- Describe what will be evaluated and how

## ATE Program Solicitation

“The funds to support an evaluator **independent** of the project or center must be requested...”

## Finding an Evaluator

Other ATE PIs

American Evaluation  
Association's  
Evaluator Directory

Universities in your  
region



“Starting early is important. Now is a great time to start forging a relationship with an evaluator.”



Michael Lesiecki  
Executive Director, Maricopa Advanced Technology Education Center

“Get them on board early and talk with them often as you develop your proposal.”



Leslie Goodyear  
Principal Research Scientist, EDC



 **Project Description**

**Evaluation Plan**

- Identify evaluator and briefly describe his/her experience/expertise
- Describe what will be evaluated and how



Lori Wingate

## Evaluation Plan

Logic model

Evaluation questions

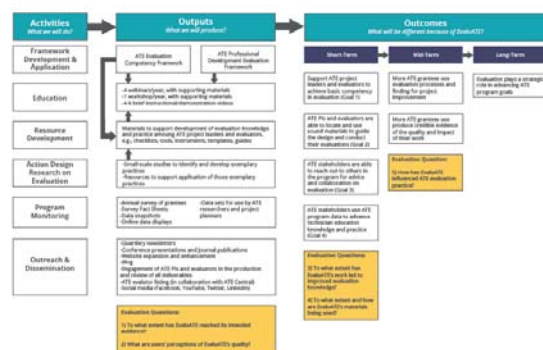
Data collection & analysis plan

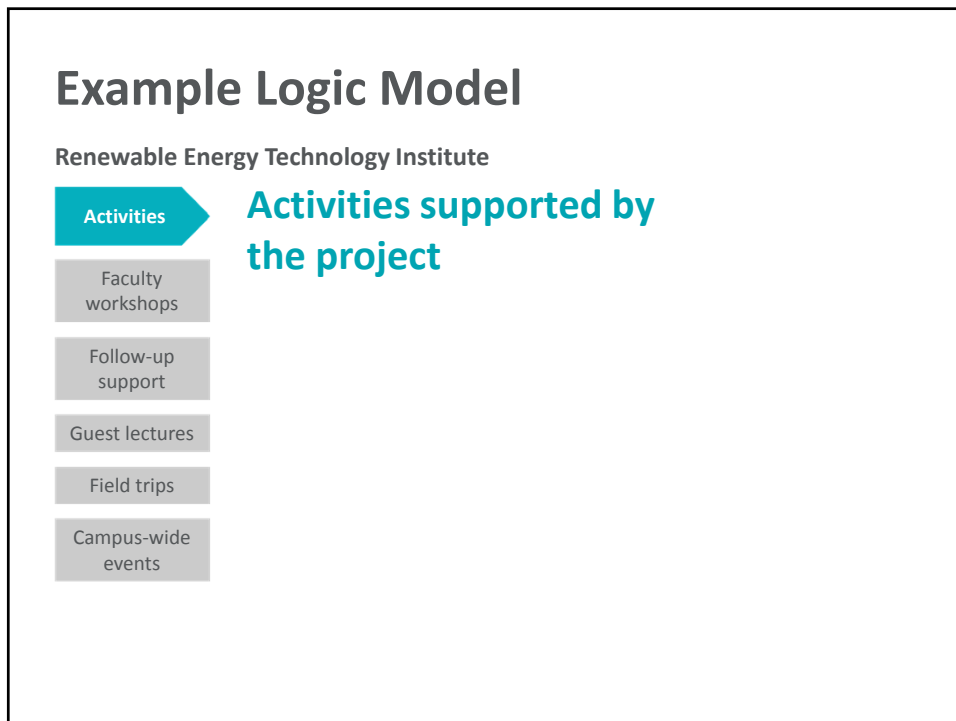
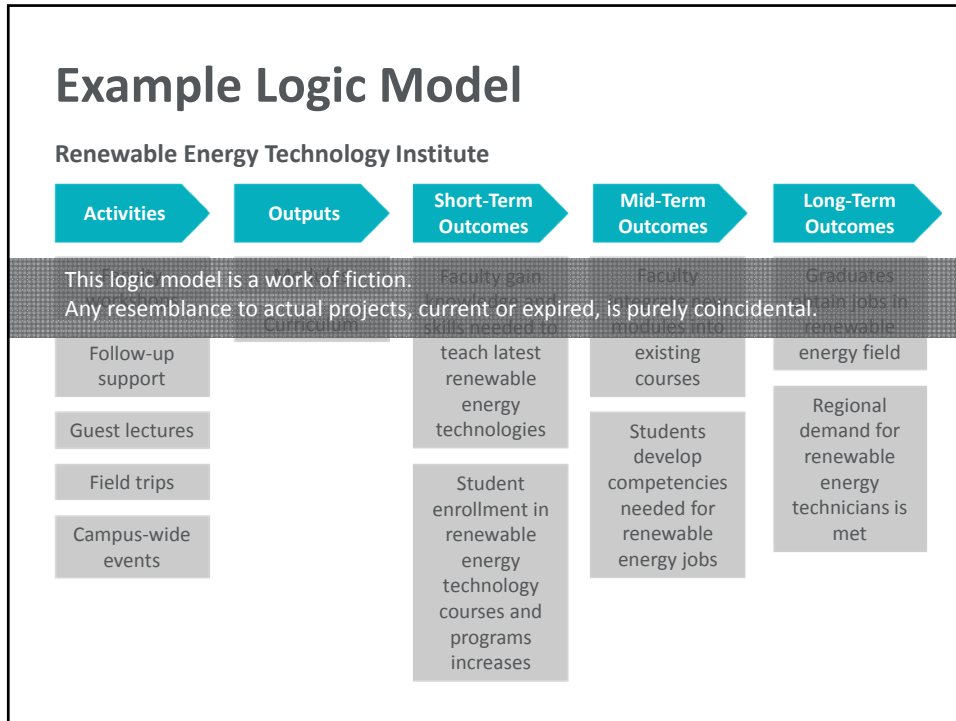
Evaluation deliverables & uses

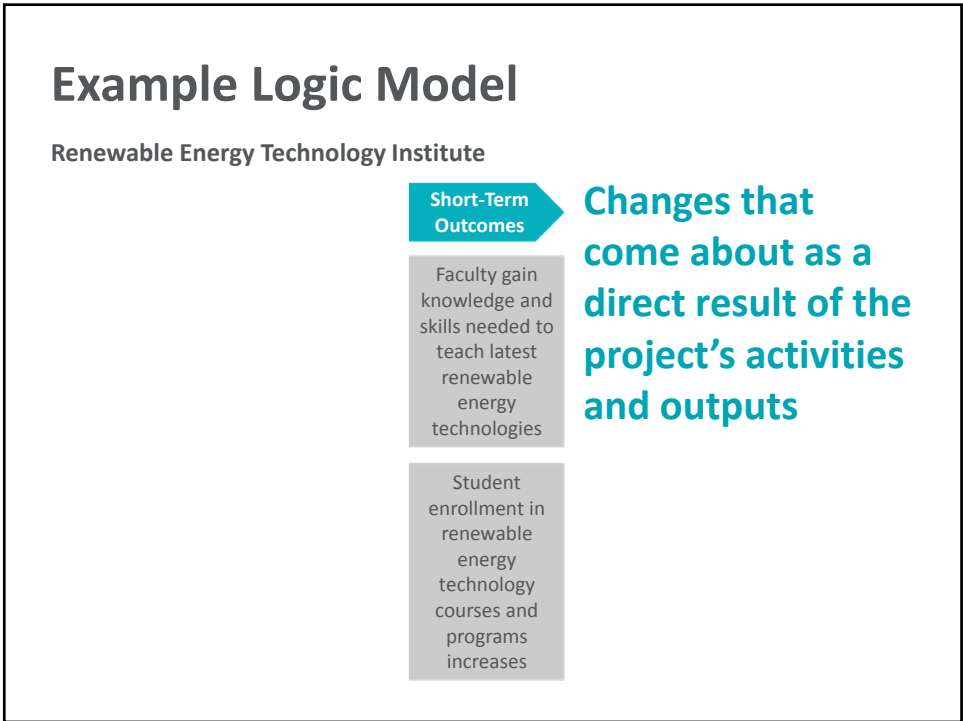
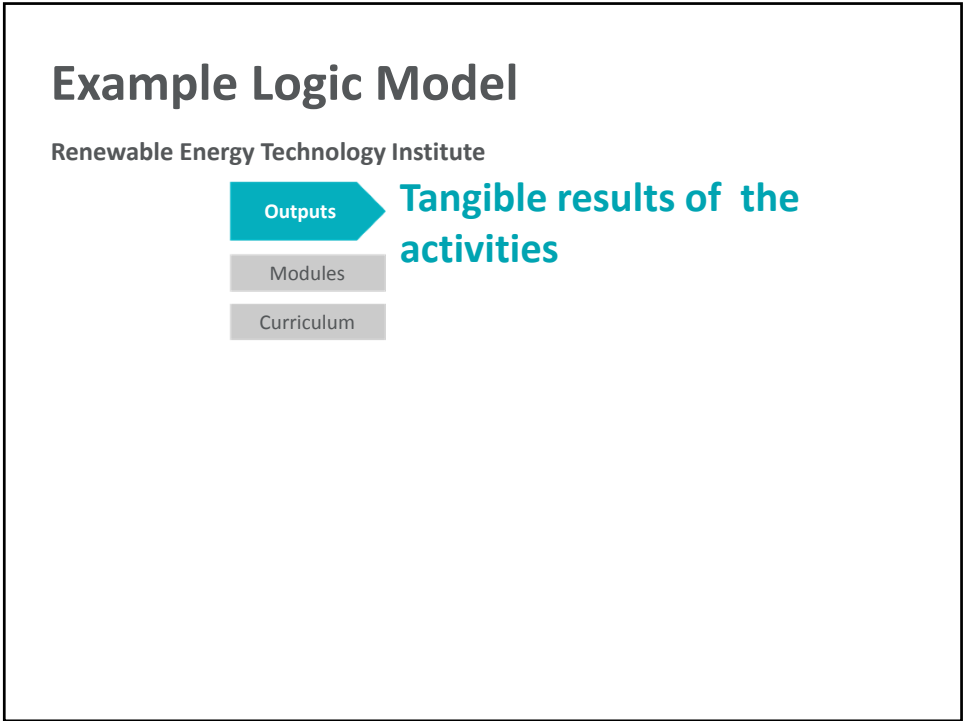
## Evaluation Plan

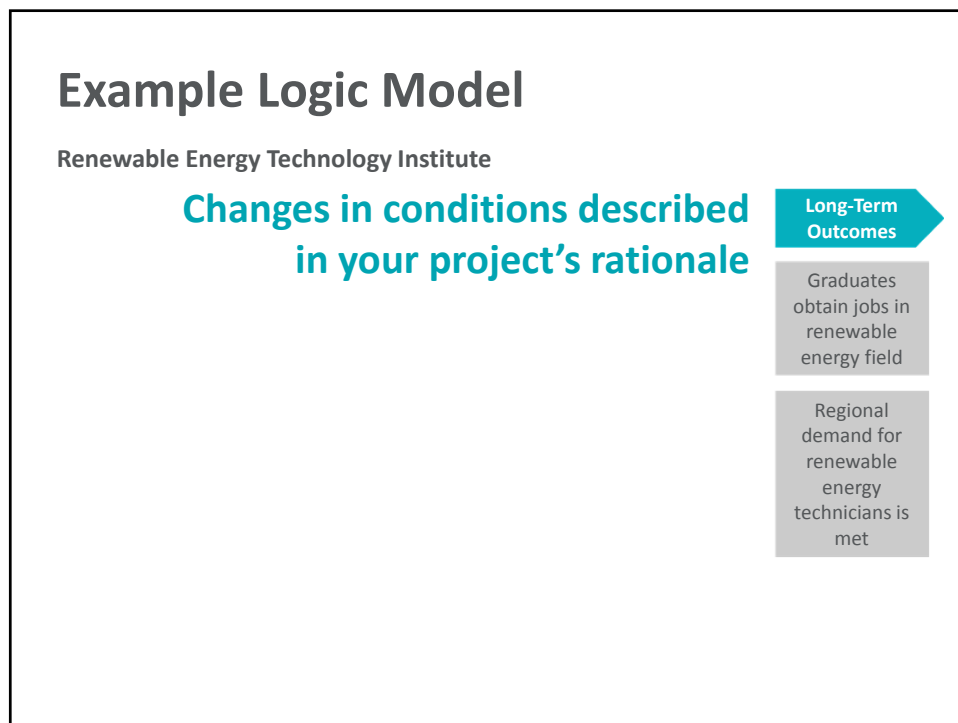
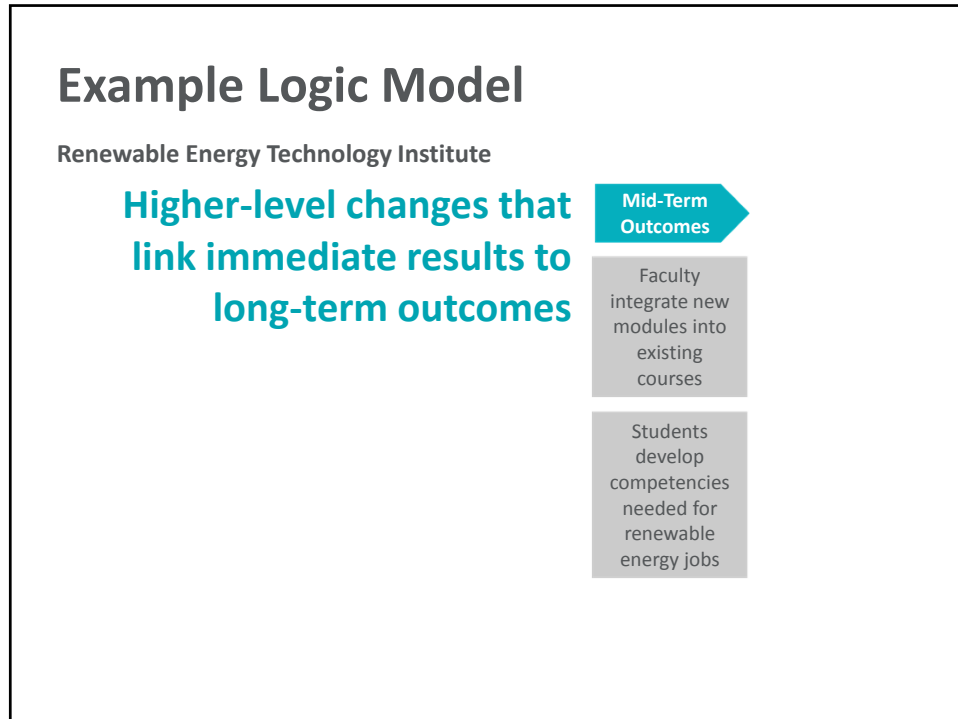
Logic model

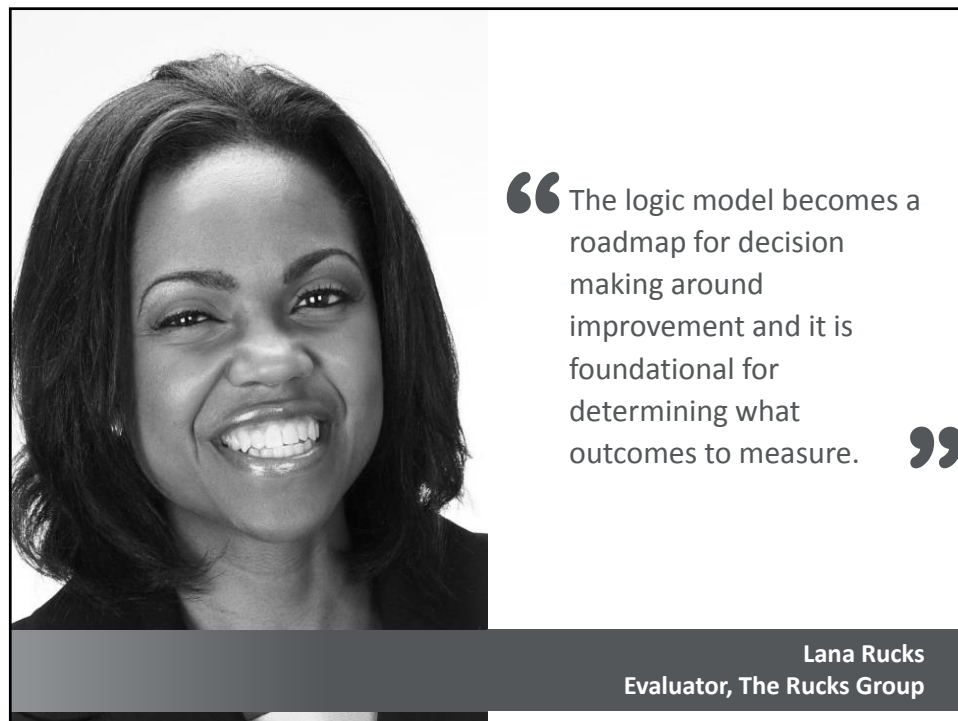
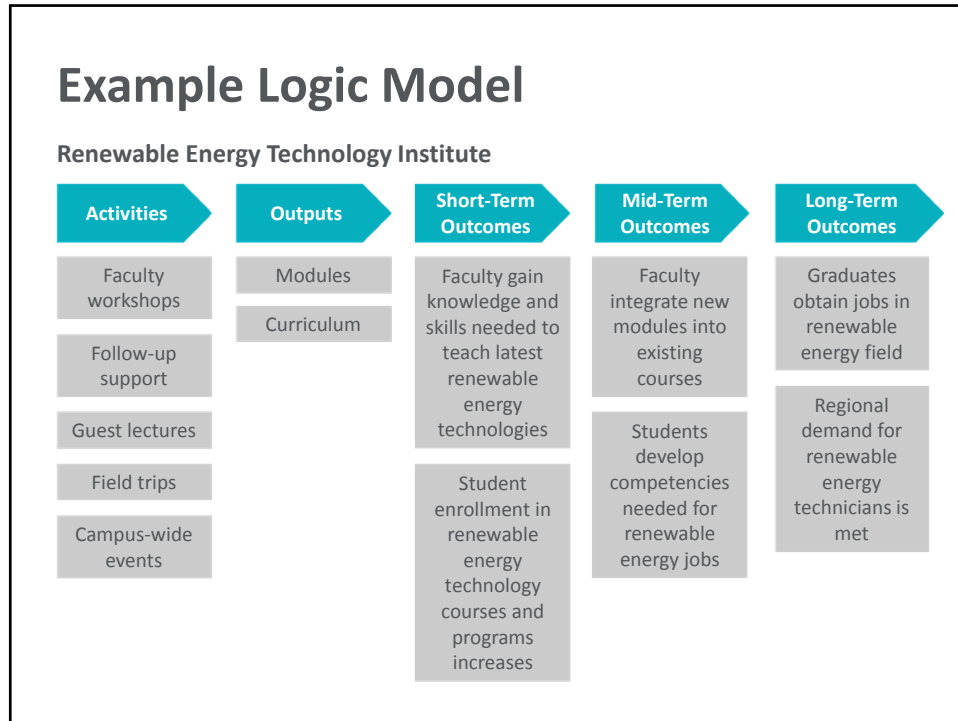
Helpful for describing the project and planning the evaluation











## Evaluation Plan

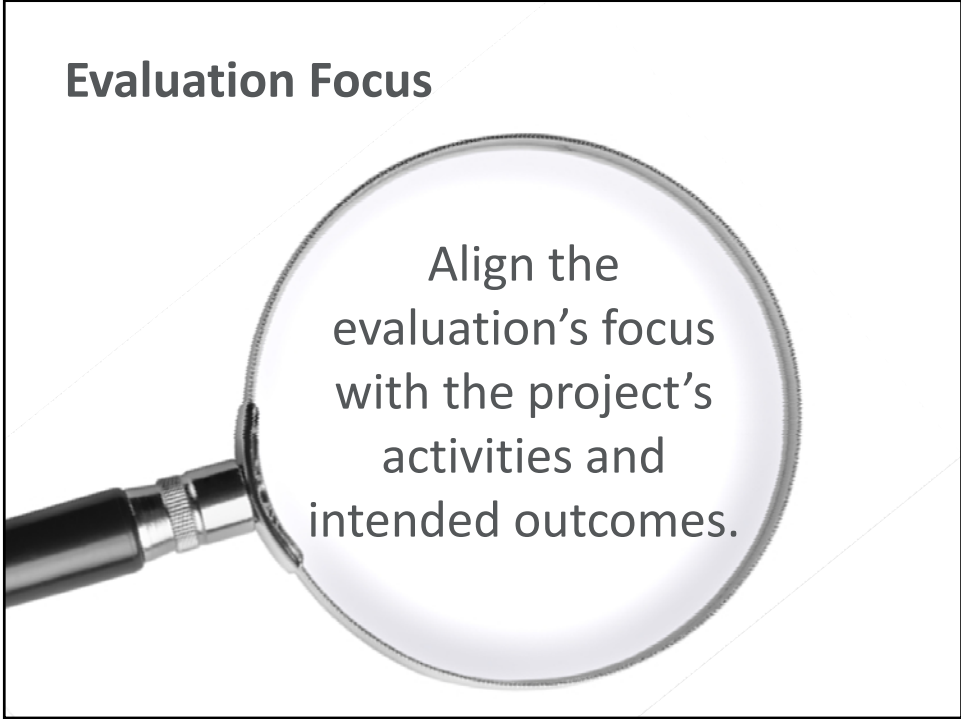
Logic model

## Evaluation questions

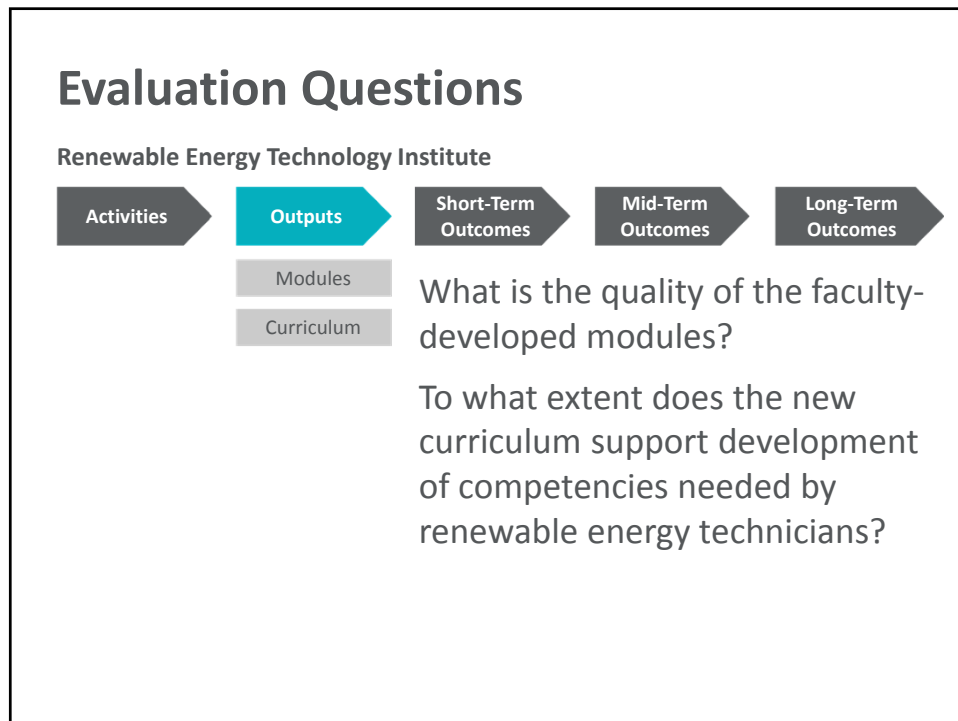
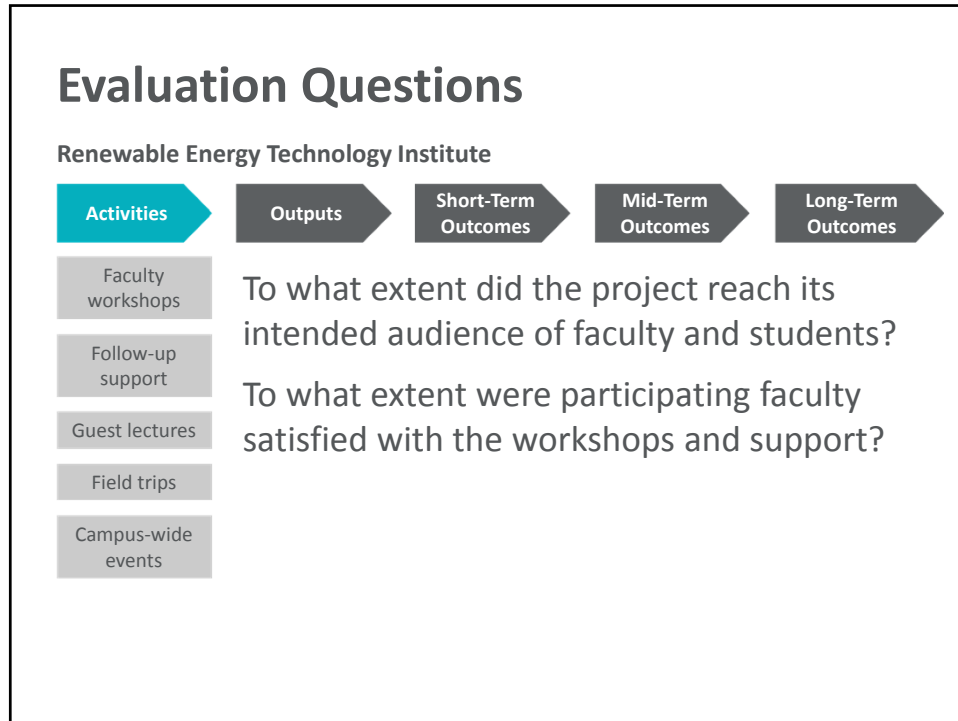
Data collection & analysis plan

Evaluation deliverables & uses

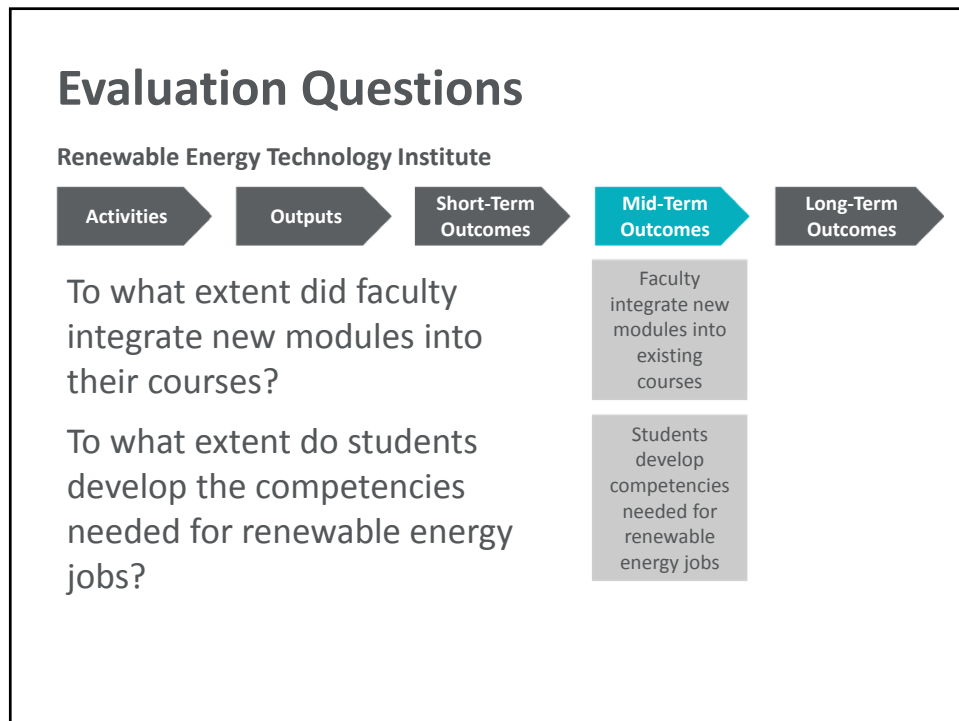
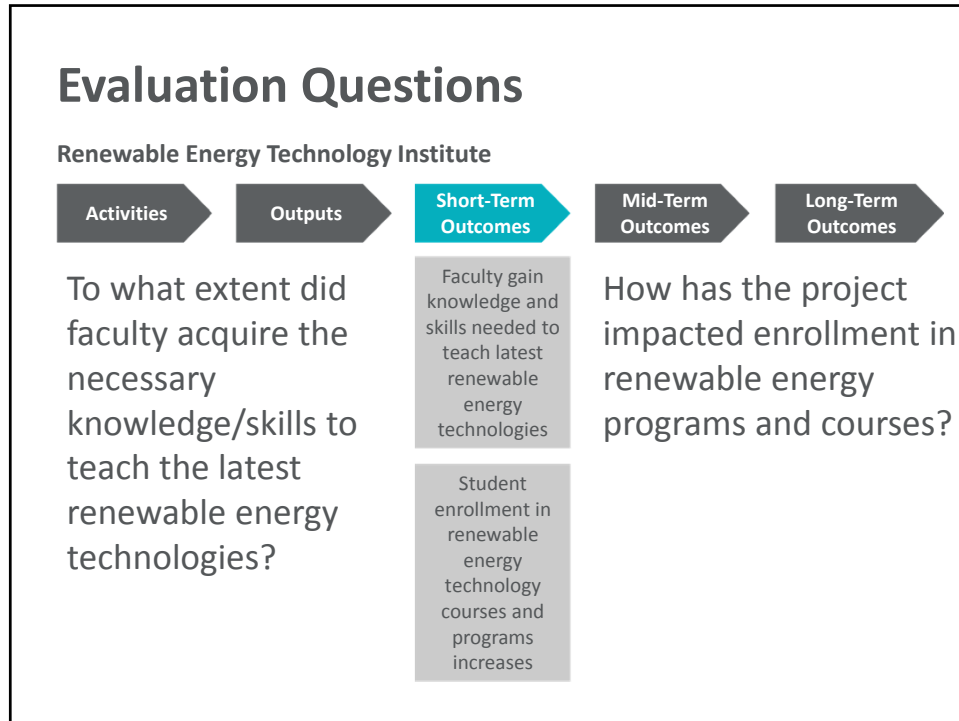
## Evaluation Focus



Align the  
evaluation's focus  
with the project's  
activities and  
intended outcomes.







## Evaluation Questions

Renewable Energy Technology Institute

Activities → Outputs → Short-Term Outcomes → Mid-Term Outcomes → Long-Term Outcomes

To what extent do students with renewable energy certificates and degrees obtain renewable energy jobs?

How has the project contributed to meeting the regional demand for renewable energy technicians?


Graduates obtain jobs in renewable energy field

Regional demand for renewable energy technicians is met

“The difference between an average evaluation and a good evaluation is how well you measure impacts.”



Penny Billman  
Evaluator, REGS Consulting



**“** You need to show how what you've done increased the competency and quality of technicians for the technological workforce. **”**

Gerhard Salinger,  
Former NSF-ATE program co-lead

## Evaluation Plan

Logic model

Evaluation questions

**Data collection & analysis plan**

Evaluation deliverables & uses

## Data Collection & Analysis Plan

**What** information do you need?

**How** will you collect it?

From **whom**?

**When**?



## Data Collection Plan: Example 1

**WHAT?**

**HOW?**

**WHO?**

**WHEN?**

...The evaluation will utilize an accepted mixed-methods design (Creswell, 2003; Cook & Campbell, 1979). Quantitative and qualitative measures of performance will be used in both a formative and summative manner to judge the merit and worth of the grant project. This mixed-methods approach has proven useful in utilizing both quantitative and qualitative performance indicators in a single research design (Frechtling & Sharp, 2010). It is also consistent with the best practices and recommendations for rigorous scientifically-based research....

## Data Collection Plan: Example 2

**WHAT**  
**data will be**  
**collected?**  
(type answer  
in chat box)

Project staff will administer an end-of-workshop survey to obtain **participants' feedback**, including both ratings and open-ended comments. The external evaluator will conduct interviews with participants six months following the workshop to determine the **extent to which they applied the workshop content**. She also will interview a random sample of students at the end of each semester to learn how their **knowledge and perceptions** of green energy technology were impacted.

## Data Collection Plan: Example 2

**HOW**  
**will the data**  
**be collected?**  
(type answer  
in chat box)

Project staff will administer an end-of-workshop **survey** to obtain participants' feedback, including both ratings and open-ended comments. The external evaluator will conduct **interviews** with participants six months following the workshop to determine the extent to which they applied the workshop content. She also will **interview** a random sample of students at the end of each semester to learn how their knowledge and perceptions of green energy technology were impacted.

## Data Collection Plan: Example 2

**WHO**  
**will provide**  
**the data?**  
(type answer  
in chat box)

Project staff will administer an end-of-workshop survey to obtain **participants'** feedback, including both ratings and open-ended comments. The external evaluator will conduct interviews with participants six months following the workshop to determine the extent to which they applied the workshop content. She also will interview a random sample of **students** at the end of each semester to learn how their knowledge and perceptions of green energy technology were impacted.

## Data Collection Plan: Example 2

**WHEN**  
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Project staff will administer an **end-of-workshop** survey to obtain participants' feedback, including both ratings and open-ended comments. The external evaluator will conduct interviews with participants **six months following the workshop** to determine the extent to which they applied the workshop content. She also will interview a random sample of students at the **end of each semester** to learn how their knowledge and perceptions of green energy technology were impacted.

## Tips for Practical Data Collection



- Build a body of evidence
- Embed data collection into regular project activities
- Use existing data whenever possible
- Use existing instruments when/if they match your needs

## Data Collection & Analysis Plan



How will you make sense of the data?

What sorts of comparisons will be made in order to reach conclusions?

## Data Collection Planning Matrix

**Evaluation Question:** How has the project impacted enrollment in renewable energy programs and courses?

Indicator	Data Source	Method	Responsible Party	Timing	Analysis Plan
Change in course enrollment numbers	Institutional research database	Review of institutional and departmental records	Project PI	End of each semester	Comparison of enrollment numbers over time (start 2 years prior to project start)
Opinions of faculty and career center staff about the project's impact	Participating faculty Career center advisors Career center director	In-person interviews	External evaluator	Annually	Inductive coding of interviews to identify themes
Students' reports about why they enrolled	Enrolled students	Web survey	Instructors (instructions provided by evaluator)	Beginning of each semester	Descriptive statistics and inductive coding

## Evaluation Plan

Logic model

Evaluation questions

Data collection & analysis plan

**Evaluation deliverables & uses**



## Evaluation Deliverables & Uses

### ATE-Specific Review Criteria:



Is the evaluation likely to provide useful information to the project and others?



Will the project evaluation inform others through the communication of results?

“Talk about how you are going to use the results of your evaluation.”



Connie Della-Piana  
NSF-ATE Program Officer



**“Design the evaluation to provide evidence about what is working and where adjustments and improvements are needed.”**

Elizabeth Teles  
Former ATE program co-lead

## Evaluation Deliverables & Uses

When and what types of reports will be issued?

How will results be shared and with whom?



## Evaluation Deliverables & Uses

Information from the evaluation will be needed for

- annual reports to NSF
- annual survey of ATE grantees
- reports to advisory groups



## Project Description

Project Description

**15-page narrative**

Results of Prior Support  
Rationale  
Goals, Objectives, Deliverables,  
Activities  
Timetable  
Management Plan  
Roles & Responsibilities of the PI, co-  
PI(s), Other Senior Personnel

**ATECENTRAL**  
www.atecentral.net

Plan for Sustainability  
Evaluation Plan  
Dissemination Plan



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## References Cited

Include references to pertinent evaluation literature in your evaluation plan section

### References

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- Phillips, P. P., & Phillips, J. J. (2007). *The value of learning: How organizations capture and translate them into support, improvement, and funds*. San Francisco: Pfeiffer.

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## Biographical Sketches

Get one for your evaluator  
Follow 2-page NSF format  
Include in **Supplementary Documents Section**

### Lori A. Wingate

#### Professional Preparation

Truman State University	Sociology	B.A.	1990
Loyola University Chicago	Sociology	M.A.	1993
Western Michigan University	Evaluation	Ph.D.	2009

#### Appointments

2015-present	Director of Research, The Evaluation Center, Western Michigan University
2010-2015	Assistant Director, The Evaluation Center, Western Michigan University
2010	Principal Research Associate, The Evaluation Center, Western Michigan University
2008-2010	Senior Research Associate, The Evaluation Center, Western Michigan University
1997-2008	Assistant to the Director, The Evaluation Center, Western Michigan University
1993-1997	Coordinator, Judicial Development Project, Loyola University Chicago

#### Publications

Wingate, L. A. (invited chapter, in press). Checklists for quality improvement and evaluation in health. In O'Donohue, W. & Maragakis, A. (Eds.), *Quality improvement and behavioral health*. Springer.

MacDonald, G., Wingate, L. A., & Cookson, S. (invited chapter, in press). Monitoring and evaluating outcomes. In *Health in humanitarian emergencies: Principles and practice for public health practitioners*. Cambridge University Press.

Smith, C., & Wingate, L. A. (submitted article). Strategies for broadening participation in Advanced Technological Education: Practice and perceptions. *Target Journal: Community College Research and Practice*.

Wingate, L. A., Subramanian, R., MacDonald, G., Khugh, H., & Herrera, D. G. (submitted article). Practice theory: How a long-standing program used logic modeling to clarify and communicate its theory. *Target Journal: Community College Research and Practice*.

Wingate, L. A. (2010). Metaevaluation: Purpose, prescription, and practice. In E. Baker, P. Petersen (Eds.), *International encyclopedia of education* (3rd ed.). San Diego: Elsevier.

Stufflebeam, D. L., & Wingate, L. A. (2005). A self-assessment procedure for use in evaluation training. *Journal of Evaluation*, 26(4), 544-561.

Wingate, L. A. (2003). *Facilitator's guide to the student evaluation standards*. Thousand Oaks, CA: Sage.

## ATE Proposal Components

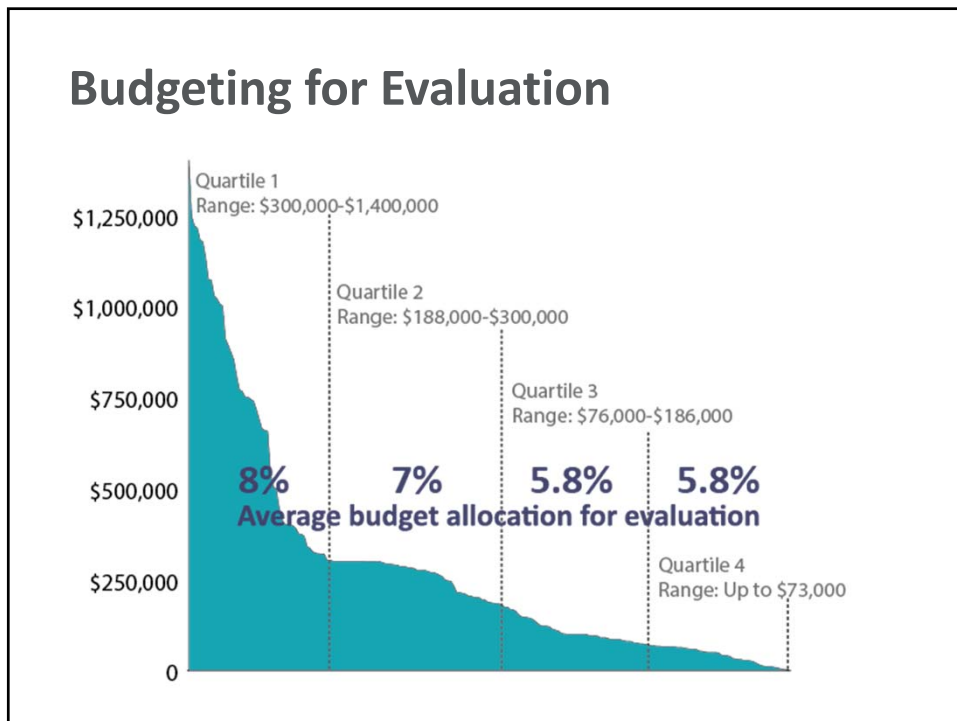
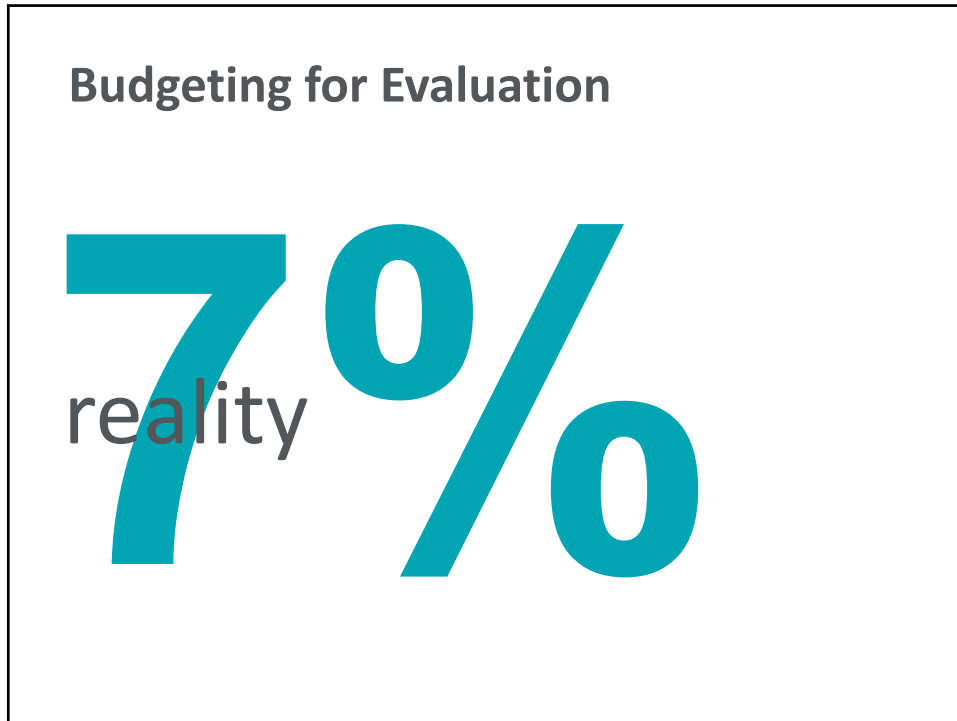
- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Biographical Sketches
- Budget and Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Supplementary Documents

**Budget & Budget Justification**

“The **funds** to support an evaluator independent of the project or center must be requested and the requested funds **must match the scope** of the proposed evaluative activities.”

**Budgeting for Evaluation**

**10%**  
rule of thumb





**Budget & Budget Justification**

**Evaluation Budget Components**



Time  
Travel

**Time**

How many days does the evaluator need to spend in order to generate the needed evaluation deliverables and services?



## Travel

Will the evaluator need to travel to

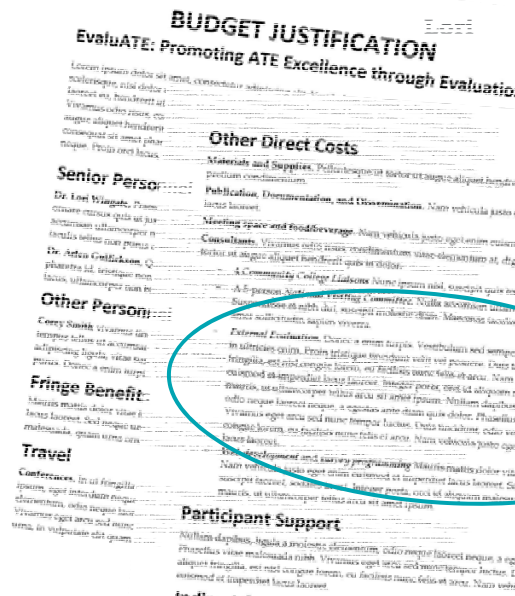
- attend the ATE PI conference, advisory committee meetings, or special project events?
- collect data from participants?
- meet with project staff to plan the evaluation or discuss results?



## Budget & Budget Justification

For **CONSULTANTS**,  
Under "Other Direct  
Costs" identify

- evaluator's daily rate
- time committed to the project
- travel costs
- materials costs



## Budget & Budget Justification

For **SUBAWARDS**,  
 Have the evaluator  
 prepare a detailed  
 budget using the NSF  
 budget template



				NSF Funded			Funds	
				Personnel			Requested By	
				CAI	ACAD	SUMS	Proposer	
19	O	First Name	Last Name	Title				
20	I	First Name	Last Name	Title	0.00	0.00	0.00	\$0
22	I	TOTAL SENIOR PERSONNEL (A-B)						\$0
23	B	OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						\$0
24	T	POST DOCTORAL ASSOCIATES			0.00	0.00	0.00	\$0
25	J	OTHER PROFESSIONAL (TECHNICAL PROGRAMMER, ETC)			0.00	0.00	0.00	\$0
26	J	GRADUATE STUDENTS						\$0
27	A	UNDERGRADUATE STUDENTS						\$0
28	E	SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						\$0
29	E	OTHER						\$0
30		TOTAL SALARIES AND WAGES (A-B)						\$0
31	C	FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						\$0
32		TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A-B-C)						\$0
33	D	PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000)						\$0
34		Equipment Item 1						\$0
35								\$0
36								\$0
37		TOTAL EQUIPMENT						\$0
38	E	TRAVEL						\$0
39		1 DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)						\$0
40		2 FOREIGN						\$0
41	F	PARTICIPANT SUPPORT COSTS						\$0
42		1 STIPENDS						\$0

“Touch base with your procurement office early in the evaluation development process.”



Jacqueline Rearick,  
 Grants Specialist, Virginia Western Community College

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## Supplementary Documents

- A **commitment letter** from your evaluator
- Your evaluator's **biosketch**
- **Data Management Plan (REQUIRED)**

## Supplementary Documents

**Data Management Plans** must describe:

1. Types of data
2. Data format and content standards
3. Access and sharing policies
4. Privacy, confidentiality provisions
5. Reuse and redistribution policies
6. Archiving and data preservation plans



# THANK YOU!



Evaluation Resource Center for  
Advanced Technological Education