



# PRINCIPLE 2

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## **Principle 2:** ***Setting Measurable Goals and Objectives***

A grant recipient shall, with the assistance of a local or regional advisory council, which includes community representatives, establish a set of measurable goals and objectives, and design its activities to meet those goals and objectives.



## Definitions from THE GUIDANCE DOCUMENT – PRINCIPLE 2

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### GOAL:

- ★ A general statement of a long-range target or purpose

### OBJECTIVE:

- ★ Includes a time frame, target of change, results to be achieved, criteria for documenting results.

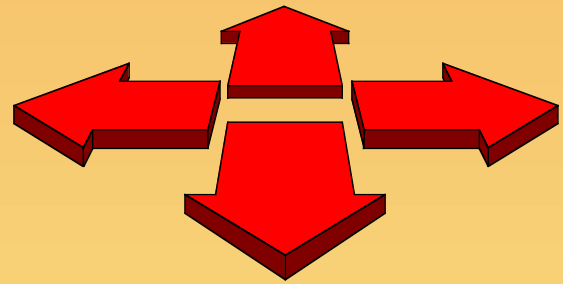




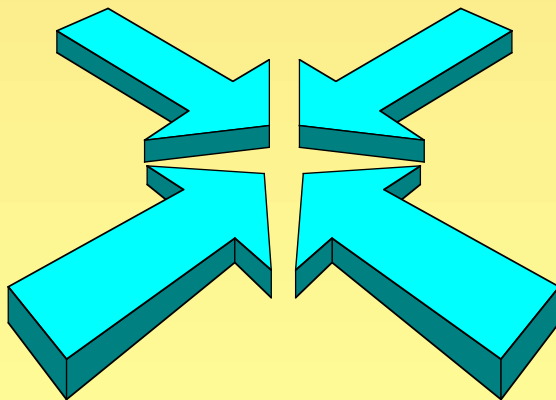
# Convergent Vs. Divergent Processes

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- Divergent means that things are separating and getting farther apart
- Convergent means that things are getting closer together





# Goals



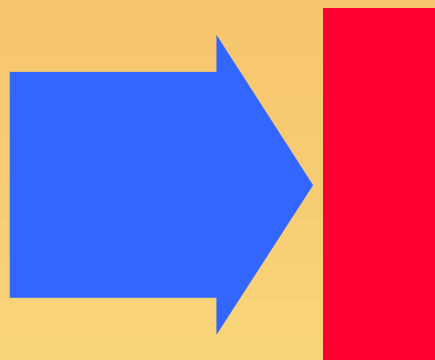
- **Goals should directly address needs**
- **Each goal must be outcome (not process) oriented**





# Objective

- When accomplished, lead to the goal  
Should state results, not activities
- Should be time-limited and provide accomplishment milestones
- Should be stated positively
- Should cover a single event or outcome
- Should be written in quantifiable terms
- Must be realistic and obtainable given available (or attainable) resources must fit with your overall mission
- Should indicate a baseline
- Should entail singular accountability for accomplishment
- Should include “what” and “when” but not “why” or “how”





# How do you do it?

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- ◆ **Involvement of staff in development**
- ◆ **Involvement of the advisory council**
- ◆ **Community review**
- ◆ **Focus on data from needs assessment**





# Aligning The Principles of Effectiveness Using the Logic Model

**Needs**

**Performance  
Indicators**

**Programs**

**Immediate  
Outcomes**

**Impacts**




**Performance Indicators** provide SDFSCA managers the direction that Alice was queering the Cheshire Cat about.

*“Cheshire Cat,” Alice began, “Would you tell me please, which way I ought to go from here?”*

*“That depends a good deal on where you want to get to,” said, the Cat.*



## Performance Indicators

Are Target benchmarks that show if a program's goals and objectives are being achieved.

Performance indicators can be measured by specific data collected through assessment or survey tools.

California Department of Education: (1999) Getting Results Part I: California Action Guide to Creating Safe and Drug-Free Schools and Communities. Sacramento, CA  
SEDL/SECAC Page 92

Friedman, Thomas. (1997) A guide to developing and using performance measures in results-based . Washington, DC: The Finance Project. Available on the Internet at: <http://www.clearlake.ibm.com/Alliance/clusters/cf/fin002.html>.

**Result (or Outcome):** In some parts of the country, the term "outcome" has taken on a political meaning very different from the way in which we use the term here. Our use of "outcome" to mean a condition of well-being for children, families, or communities stands in contrast to its usage in the outcome-based education debate, where the term describes new approaches to measuring a student's knowledge and skills. For this reason, we will give preference to the term "result" in the sections that follow.): A "result" is a bottom line condition of well-being for children, families, or communities. Results are matters of common sense, above and beyond the jargon of bureaucracy. They are about the fundamental interests of citizens and the fundamental purposes of government. Results are, by definition, not "owned" by any single agency or system. They cross over agency and program lines, and public and private sectors. Examples of results include: children born healthy, children ready for school, children succeeding in school, young people avoiding trouble, stable and self-sufficient families, and safe and supportive communities.

**Performance measure:** A "performance measure" is a measure of how well public or private agencies and programs are working. Typical performance measures address matters of timeliness, cost-effectiveness, and compliance with standards. Examples of performance measures related to Title IV - SDFS&CA include: teacher compliance with procedures, suspensions, graduations; changes in drug use patterns.

Performance measures are absolutely essential for running programs well. But they are very different from results and indicators. They have to do with our service response to social problems, not the conditions that we are trying to improve. It is possible, even common, for individual programs to be successful, while overall conditions get worse.

**Indicator:** An "indicator" is a measure, for which we have data, that helps quantify the achievement of a desired result. Indicators help answer the question: "How would we know a result if we achieved it?" Examples of indicators include: rates of preventable disease among children; reading and math achievement scores; high school graduation rates; rates of teen pregnancy and drug use; and crime rates.

### The Matter of Baselines

"Traditional" planning systems spend an inordinate amount of time on preliminaries before people actually get to talk about how to measure performance. By going straight to the business of selecting performance measures, we ease the frustration and associated cynicism that go with complex planning processes. We also get to the heart of what may be the benefit of performance measurement, namely, a disciplined way to use data in the day-to-day management of programs.


### Defining performance success as "turning the curve"

We often set ourselves up for failure in our work on performance measurement by creating unrealistic expectations and impossible standards for success. A large part of this problem is attributable to defining success by "point to point" improvement:

"Our rate of youth violating probation is x%. Success means decreasing this rate by 25% over the next 2 years."

Agency performance conditions, just like the indicators of child and family well-being, tend to be more complex than this. These conditions have direction and inertia.

This is reflected in a baseline, which is sometimes headed in the wrong direction. These directions cannot always be changed quickly. **Sometimes the best we can do, in the short term, is to slow the rate at which things get worse before we can turn the curve in the right direction.** This is a more realistic way of thinking about success (and failure). Success is turning away from the curve or beating the baseline, not turning on a dime to achieve some arbitrary lower target.

 What is a Performance Indicator linked to?

• Goal	• What we want to have happen (increased attendance, fewer violent acts, reduced drug use)
• Baseline	• The current level of performance.
• Outcome Indicator	• What we will use to measure success.
• Standard or Performance Level	• What level of success will show substantial progress.
• Time Frame	• When we will accomplish the above. (How much progress we will make after one year, two years, and three years?)

Public Research Association, 2000. Implementing schoolwide programs. Volume 3: An Idea Book on Planning, Washington, DC: AARP Research Corporation, 141-151.  
©2000 SEDL/SECAC Page 93

Introduce the process for developing performance indicators. Emphasize the importance of involving key stakeholders and customers to ensure ownership and acceptance of performance indicators as measures of program progress and success. Also emphasize that the work group is best led by a program manager or a senior staff who could see the big picture and whose involvement reflects the importance and seriousness of the effort. Point out that in practice, the process is likely to be interactive and may not follow the exact sequence indicated. Also, it is likely that it will take several iterations before an -acceptable set of performance indicators is made final.

In developing performance indicators program staff should keep in mind a set of quality criteria which tells us whether the indicators are likely to benefit the program. Discuss the five criteria in detail with the workshop participants.

### Step #1: Identify and Involve Key Stakeholders and Customers

A participatory process should be used to develop performance indicators, involving all key stakeholders and customers. Stakeholders include policy- and decision-makers at the state, district, and school levels who are interested in, or working with, state reform efforts. Customers are the direct beneficiaries of program activities. In professional development, the primary customers include school administrators and teachers. The involvement of these people can ensure that the indicators are meaningful, reasonable, and useful. It can instill a sense of ownership of the indicators so that they are more likely to be used for accountability and program improvement purposes. Performance indicators should not be a surprise to stakeholders and customers.

The outcome of step #1 is the formation of a work group that will carry out the task of developing performance indicators for a program or a program activity. The work group should be chaired by a program manager or a senior staff member. A group size of 5-10 [people representing various stakeholder and customer groups usually works well.

### Step #2: Specify Critical Program Goals and Objectives

Program goals and objectives provide the foundation for building a performance indicator system. Important goals and objectives may already exist for many federal programs. If new goals and objectives need to be developed, it is imperative that stakeholders and customers be involved in the process. Clear goals and objectives are essential because they provide the basis for developing meaningful indicators.

The outcome of step #2 is a list of overall goals and objectives for the program or a program activity that is meaningful and acceptable to key stakeholders and customers.

## FOUR USES OF . . .



**FOUR USES**

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- ◆ **Accountability**
  
- ◆ **Program Monitoring**
  
- ◆ **Program Improvement**
  
- ◆ **Communication**

SEDL/SECAC Page 94

**Performance Indicators** are typically seen as measurement procedures for establishing program accountability. They are as much a management tool as they are measurement devices.

### **Accountability**

Performance Indicators provide a means of determining the extent to which program objectives are attained. They are in that sense a measure of accountability. Program managers are held accountable for outcomes and results of resources invested in the program. Successful programs can be rewarded and replicated when feasible. Less successful programs can be strengthened or eliminated.

### **Program Monitoring**

Performance indicators also provide a way of checking on the progress made by program staff at a particular point in time. Program performance data can be used to make midstream corrections to ensure that the program is progressing on the right track. The development and use of benchmarks is essential if data are to be made available to indicate patterns and trends of program implementation and outcomes.

### **Program Improvement**

An important use of program performance data is to make modifications to further strengthen the program. In this regard, it is important that performance indicators provide data to identify areas in which the program is working well, and areas in which improvement is needed. To allow this to happen, it is critical that performance data be disaggregated to indicate specific areas needing improvement.

### **Communication**

Performance Indicators provide a way of communicating with various audiences.



Getting there  
is only half the fun . . .



*Hours after the last familiar sign,  
the driver kept up a steady pace.*

*“We’re lost, aren’t we?” said the  
passenger.*

*“Yes,” said the driver, “But we’re  
making good time, don’t you  
think?”*

**Which of the FOUR USES of Performance Indicators could be used in this example?**

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# Sample Violence Prevention Performance Indicators

Which of these is the most effectively written example of a Performance Indicator and Source of Data related violence prevention?

## Indicator

- 1. Violent incidents in schools.** The number of criminal and violent incidents in school (by students) will show continuous decreases between now and 2002.
- 2. Violence**  
The number of criminal and violent incidents in schools will decrease by 5%.
  - Reduce the percentage of State students carrying weapons on school property.
- 3.** To reduce the growth of violent crimes and gun possessions among students annually by one percent.

## Source of Data

2.1 National Crime Survey, 1997, MTF, 1997, (threatened, injured, and theft.)

State Youth Risk Behavior Survey 1996.  
Center for Disease Control and Prevention's (CDC) Biennial Youth Risk Behavior Survey

1.2.1 Based on 1994-95 school crime report data collected on violent crimes among students statewide.



# Sample ATOD Performance Indicators

## Which of these is the most effectively written example of a Performance Indicator and Source of Data related to ATOD?

### Indicator

1. **Drug use in schools.** Rates of alcohol and drug use (alcohol, marijuana, tobacco) in schools will slow and begin to fall by 2000.
2. . Usage
  - Rates of alcohol and drug use among school-aged children will decrease.
  - Increasing percentages of students will report negative attitudes toward drug and alcohol use.
3. To reduce the growth of student alcohol, tobacco, and other drug use by one percent annually.
4. By 2002, increase the average age of first-time drug use by 12 months from the average age of first-time use in the 1996 base year (e.g. Present mean age of first use of marijuana is 16.7 years. By 2002 it would be increased to 17.7)

### Source of Data

- 1.1 Monitoring the Future (MTF 1997 (students in grades 8, 10,12 use of alcohol, marijuana tobacco measured.)  
  
State Youth Risk Behavior Survey 1996.
- 3.1 Based on 1994-95 data collected on drug, narcotic, and alcohol violations among students statewide.  
  
2001 *Monitoring the Future* or *Communities That Care Survey* questions related to first use of alcohol, tobacco and marijuana.



# Performance Measures of Effectiveness

A System for Assessing the Performance of the National Drug Control Strategy. 1998-2007 Office of National Drug Control Policy. [http:// www.whitehousedrugpolicy.gov](http://www.whitehousedrugpolicy.gov). NCJ168953

## Indicator

## Source of Data

**The first Impact Target focuses on delaying the onset of first-time drug use:**

By 2002, increase the average age of first-time drug use by 12 months from the average age of first-time use in the 1996 *Survey* base year (e.g. Present mean age of first use of marijuana is 16.7 years. By 2002 it would be increased to 17.7) By 2007, increase the average age of first use by 36 months from that in 1996 base year.

Year 2002 *National Household Survey [or Communities That Care]* questions related to first use of alcohol, tobacco and marijuana.

**The second Impact Target is on overall youth drug use prevalence:**

By 2002, reduce the prevalence of past month use of illegal drugs and alcohol among youth by 20 percent as measured against that in 1996 base year and 2007, reduce the prevalence by 50 percent compared with that in 1996(e.g., current use of any illegal drugs by youth 12-17 age group was 9.0 percent. A 50% reduction moves the rate to 4.5% by 2007.).

Year 2002 *National Household Survey on Drug Abuse*

**Youth Risk Perceptions:** By 2002, increase to 80 the percent of youth who perceive that regular use of illegal drugs, alcohol, and tobacco is harmful and maintain this rate through 2007.

Year 2002 *Monitoring the Future Survey*

**Youth Disapproval:** By 2002, increase to 95 the percent of youth who disapprove of illegal drug use, and maintain this rate through 2007 SED/SECAC

Year 2002 *Monitoring the Future Survey*



# Format

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- ◆ Goals
- ◆ Objectives
- ◆ Indicators
- ◆ Source and Next Update
- ◆ Strategies



# Examples of Matrix

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## **Goals:**

All schools will be free of violence, safe and disciplined thereby encouraging all students to learn at their highest potential.

## **Objective:**

Disruptive student behavior is improved through effective application of principles of Rational Discipline by teachers and staff.

## **Indicator:**

By 1999, discipline referrals to the administration will be reduced by 60% compared to those reported in 1997.

## **Source and Next Update:**

1999 Annual School Discipline Report  
1999 Teacher Observations of Discipline Changes

## **Strategies:**

Train all school staff in the Discipline: A Total Approach (DATA) by August 1998.  
Develop discipline procedures based on DATA.  
Design Assessment of Teacher Observations of Discipline Changes.



US Department of Education  
Safe and Drug-free Schools and Communities  
Performance Indicators (FY 99)



**Program Goals: To help ensure that all schools are safe, disciplined, and drug-free by promoting implementation of high quality drug and violence prevention programs.**

Objective	Indicators	Source and Next Update	Strategies
<b>OUTCOMES</b>			
1. Reduce alcohol and drug use and availability in schools.	<p>1.1 <b>Drug use in schools.</b> Rates of alcohol and drug use (alcohol, marijuana, tobacco) in schools will slow and begin to fall by 2000.</p> <p>1.2 <b>Drugs offered in schools.</b> The number of students who are offered illegal drugs at school will decrease. 1992 levels were 10%, 18% and 23% for grades 8, 10, and 12.</p>	<p>1.1 Monitoring the Future(MTF) 1997 (students in grades 8, 10, 12 use of alcohol, marijuana, tobacco measured.)</p> <p>1.2 MTF, 1997.</p>	<ul style="list-style-type: none"> <li>Identify and publicize promising prevention programs and strategies.</li> </ul>
2. Reduce number of criminal and violent incidents in schools.	<p>2.1 <b>Violent incidents in schools.</b> The number of criminal and violent incidents in school (by students) will show continuous decreases between now and 2002.</p> <p>2.2 <b>Weapons in school.</b> The number of weapons and firearms carried to school will decrease. In 1993 12% of high school students carried weapons on school property.</p> <p>2.3 <b>Attacks on teachers.</b> The number of physical attacks, threats on teachers will decrease. 2% of teachers were physically attacked; 8% were threatened</p> <p>2.4 <b>School-related homicides.</b> The number of school-related homicides will decrease. CDC/ED study: 85 school-associated homicides were reported in 1992-1994.</p>	<p>2.1 National Crime Survey, 1997, MTF, 1997, (threatened, injured, and theft.)</p> <p>2.2 Center for Disease Control (CDC) biennial Youth Risk Behavior Survey (YRBS), 1997.</p> <p>2.3 MTF, 1997.</p> <p>2.4 Study needs to be conducted for 1998/99m and interim, if possible.</p>	<ul style="list-style-type: none"> <li>Identify and publicize promising prevention programs and strategies.</li> <li>Host conference for SEA, governors, and large SEAs to showcase promising programs.</li> <li>Collaborate with (OJJDP) on truancy and hate crimes initiatives and on assistance to schools in violence prevention activities.</li> </ul>
	<p>2.5 <b>Disruptive behavior.</b> The number of students whose learning is occasionally interfered with by misbehaving students will decrease. In 1992, 53% of students in grades 8 and 10 had their learning occasionally interfered with by other misbehaving students.</p>	<p>2.5 MTF, 1997.</p>	<ul style="list-style-type: none"> <li>Provide training and technical assistance, in collaboration with the Department of Justice and HHS to SEAs and LEAs on effective prevention strategies.</li> </ul>



**Program Goals:** *To help ensure that all schools are safe, disciplined, and drug-free by promoting implementation of high quality drug and violence prevention programs.*

Objective	Indicators	Source and Next Update	Strategies
<b>OUTCOMES</b>			
3. Reduce alcohol and drug use among school-age youth.	<p>3.1 <b>Drug use by school-aged children.</b> Rates of alcohol and drug use among school-aged children will slow and begin to fall by 2000.</p> <p>3.2 <b>Tolerance toward drugs.</b> The percentage of students reporting tolerant attitudes toward drug and alcohol use will decline significantly between now and 2002.</p>	<p>3.1 MTF, 1997 (marijuana, cocaine, LSD, heroin, meth, tobacco, and alcohol), National Household Education Survey, 1998.</p> <p>3.2 MTF, 1997.</p>	<ul style="list-style-type: none"> <li>Identify and publicize promising prevention programs and strategies.</li> </ul>



# Small Group Activity #1

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## Instructions

1. Form small groups of 3 participants -- (2 minutes).
2. Review the attached matrix of performance indicators individually -- (5 minutes).
3. Discuss as a group the quality of one of these indicators using the following criteria -- (10 minutes).

**Validity**                      There is a logical relationship between the indicator and the program objective.

**Utility**                        The information is useful to stakeholders and program managers.

**Feasibility:**                Data collection cost is reasonable and affordable.

**Accuracy:**                 The data are reliable and unbiased.

**Assesability:**            The indicator is assessable or measurable.

**Best practice:**            The indicator reflects best practice in the content area.

4. Decide the extent to which the performance indicator met each of the criteria on a scale of 1 (not at all) to 5 (fully met) - (5 minutes).



# Rating Sheet for Activity #2

## Performance Indicators

**■** Please rate the extent to which each of the Indicators met each of the quality criteria. For each criterion please circle the number which best reflects your judgment.

Criterion	Rating				
	1 = not met		to		5 = fully met.
<b>Validity</b>					
3.1	1	2	3	4	5
3.2	1	2	3	4	5
3.3	1	2	3	4	5
3.4	1	2	3	4	5
<b>Utility</b>					
3.1	1	2	3	4	5
3.2	1	2	3	4	5
3.3	1	2	3	4	5
3.4	1	2	3	4	5
<b>Feasibility</b>					
3.1	1	2	3	4	5
3.2	1	2	3	4	5
3.3	1	2	3	4	5
3.4	1	2	3	4	5
<b>Accuracy</b>					
3.1	1	2	3	4	5
3.2	1	2	3	4	5
3.3	1	2	3	4	5
3.4	1	2	3	4	5
<b>Assessability</b>					
3.1	1	2	3	4	5
3.2	1	2	3	4	5
3.3	1	2	3	4	5
3.4	1	2	3	4	5
<b>Best Practice</b>					
3.1	1	2	3	4	5
3.2	1	2	3	4	5
3.3	1	2	3	4	5
3.4	1	2	3	4	5



## Small Group Activity #2

### 4 Performance Indicators

**Program Goal 3: The SDE and Drug-Free Schools and Communities Program will support and collaborate with other state agencies/organizations on statewide initiatives addressing conflict resolution, crisis intervention, peer mediation, peer tutoring, peer mentoring, leadership skills development, and family education among all state agencies and other prevention entities.**

Indicator	Source and Next Update
3.1 By October 1998, there will be a 5 percent decrease in juvenile arrests due to violent crimes and drug sales.	3.1 Alabama Juvenile Justice Report, Alabama Kids Count 1997, Alabama Department of Youth Services 1997
3.2 By July 1999, there will be a 5 per cent decrease in referrals for suspensions and expulsions due to violence and drug-related issues.	3.2 LEA Suspension/Expulsion Reports
3.3 By October 1999, there will be a 5 percent increase in students in Grades 7-12 who report feeling safe within their school environment.	3.3 Alabama Youth Risk behavior Survey
3.4 By October 2000, there will be a 10 percent increase in students in Grades 7-12 who report feeling safe within their school environment..	3.4 Alabama Youth Risk behavior Survey



## Small Group Activity #3

### Writing Performance Indicators

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#### **Purpose:**

The purpose of this activity is to develop at least two indicators for the objective.

#### **Instructions**

1. Form small groups of 2-3 people to complete the task -- ( 2 minutes).
2. Develop at least two indicators for the objective, keeping in mind the following criteria -- (15 minutes):

**Validity:** There is a logical relationship between the indicator and the program objective

**Utility:** The information is useful to stakeholders and program managers.

**Feasibility:** Data collection cost is reasonable and affordable.

**Accuracy:** The data are reliable and unbiased.

**Assessability:** The indicator is assessable or measurable.

**Best practice:** The indicator reflects best practice in the content area.

5. Write down the indicators on the worksheets provided -- (2 minutes).
6. Decide what data will be needed for each of the indicators and what is the best way to collect the data. Identify data collection instruments and data sources and write them down on the worksheets -- (5 minutes).



## Developing Performance Indicators

**Program Goal 1: The Drug-Free Schools and Communities Program will support and collaborate with local schools assisting students to develop personal life skills preventing their future use of alcohol, tobacco and other drugs and reducing behaviors disruptive to others students in school.**

Objective 1: Students in grades 6, 7 and 8 enrolled in Life Skills Training (LST) will apply information, decision-making, coping skills, social skills, and self-improvement to show a reduction in initiation of smoking and drinking behavior.

Indicator	Source and Next Update
1.1 By 1999, will be a 5% - ? decrease in the number of grades 6, 7 and 8 students who report initiation into smoking and alcohol.	1.1 Risk Behavior Survey, 1999 LEA Drug Use Survey, 1999.
1.2 By 1999, 90% of grade 6, 85% of 7 and 80% of grade 8 students will report never having used tobacco or alcohol.	1.2 Risk Behavior Survey, 1999 LEA Drug Use Survey, 1999.
1.3 By 2000, will be less than 30% of all students in grades 6-8 reporting having used tobacco or alcohol.	3.3 Risk Behavior Survey, 2000 LEA Drug Use Survey, 2000.
1.4 By 2000, will be a 5% - ? decrease in the number of grades 6, 7 and 8 students who report initiation into smoking and alcohol.	1.4 Risk Behavior Survey, 2000

Conclude the workshop with a few summary statements about performance indicators, emphasizing that they are as much a management tool as they are measurement devices. Their ultimate purpose is to provide information for better policy- and decision-making to avoid waste and inefficiency at all levels of government. In education, the purpose is to improve instruction so that all students can achieve to high standards.

Thank the participants for attending the workshop and find out if any follow-up assistance is needed. As appropriate, pass out evaluation forms to obtain feedback on the workshop.