

RESULTS OF THE ASHE-PELL COLLABORATION'S EXPLORATORY LANDSCAPE SURVEY BY MIKA YAMASHITA

The federal TRIO Programs are one of the oldest groups of higher education social programs, which originated from the Economic Opportunity Act of 1964 and the Higher Education Act of 1965 in response to the Civil Rights movement and the Johnson Administration's War on Poverty. The programs have infrequently had national evaluations focused on the effectiveness of the program as a whole. However, there is little systematic documentation of what individual programs may be doing to evaluate their programs and how they may or may not be using research for program development. Although an evaluation plan is required in the grant proposal, grantees are not required to submit their evaluation reports. For grantees, submission of an annual progress report (APR) is required by the Department of Education. In addition, there are no funds specifically allocated for evaluations. While we know that TRIO practitioners regularly exchange ideas and best practices during an annual conference, regional conferences, and other occasions, we do not know how TRIO practitioners generate knowledge and refine their programs or how they use research and evaluation in this process.

The Landscape Survey addresses this gap in the knowledge in the TRIO community, i.e., how do TRIO programs use research and evaluation, how do they conduct their own program evaluation, and what is the landscape of TRIO practitioner knowledge? A principal goal of the survey was to collect information that can promote future discussions about how to better promote research and evaluation use among TRIO programs. In this report, after presenting the survey and response rate, observations, and recommendations for further research are presented.

The Survey, Response Rate, and Respondent Characteristics

Survey Development. Based on the consensus built during the first Collaboration meeting in September 2014 that the ASHE-Pell Institute Collaboration would conduct an exploratory survey on TRIO programs to address these questions, a team of ASHE and Pell Collaboration members generated core questions and drafted question items between April and July 2015. The survey was to collect descriptive information on the following topics:

Abstract

This paper summarizes results from a survey called the ASHE-Pell Institute Collaboration Landscape Survey. The purpose of this survey was to acquire descriptive information about how TRIO directors had used research and evaluation to inform their program planning, how their program had conducted evaluation, and what effective strategies and practices their programs used.

1. Where do TRIO directors seek information to inform their practice and how helpful are these sources?
2. Do TRIO directors use research and evaluation to plan their program? If so, what types of research do they use and how do they use it?
3. What challenges do TRIO directors encounter to use research and evaluation?
4. Do TRIO programs conduct evaluations of their own program? What types of evaluation do they conduct? Who conducts the evaluation? What data do they use for evaluation? How do they use the evaluation?
5. Do TRIO programs collaborate with other organizations or units to do evaluation?
6. What questions do TRIO directors want to ask that would help to improve their program?
7. What is the landscape of practitioner knowledge? What are effective strategies or practices that TRIO programs are using?

The survey included 80 question items, of which 11 were open-ended questions.

Survey Administration and Response Rate. The Pell Institute distributed the online survey to a total of 1,427 TRIO directors who are members of the Council for Opportunity in Education (COE). COE is a membership organization of which TRIO programs are a majority of its membership pool.¹ On July 28, 2015, Pell Institute staff sent an e-mail that described the purpose of the survey and encouraged the TRIO directors to fill out the online survey. The link to the survey was included in the e-mail. The first page of the survey was a consent form, and only consenting respondents could proceed to the survey questions.

The Pell Institute staff sent two follow-up e-mails to encourage the directors to fill out the survey. A total of 80 respondents answered the survey by August 28, 2015, the due date of the survey. Given the short time frame of the survey, and the time frame of August when many directors are not working and the limited follow up conducted, the response rate was 5 percent. Given this response rate, these figures discussed below should be taken as “exploratory results.”

Respondent Characteristics. Of the 80 respondents, 40 (50 percent) were Student Support Services (SSS) directors. Among respondents, SSS programs had higher representation than the actual proportion, as in FY 2014, 37 percent of all TRIO programs were SSS programs. The high representation from SSS program directors in the respondent group may derive from the fact that the survey was conducted during the summer when SSS grant application results were announced and SSS directors might have been working, while directors of other programs might have been out of the office in August. In addition, the Competitive Preference Priority (CPP) in the 2015 SSS competition that required the use of studies meeting the What Works Clearinghouse’s (WWC) moderate level of evidence of effectiveness standards almost certainly impacted the responses of the SSS directors compared to other respondents. SSS program directors’ responses, particularly the use of the WWC, might have been over represented. Given this potential bias of the respondent group, in our analysis, we examined whether SSS program

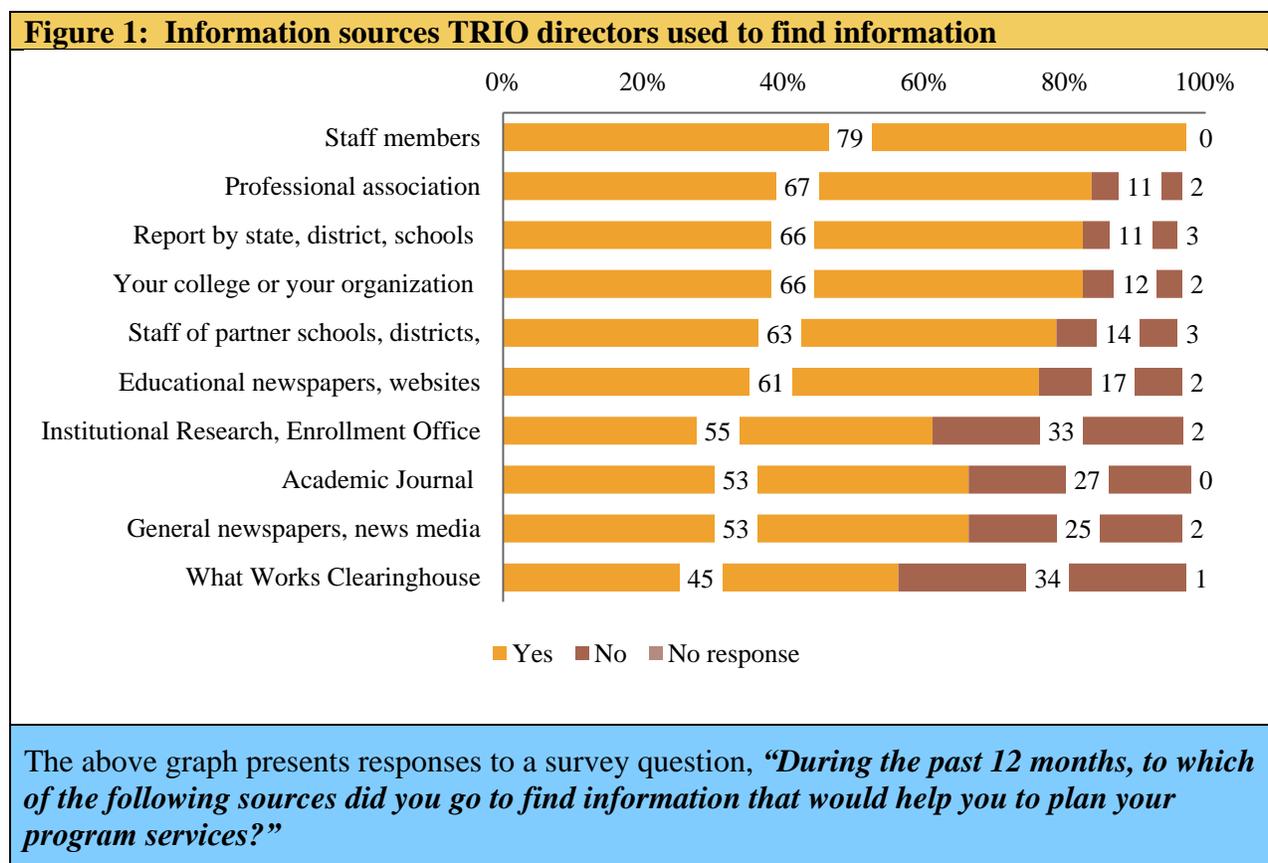
¹ Taken together, there are about 2779 TRIO programs (Upward Bound, Upward Bound Math Science, Veterans Upward Bound, Student Support Services, Talent Search, Educational Opportunity Centers, McNair). As many institutions have more than one of the programs, the 1427 COE memberships represents more than half of the TRIO institutions.

directors' responses differed from other program directors. We report the differences in the findings section.

Exploratory Survey Findings

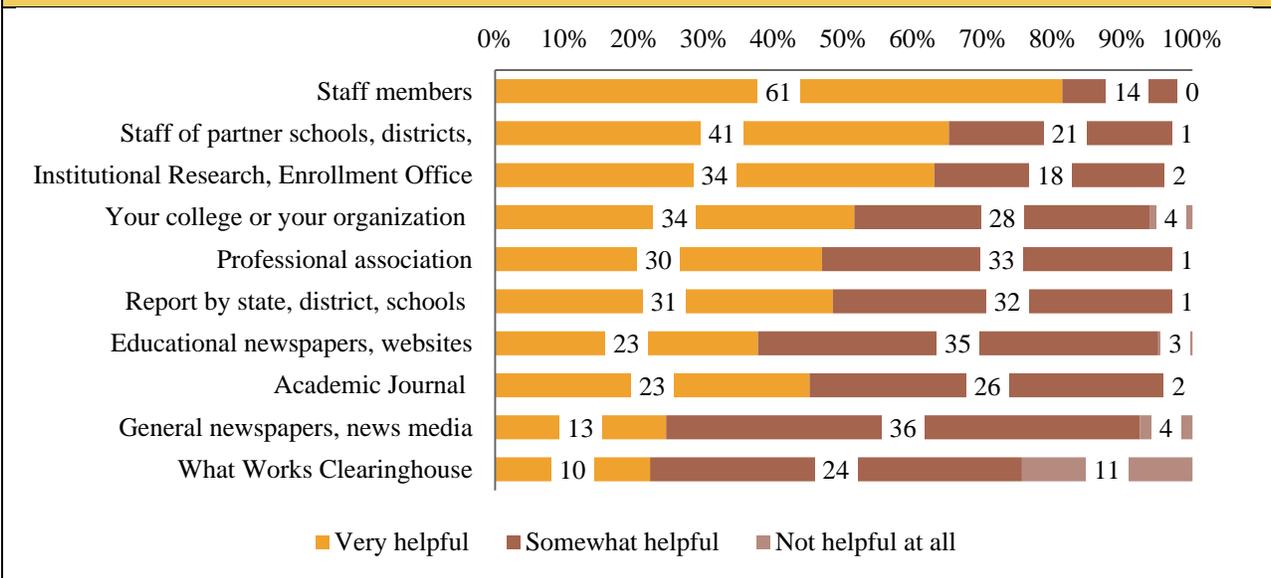
Below, we present findings on the sources of information, ratings of helpfulness, the extent of research use, and the challenges of using research and evaluations in their own programs.

Information Sources and Usefulness of These Data Sources. The survey responses suggest that TRIO directors go to local sources such as other staff members, professional association publications, reports by state, district schools, their own college, as well as staff members of partner schools and districts to seek information that will help them to plan their services. These local sources were reported more frequently than more remote, less personally known sources such as academic journals (Figure 1).



When it comes to helpfulness of information sources, TRIO directors also see staff members, staff of partner schools and districts and, their own institutional research offices as more helpful than academic journals, general newspapers and the What Works Clearinghouse (WWC) (Figure 2).

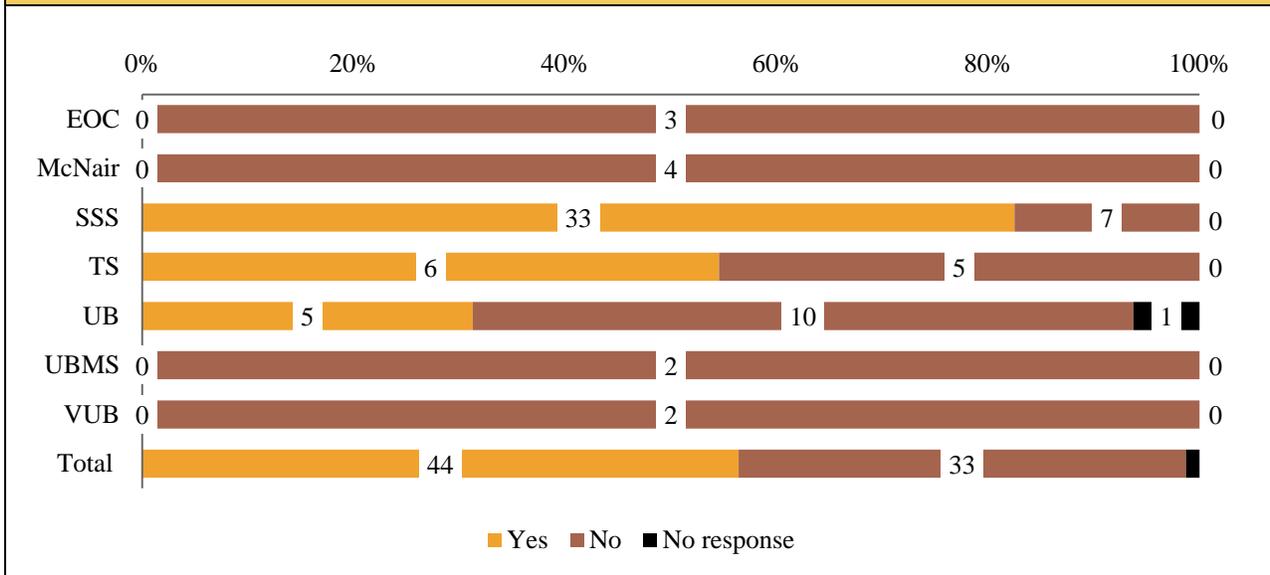
Figure 2: Number of respondents and percentage about the degree of helpfulness of information from each source.



The above graph presents responses to a question to respondents who reported going to each source, *“If yes (to go to find information from a source), how is the information helpful to plan your services?”*

The 2015 Student Support Services (SSS) competition requirements and the experience of grant writing seemed to have had an influence on the SSS directors’ likelihood of reporting that they sought information from the What Works Clearinghouse (WWC). Figure 3 presents the breakdown of response to a question that asked if they looked into WWC by program. Over 80 percent of SSS directors reported they looked into the WWC, while the rate was much lower among other programs.

Figure 3: Number and percentage of respondents who reported that they went to the What Works Clearinghouse (WWC) to find information by program types.

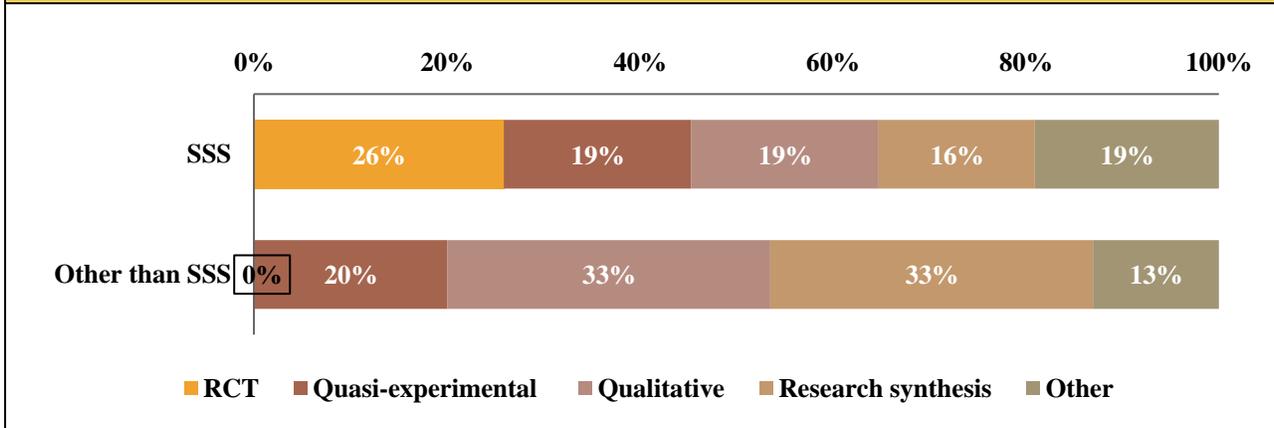


Use of Research and Evaluation. Asked whether they had used research or evaluation in the past twelve months to inform their practice, 88 percent of the TRIO directors responded yes. The most common topics of the study reported were:

- program activities and interventions (69 percent);
- study of their own TRIO program (46 percent);
- other TRIO program (44 percent), and
- college access programs that are not TRIO programs (43percent).

When we asked the research methods used for the studies that the TRIO directors remembered as most useful, only SSS program directors cited Randomized Controlled Trials (RCTs). This may derive from that the competitive preference priorities of the 2015 SSS grant competition required applicants to propose effective services and approaches that are supported by RCTs or rigorous quasi-experimental studies. Figure 4 below presents the types of study designs cited by SSS program and non-SSS programs.

Figure 4: Types of study designs cited by SSS program and non-SSS programs

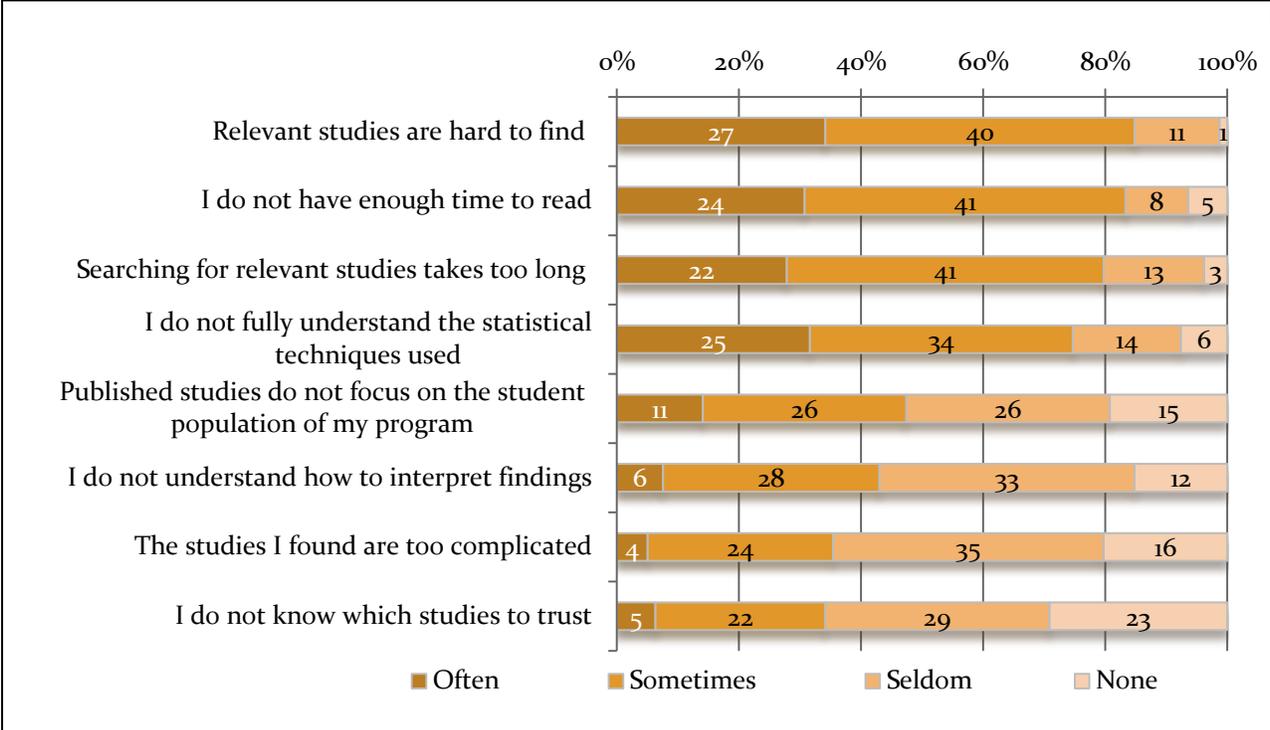


The graph above shows the type of study design used for a study that looked at specific interventions reported by survey respondents. As cited in the text, 69 percent of respondents reported they used a study that looked at specific interventions. The graph above presents responses by the 69 percent of all respondents about study design of the study they used. **Note: other includes “do not remember” “not sure” and “other”*

Using a study for preparing a grant proposal was more frequently mentioned by SSS directors than any other program directors. SSS directors mentioned using a study for grant preparation 22 times in the open-ended question on how they used studies, while other programs (Talent Search) directors mentioned using a study for grant-writing only three times.

Challenges of Using Research and Evaluation. The survey asked TRIO directors if they came across challenges for using research that are often mentioned in the literature. For TRIO directors, “finding relevant studies” are the most common challenge. Compared to finding relevant studies, factors such as finding that the studies were too complicated, or not understanding how to interpret the findings were less commonly reported challenges for the TRIO directors. Figure 5 below presents their responses.

Figure 5: Number and percentage of respondents reporting each challenge in using research and evaluation

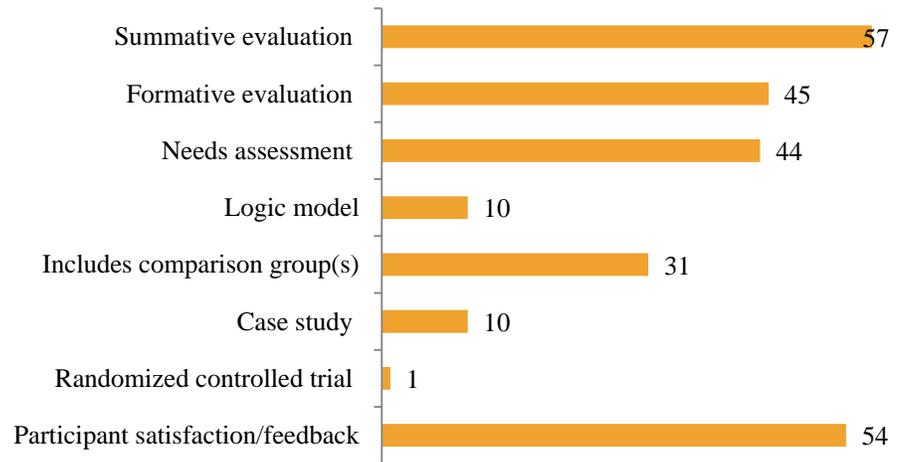


The above graph presents response to a following survey question. *“Below are some of the challenges people may have in using literature, research or evaluation in making program decisions. Please indicate how often you encountered these challenges when you tried to use literature, research, or evaluation in making decisions about your program.”*

Evaluation of Own Program. In TRIO programs, internal staff often take responsibility to evaluate their own programs. In the survey, of 80 respondents, 65 (81 percent) reported their program is evaluated, and 92 percent of program directors reporting evaluations reported that the director or program staff conducts evaluations. There were 13 directors reporting that they have an external evaluator, but all of them reported that either the director or staff also conducts evaluations.

Figure 6 below presents types of evaluations and evaluation approaches used by the TRIO programs. The most common evaluation is summative evaluation, followed by formative evaluation and needs assessment. Logic models were less utilized, as only 10 programs reported they either create or revise a logic model for their program.

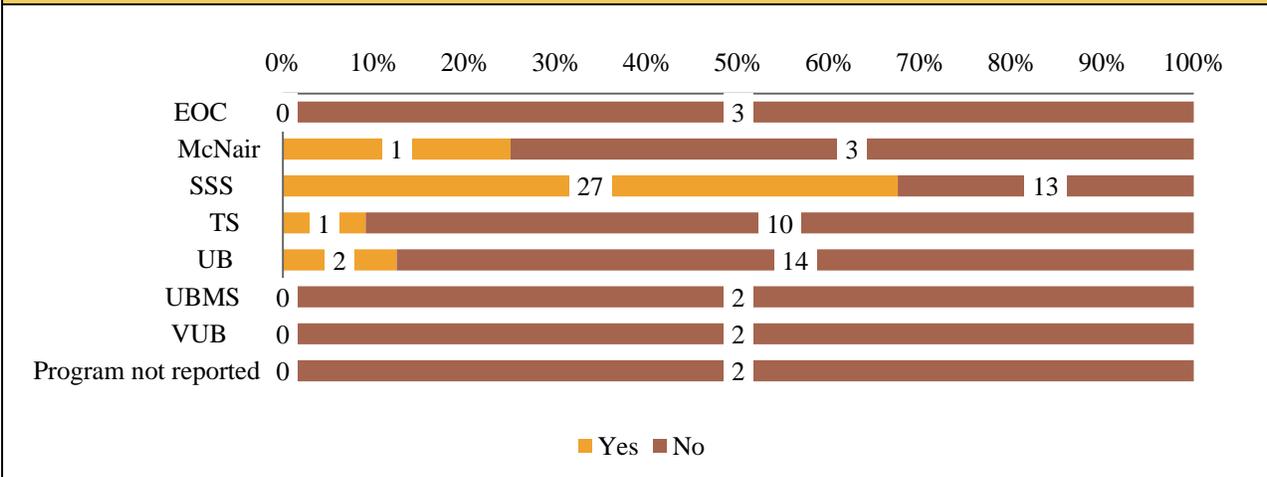
Figure 6: Number of respondents who reported using evaluation and evaluation approaches



The above graph presents responses to the survey question- *“During this grant cycle, do you or someone else conduct evaluation of your program? If yes, what types of evaluation or evaluation approaches does your program use?”* Respondents are to select all applicable evaluation methods used to evaluate their programs.

Over one-third of TRIO programs reported their evaluation includes a comparison group (see Figure 7). The majority of these programs are SSS programs. Programs that focus on college students, rather than pre-college, are more likely to include comparison groups.

Figure 7: Number and percentage of respondents who reported if evaluation of their own program included a comparison group, by program type



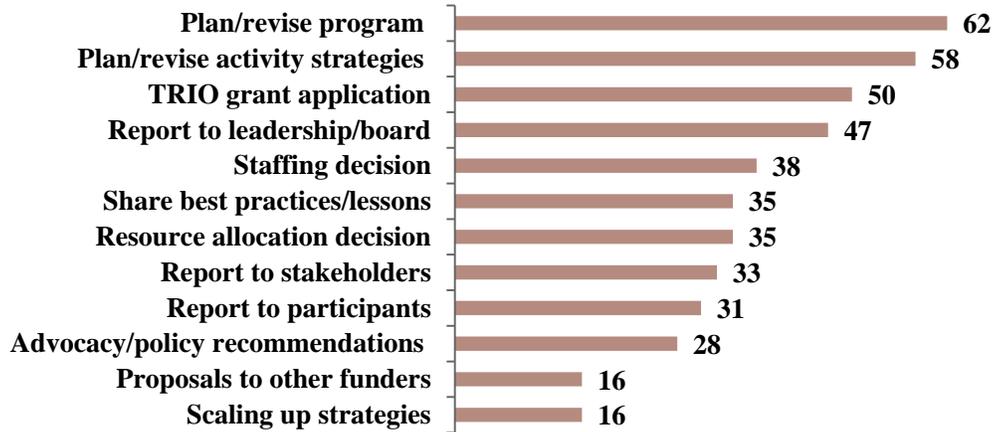
The above graph presents responses to the survey question: *“During this grant cycle, do you or someone else conduct evaluation of your program? If yes, what types of evaluation or evaluation approaches does your program use?”* The above graph is a breakdown of response to “Includes comparison groups” by program types.

The most common data the programs use for evaluation were from:

- Annual performance reports (94 percent of programs that conduct evaluation reported using them) and
- Participant surveys (77 percent).

Use of Data and Evaluation. Overall, TRIO programs report high use of data and evaluation. About two-thirds (67 percent) of programs reported they hold a data review meeting at least once a month, and all programs that reported conducting evaluations of their own program reported they used the evaluation. The most common use of the evaluation is program or strategy planning and for the grant applications. About half of the programs also reported using evaluation to communicate to their stakeholders and participants. One-quarter (25 percent) of programs reported using evaluations for proposals to other funders.

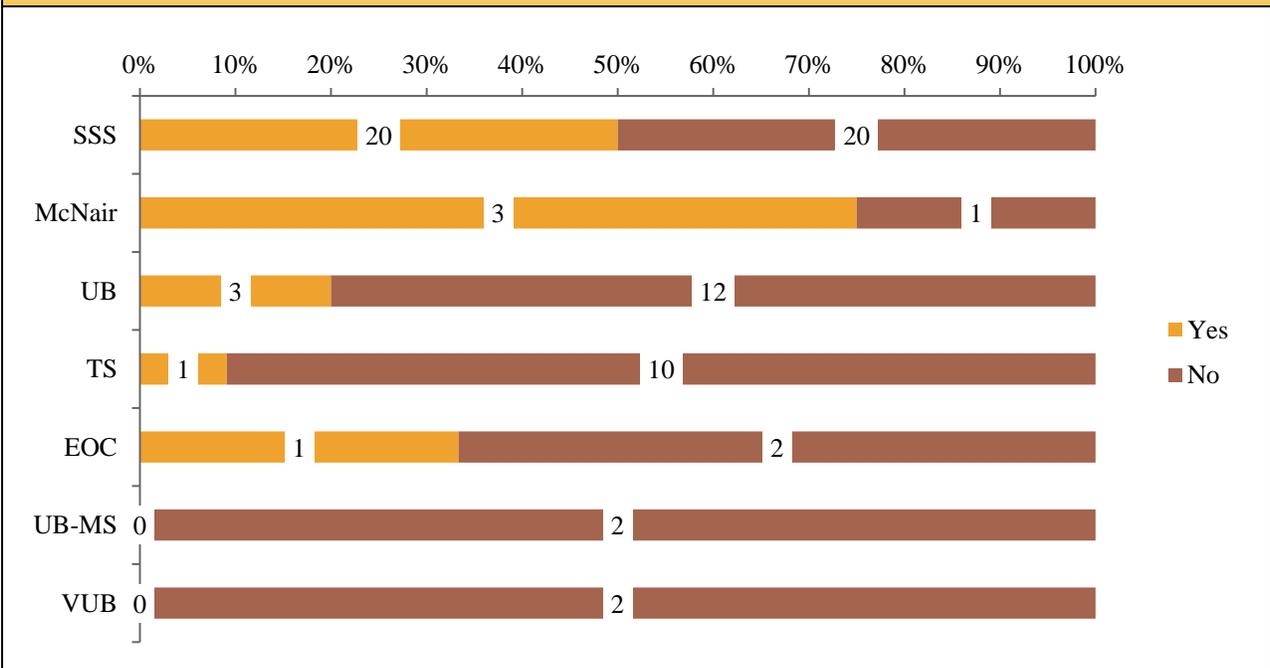
Figure 8: Number of respondents using evaluation for each of the purposes



The above graph presents response to a survey question, *“How do you use findings of the evaluation that evaluated your program? Please check all that apply.”*

Collaboration with Other Organizations. Since TRIO programs are not required to allocate a specific budget for program evaluation, utilizing existing resources or partnering with other organizations or units seem to be one of the ways to conduct evaluation. Thus, we asked if their program collaborates with other units or organizations to study or evaluate their own programs. Just over one-third (38 percent) of programs reported they collaborated with other units or organizations. SSS and McNair programs are more likely to report having collaborators or partners.

Figure 9: Number and percentage of respondents to the question of whether their program collaborates with other organizations or institutional units, by program type.



The above graph presents responses to the question *“Does your program collaborate with other organizations or institutional units to conduct research or evaluation that informs your program’s work?”* by program types. The number in each bar is the number of respondents who responded yes or no.

The most common collaborators are institutional research offices. Examples of study projects are as follows:

- Working with the Institutional Research office to compare SSS students, SSS-eligible students and non-SSS-eligible students (reported by SSS program)
- With the Institutional Research Office and with university professors, studying “what are viable new initiatives to expedite students from remediation?”
- With the assessment office, conducting a study using propensity score analysis to compare matched sample of participants and eligible non participants’ retention differences. (SSS program)
- With the Institutional Research Office, studying effective interventions and use of resources (Upward Bound Program)

Evaluation Questions. Respondents were asked an open-ended question regarding what they would most like to know if they had unlimited resources for evaluating or studying their program. TRIO directors reported a variety of study questions, with most centering on how best to serve students generally and also how to serve particular students. These questions ranged from understanding the best practices and student expectations to identifying effective services

for particular types of students, better management of multiple programs, the true impact of the program, and the long-term impact of the program on students and institutions. Below are some examples of the study questions listed by the TRIO directors.

- **Questions about needs, expectations, and standards.**

- “What are students’ expectations?” “What should staff know to be effective? What professional development is needed?”(SSS)
- “How to evaluate my program against state and national norms for retention purposes” (SSS)
- “What encourages low-income, first-gen, and underrepresented students to pursue graduate school and persist to the PhD?” (McNair)

- **Questions to identify effective services, strategies, and programs.**

- “What educational methods work best with middle-aged veterans preparing to attend college?” (VUB)
- “What are evidence-based best practices for student success programs working with this population (First-generation, low-income, students with disabilities)? What are other effective services that can be used to engage, retain, graduate, and/or transfer this population?” (SSS program)
- “To isolate variables associated with SSS intervention and correlate them with program participant academic performance and retention” (SSS)
- “What are research-proven methods for early intervention for our demographic of students whom are currently not making adequate progress in school or state mandated testing? What are research proven methods to increase college retention rates for our demographic of students?” (Upward Bound Math and Science)
- “Effective and efficient academic support approaches for college readiness” (EOC)
- “What support or services are relevant for students? (e.g. group advising or individual advising? Students with trauma, older students, students at risk)” (Talent Search, SSS)
- “What is our program’s ROI for retention or graduation rates at our institution?” (SSS)
- “Cost effectiveness” (Talent Search)

- **Questions about program management**

- “How to effectively run a program that travels daily 30-60 min to reach 5 target schools? How to effectively work with the rising costs of university housing, dining room reservations? How to structure the coordinated impact of running two or three TRIO programs” (Upward Bound)

- **Questions to identify “true” impact**

- “How to determine program impact in high school completion and student grades vs impact at the school level? Would like to be able to document the true academic benefit of intervention services for students” (Upward Bound)
- **Questions about the long-term impact of the program in the broader community.**
 - “How does the existence of the SSS program impact perceptions of socioeconomic diversity at my institution?” (SSS)
 - “What are the unanticipated outcomes for TRIO program participants, i.e., lower incarceration rates, higher employment?” (Upward Bound)

Effective Strategies. Another important purpose of this survey was to map a landscape of practitioner knowledge. To the question, “please list strategies or practices that you utilize regularly to make your program effective and successful,” 95 percent of respondents answered. The respondents provided multiple activities or strategies. Below, we present examples of responses in the following two categories: a) practices that are program activities, services, and b) practices that are associated with evaluations.

- **Strategies and practices that focus on how to implement services.**
 - “Establish partnership with community organization who serve a similar population as EOC and TRIO target population” (EOC)
 - “Offer advisement services, onsite, at high schools, GED programs, homeless shelters, and community organizations, helping participants apply for financial aid and college admissions at their respective locations. Provide college admissions and FAFSA workshop at various locations in the EOC serving communities. Follow up with participants either at EOC main office or out in the community” (EOC)
 - “Take students to research conferences to either see other students presenting research or to present their own research. Work with students on writing for publication, practicing and studying for the GRE, preparing for interviews, etiquette and other workshops” (McNair program)
 - “Ongoing personal learning, staff training and development, proactive review of formative assessment and data points throughout the semester and year, review of summative assessment and evaluation to shape program changes for the upcoming year” (SSS)
 - “Learning communities involving students in high-impact practices integrating academic support into classes requiring participation in activities and using future scholarship award as leverage” (SSS)
 - “Proactive intervention models for students on or at risk of academic probation or students returning from academic probation. Providing a foundation of community atmosphere so our students feel they have a safe place to come and talk to staff about a wide range of concerns. Utilizing proactive interventions for students who are on the early alert and on the financial aid purge list have been fruitful.” (SSS)
 - “Consistent contact with participants during target school visits. Inclusion of parents in programs. Summer programming that is focused and comprehensive. Providing

- students with an array of academic and social development activities.” (Talent Search)
- “Research based intervention for low-income, first generation students based on the work of Suzanne Bouffard and Eric Jensen among others. Incorporate those strategies into summer program and staff training” (Upward Bound)
 - “Mandatory turning for students who have a C or below in each high school course... who have not passed their state mandated testing. During our summer program, we prescreen and place students who have not been successful on their state testing into rigorous remediation and then work with the schools to provide a retesting period after their summer remediation. We are also working on becoming a test center to remediate and retest all of our students from the seven different pilot schools that we serve” (Upward Bound Math and Science Program)
 - “We consult colleagues in programs who serve the same kind of population we do. We base our work on our experience and try always to have at least one highly experienced staff employed. We listen to our participants’ expressed needs” (Veterans Upward Bound)
- **Use of data, evaluation, research, and feedback loop.**
 - “1. Review of program enrollment and service utilization, 2. Regularly assess outcomes data. 3. Work closely with our campus IR department to analyze trends and maintain compliance with ED outcomes, 4. Inter-departmental collaboration, especially with athletics, student affairs, career and technical programs, financial aid and admissions” (SSS)
 - “I hire tribal members when possible. I have meetings in the tribal community versus the school system. I always seek the tribal councils’ blessings for my initiatives or activities” (Talent Search)
 - “Constant evaluation and re-assessment. Create opportunities where our students are exposed to different learning strategies. Create opportunities to talk with students to understand their needs. Trust is important in working with people. When our students know that we have their best interest at heart, they will begin to open up and possibly see that their lives can change. Reinforcement is the key” (Upward Bound)
 - “We conduct semi-annual evaluations with our school partners, we solicit feedback from our students after every event, our dialogue with families informs our communication strategies” (Upward Bound)
 - “I complete an annual program review that is instituted by the college. It requires that I look at my program’s data and outcomes through a different lens. I look more at the qualitative instead of just the quantitative data” (Upward Bound Math and Science)

Discussion

The purpose of the Exploratory Landscape survey was to gather information about the use of research and evaluation in TRIO programs and their evaluation practice. The survey also aimed to collect effective practices. The descriptive information from the survey was to promote future discussions about how to better promote research and evaluation use among TRIO programs and

how to promote useful evaluations. In this section, drawing upon other studies and the findings from this survey, I present potential future discussion points.

Are the Survey Findings Reflective of TRIO Programs? Responses to the Exploratory Landscape survey project an image of TRIO programs as highly engaged with evaluation because programs regularly review data, program directors and staff members evaluate their programs, and they use findings. When our survey responses are compared with the findings from a national survey on nonprofit organizations, TRIO programs are close to the national average in the frequency of conducting evaluations. In the national study in 2012, 78 percent of nonprofit organizations that have annual budgets of \$500,000 or less, which is comparable to most of TRIO programs, conduct evaluations. In our survey, TRIO programs (81 percent) reported conducting an evaluation. However, it is very important to note that this response may not be reflective of all TRIO programs. We expect that those TRIO programs most interested in evaluation were also those that completed our survey. Furthermore, our survey sample is COE membership, which may include respondents whose institutions have a long history of TRIO programs or TRIO directors who are more engaged with college access and success missions. As we discussed, there may be a potential bias in our respondents, and there is a possibility that TRIO programs in our sample are more engaged in evaluation than TRIO programs in general. There is a need to review whether the findings in this survey reflect TRIO programs in general. COE will be able to disseminate survey findings and to facilitate discussions.

How Did the SSS Proposal Requirement of Proposing Services or Practices That Met the WWC Change the Way TRIO Programs Use Research and Evaluation for their Project Planning? The survey responses indicate that the most recent SSS program application and competition requirements might have led SSS directors to seek information from WWC and to review studies that meet WWC's evidence standards. This presents an interesting opportunity for TRIO community to better understand how this new requirement changed the way TRIO programs use research and evaluation for designing its program and services. The current survey does not provide this information. The open-ended responses made us to think that SSS programs used studies for grant writing. Since the use of RCT and quasi-experimental studies require implementing sites to prepare the best context to make the interventions work, it is important for the TRIO community to have a better understanding of how to make potentially effective interventions actually work. From the perspective of the field of study of evaluation use, it is worth investigating how this type of "imposed use" of evaluation (Weiss, Murphy-Graham & Birkeland, 2005, p. 12) influences how TRIO programs use research and evaluation in the long term. Does the exposure to WWC facilitate enlightenment or instrumental use?

How Do TRIO Programs Design Evaluation? The survey also identified interesting aspects of evaluation practice among TRIO programs.

The survey found that despite the fact that 81 percent of respondents reported conducting evaluations, only 15 percent reported using a logic model, which seems to be lower than the national survey results. A survey of non-profit organizations found 41 percent of organizations created and revised a logic model within the past 12 months, and 60 percent of organizations

have logic models (Morariu, Pankaj & Emery, 2012).¹ This relatively low usage of logic models may stem from the fact that the evaluation is conducted by internal staff, as one of the reasons of drawing a logic model is to support evaluators understanding of the project they are evaluating. Another reason may be that the logic model is not required in grant proposals. There is a need to better understand how TRIO programs identify evaluation questions, design, and implement evaluation.

What Makes College Programs (SSS and McNair) More Likely to Collaborate with Other Units to Conduct Study of their Programs than Others? The survey also found that SSS programs and McNair programs were more likely to report collaborating with other units to support studies of their own programs. Types of institution where programs are hosted, such as 2-year or 4-year colleges, do not seem to be the main factor. In this survey, of 41 programs that reported collaborating with other units, 21 were 4-year and the rest were either 2-year or other organizations. The commonality of McNair and SSS programs are they are both college programs, but we do not know why they are more likely to collaborate with other units than other programs. A further study to find out why and how these programs could collaborate with other units will be helpful for the TRIO community. The first step is conducting interviews with the programs.

What is the Best Way to Present Effective Strategies Reported by TRIO Programs so that the Document will be Useful for TRIO Programs, but also be Able to Present the Landscape of Knowledge about Effective Strategies? This exploratory survey collected information about many effective strategies and practices. The volume of responses provided by the respondents suggests that each program has developed its own unique set of strategies and practices. The programs reported multiple ways of knowing the effective strategies--for example, receiving feedback from students, conducting evaluations, and monitoring program performance. The next step for the ASHE-Pell Collaboration is mapping these diverse practices that are embedded in the context in a way that can be communicated to other programs.

Conclusion

This exploratory landscape survey is a first attempt to describe the way TRIO programs use research and evaluation for programming, their evaluating practices and effective strategies among TRIO programs. While the survey response rate was low, this survey is the first of its kind to systematically collect information from TRIO directors on how they use research and evaluation for programming, and the findings have raised several areas for further studies. As Competitive Preference Priorities (CPPs) have become a part of grant requirements, the Pell Institute continues to collect information on how TRIO programs respond to CPP requirements and how programs are using studies to design interventions.

¹ This survey, The State of Evaluation, by Innovation Network, was conducted in 2012 on 546 representatives of 501c3 nonprofit organizations. The final report is available online: <http://stateofevaluation.org>

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