

## Evaluation Framework

Case studies will be developed for five to six demonstration projects. The case studies will be used to assess:

- the effectiveness of multi-stakeholder collaborative partnerships to address environmental justice issues;
- the effectiveness of the Federal Interagency Approach as a component of these partnerships; and
- key factors contributing to project success and challenges.

Once the case studies and subsequent analyses are complete, all results and case studies will be made available in a single report.

To develop the case studies, a combination of data collection approaches such as phone interviews, face-to-face interviews, and performance measurement will be used. A wide variety of written materials available for each project will also be reviewed. These will include formal project reports and summaries, and any other relevant evaluation documents or news articles.

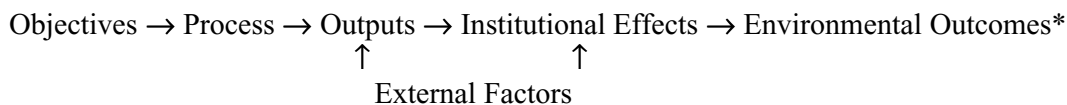
Every attempt will be made to interview a diverse set of project participants to ensure that the effectiveness of partnerships is accurately characterized and that each project is accurately portrayed. Care will be taken to ensure that the number of interviews with non-Federal employees falls within the limits set by the Paperwork Reduction Act. In addition, we intend to work closely with several of the project leaders well in advance of the project evaluation. By doing this, we hope to obtain assurances that (1) the evaluation purpose is clear and acceptable to the community, (2) data collection techniques are considerate of interviewees' time, and (3) interview questions are structured such that participants can provide the most accurate information.

A core set of questions will be asked during every interview for each project reviewed. These questions will focus on the effectiveness of collaborative partnerships, the Federal agencies' roles in these partnerships, and key factors influencing project success and challenges. Responses to these questions will assist in developing the case studies and performing the data analysis. Questions will also be based on a project "logic" seen in terms of objectives, process, outputs, institutional effects, and environmental outcomes. Responses to these questions will focus additional attention on the contextual issues surrounding individual projects and enhance the value of the case studies. Additional information regarding the use of the project logic in this evaluation as well as a list of potential interview questions is included on the next few pages.

A project logic provides a framework for thinking about how project objectives connect with processes, outputs, and institutional effects, ultimately leading to outcomes. Specifically the logic suggests that project objectives lead to implementation of specific *processes* that produce *outputs*. The processes and outputs might result in changes in individual or organizational behavior, or *institutional effects*, and *changes in the environment, human health, and/or quality of life*. In addition, a project "logic" recognizes that factors beyond the project's control may

impact the project's outcome (e.g., major storm event delays project indefinitely). This is illustrated in a simplified fashion below.

**FIGURE 1. Steps in a Project Logic**



\* By "environmental outcomes", we are referring to "environmental outcomes" in broader sense, including environmental, public health and quality of life outcomes.

Although the logic can be strictly linear, sometimes the process skips a step, going, for example, from Outputs to Environmental Outcomes.

For each step in the project logic, key questions will be developed to help us better understand successes and challenges at each step of the project as well as overall progress toward the desired results.

- **Objectives.** Questions regarding objectives address desired processes, outputs, institutional effects, and/or environmental results or other outcomes.
- **Process.** Questions regarding process address the implementation of the project – was the project implemented as designed? Did the processes work well?
- **Output.** Questions regarding output address products of the project, such as number of reports completed or number of properties that have had an environmental assessment.
- **Institutional Effects.** Questions regarding institutional effects address the impact of the project on individual and organizational behavior, including the behavior of participating Federal agencies, other government partners, industry participants, and community stakeholders.
- **Environmental / Public Health/ Quality of Life Results and Outcomes.** Questions regarding environmental, public health, and quality of life outcomes or results can address reductions in pollutants and waste, changes in the status of ecosystems, changes in human health status or risk, and changes in quality of life that accompany these other changes.

An abbreviated project logic for an Interagency Environmental Justice Project taking place in East St. Louis, Missouri along with key questions that could be considered at each general stage of the logic are described in the table below:

**FIGURE 2. Identifying Measures and Key Questions Using a Project Logic for the East St. Louis Interagency Environmental Justice Project**

	Objectives	Process	Outputs	Institutional Effects	Environmental and Other Outcomes
<b>Project Description</b>	Build capacity of residents to address EJ issues by conducting lead screening and abatement in distressed community.	Federal partners will work with local government, health care and educational institutions, and neighborhood organizations to achieve objectives	Identify areas of high risk for lead exposure in East St. Louis, conduct community education, abate lead in soil, and identify opportunities for beneficial reuse of land.	Greater cooperation will emerge between all stakeholders.	Youth protected from environmental contaminants.
<b>Key Questions</b>	Are the project objectives clear to all participants?	Was a process in place to allow for effective coordination?	Did the project perform its stated activities?	Did greater cooperation emerge between all stakeholders?	What percentage of youth was protected from lead as a result of the project?

Many of the questions will be initially answered through review of specific documents, such as project plans, partnership agreements, meeting records, meeting minutes, fact sheets, quarterly reports, critical correspondence, and newspaper articles.

In a parallel process, key questions regarding stakeholder perspectives can be asked to stakeholders at each step of the project logic and questions regarding the effects of stakeholder involvement can be asked for some steps (e.g., what was the effect of having multi-stakeholder collaboration?).

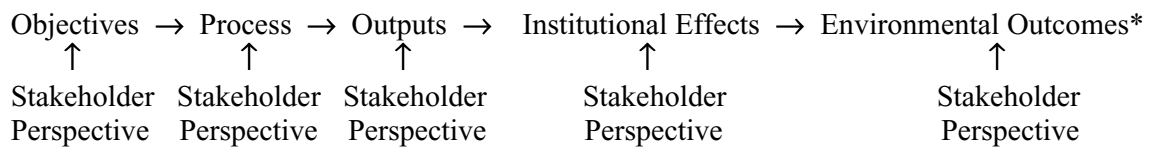
- **Stakeholder Perspectives of Objectives.** These questions can address stakeholder perspectives regarding adequacy of the objectives selected.
- **Stakeholder Perspectives of Process.** These questions can address stakeholder perspectives regarding opportunities for participation, timeliness of process, burden or cost of process, and similar indicators.
- **Stakeholder Perspectives of Output.** These questions can address stakeholder perspectives regarding specific products, such as a report or action – was it clear? Did it provide information needed?

- **Stakeholder Perspectives of Institutional Effects.** These questions can address local stakeholder perspectives regarding their own behavior (e.g., community capacity to work cooperatively with non-local organizations) and the behavior of others (e.g., agencies' ability to deliver more effective government services to the effected community).
- **Stakeholder Perspectives of Environmental / Public Health / Quality of Life Outcomes.** These questions can address satisfaction with the environmental and quality of life improvements achieved, and the value added by the project or program.

This can be illustrated as follows:

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**FIGURE 3. Identifying Stakeholder Perspectives at Each Step of a Project “Logic”**



\* By “environmental outcomes”, we are referring to "environmental outcomes" in broader sense, including environmental, public health and quality of life outcomes.

Questions will address stakeholder perspectives for many of the project components . An example of this using the East St. Louis Logic is shown below.

**FIGURE 4. Understanding Stakeholder Perspectives Using a Project Logic for the East St. Louis Interagency Environmental Justice Project**

	Objectives	Process	Outputs	Institutional Effects	Environmental and Other Outcomes
<b>Project Description</b>	Build capacity of residents to address EJ issues by conducting lead screening and abatement in distressed community.	Federal partners will work with local government, health care and educational institutions, and neighborhood organizations to achieve objectives	Identify areas of high risk for lead exposure in East St. Louis, conduct community education, abate lead in soil, and identify opportunities for beneficial reuse of land.	Greater cooperation will emerge between all stakeholders.	Youth protected from environmental contaminants.
<b>Key Questions</b>	How satisfied are stakeholders with the project objectives? Are these the right objectives?	How satisfied are participants with the coordination between stakeholders?	How satisfied are stakeholders with the project activity? Are these the right activities?	What was the effect of multi-stakeholder collaboration?	Are the outcomes sufficient to address the underlying issues?

Some overlap is inevitable between those questions focused broadly on objectives (see Figure 2), and those questions focused specifically to capture stakeholder perspectives (see Figure 4). However, the distinction is useful to help ensure that the evaluators make every effort to document and emphasize the varied viewpoints that stakeholders may have regarding the various project elements.

Many additional “Key Questions” could have been listed underneath the measures described in Figures 2 and 3. Below is a more comprehensive, but by no means exhaustive, set of questions that may be asked.

<b>KEY QUESTIONS</b>
<b>Project Objectives</b>
Are the project objectives clear to all stakeholders? Are stakeholders satisfied with the project objectives? Are these the right objectives?
<b>Process</b>
Is a process in place to allow for effective coordination? Has the project been able to develop partnerships that meet certain minimal standards? What factors in the local, State, Tribal or Federal context influenced the formation of the partnership and the realization of pay-offs? How satisfied are stakeholders with the coordination between partners?

To what extent does the project ensure that those who live with environmental decisions (community residents; State, Tribal, and local governments; and the private sector) have meaningful opportunity to participate in the decision-making process?  
Were all stakeholders asked to participate? Were some groups left out? Who?  
To what extent are stakeholders satisfied with their level of involvement in the decision-making process?  
Did all stakeholders participate effectively? If not, what were the barriers to effective participation?  
How were legal, technical, and other complex issues addressed in the stakeholder process?  
Was the technical information understandable to all participants? How was this managed?  
Who do you think played the most significant roles in directing and leading the process? In what ways did this help or hinder the process?  
Were there differences in interests or perspectives between stakeholders?  
-If so, how were these differences addressed?  
-Were the issues of greatest concern to you and your constituency adequately reflected in the process? Why or why not?  
Were there significant issues that made it difficult to make progress?  
Are multi-stakeholder, collaborative partnerships effective means for addressing environmental justice issues?  
How satisfied are stakeholders with the multi-stakeholder, collaborative partnerships used in this project?  
To what extent was collaboration and participation important to the environmental justice project planning and implementation process? Describe.  
How would this project have been different without making use of such partnerships?

Is the Federal Interagency Approach an effective means for addressing environmental justice issues?  
What aspects of this project involved Federal agency specific or interagency focused actions?  
Were there aspects to the project that required greater resources (time, \$, management support) from one Federal agency than the other partners?  
What approaches were developed to integrate several Federal agency specific initiatives into an interagency approach?  
How have project management issues such as resource commitments, communication, management support, time management, and policy differences acted as barriers in the coordination of the project at the Federal level?  
How satisfied are stakeholders with the Federal Interagency Approach used in this project?  
How would have this project been different without the involvement of Federal agencies?

### **Outputs**

Has the project performed its stated activities?  
To what extent have the participating organizations fulfilled their resource commitments?  
Are stakeholders satisfied with the project activities? In hindsight, were these the right activities?

### **Institutional Effects**

What has been the effect of the multi-stakeholder, collaborative partnerships in addressing environmental justice issues?

To what extent does the project result in greater collaboration with State, Tribal, and local governments and organizations?  
Upon collaboration, were all participating organizations receptive to the policies and procedures of their partners (e.g., were differences in organizations' cultures barriers to success)?  
What approaches were used by all participating organizations to develop uniform concepts about the goals and outcomes of the projects?  
Do multi-stakeholder, collaborative partnerships help promote a lasting community process focused on addressing environmental justice issues?  
How can multi-stakeholder, collaborative partnerships be most effective in addressing environmental justice issues?

What has been the effect of the Federal Interagency Approach both for communities and participating agencies themselves?  
To what extent does the Interagency Approach result in greater coordination across Federal agencies?  
Upon collaboration, were the participating Federal agencies receptive to the policies and procedures of their partners (e.g., were differences in agencies' cultures barriers to success)?  
During the course of the project, did the partnering Federal agencies identify conflicting requirements in their statutes or regulations that were barriers to the overall outcome?  
What approaches were used by the partnering Federal agencies to develop uniform concepts about the goals and outcomes of the projects?  
Does the Federal Interagency Approach help promote a lasting community process focused on addressing environmental justice issues?  
How can government agencies best tailor their roles to address environmental justice issues?

### **Outcomes**

To what extent has the project achieved environmental results and other outcomes for the affected community?  
Are the outcomes sufficient to address the underlying environmental justice issues?  
To what extent has the project served to help the affected community contribute to comprehensive solutions to environmental justice issues?  
To what extent has the project fostered community empowerment?  
To what extent has the project improved the community's ability to engage in community-based environmental protection?  
What are the key factors that contributed to the project's success or lack of success not already mentioned?