
**PHASE I: EVALUATION PLANNING**

**STAGE 1 - PREPARATION**

The Preparation stage is intended to acquaint the participants with this Systems Evaluation Protocol (SEP) and the Evaluation Partnership arrangement, and identify current evaluation resources. The Preparation stage involves the following steps:

1. **Enter the System:** Connect with key decision makers of the organization to discuss commitment to evaluation planning and the Evaluation Partnership (EP).
2. **Develop Memorandum of Understanding:** Written document that describes the roles and responsibilities of participants in the EP; detail the expectations for the evaluation consulting team, partner site administrators and staff, and provide a timeline of project activities and completion.
3. **Identify Internal Stakeholders:** Identify people in the program/organization who should be involved or consulted in evaluation planning.
4. **Identify the Working Group:** Identify those who will play a key role in developing the evaluation plan.
5. **Assess Evaluation Capacity:** Identify the resources available within the organization and within the program - the degree of evaluation training the staff has already received, information technology resources, and evaluation policies.

**OUTPUTS:**
- MEMORANDUM OF UNDERSTANDING
- CONTACT INFORMATION FOR EP
- ORGANIZATION EVALUATION CAPACITY SURVEY
- PROGRAM EVALUATION CAPACITY SURVEY
STAGE 2 - MODELING

The Modeling stage is intended to enhance participant knowledge of evaluation concepts, and identify how their program “works”. The Modeling stage involves the following steps:

1. **Stakeholder Analysis**: Determine all of the potential people and/or organizations that may have a stake in the program.
2. **Introduction to Program Model Development Process**: Introduce core evaluation concepts that will be needed to complete the SEP.
3. **Program Review**: Gain a firm understanding of the components and characteristics of the program including how it operates and whom it serves.
4. **Program Boundary Analysis**: Determine the conceptual limits of the program; what is “in” and what is “out” when defining the program.
5. **Lifecycle Analysis**: Determine the maturity of the program and how its level of evolution influences evaluation capacity and method choices.
6. **Logic Model**: Generate an initial logic model including the assumptions, context, inputs, activities, outputs, short-, medium-, and long-term outcomes.
7. **Pathway Model**: Use the logic model as a basis for articulating clear and direct linkages between program activities and outcomes.
8. **Determining Evaluation Scope**: Determine the specific components of the pathway model that will be the focus in the upcoming evaluation cycle.
9. **Program-System Links**: Introduce tools and strategies for finding similar programs and shared outcomes, develop research support by drawing on literature and on resources in the systems within which the program exists.
10. **Program Logic Model Synthesis**: Finalize the logic and pathway models including reviewing the program logic model, assessing the model from the perspectives of key stakeholders, reviewing the Program Boundary Analysis, reviewing the Program and Evaluation Lifecycle Analyses, and revising the models as needed. This step also involves integrating relevant research literature as it relates to the causal pathways that have been articulated in the Pathway Model.

**Outputs:**
- Map of Stakeholders
- Program Description
- Lifecycle Charts
- Program Logic Model
- Program Pathway Model
- Supporting and Background Literature

STAGE 3 - EVALUATION PLAN CREATION

The third stage, “Evaluation Plan Creation,” focuses on the creation of an evaluation plan that will guide the implementation of the evaluation. The Evaluation Plan Creation stage involves the following steps:

1. **Introduce the concept of an Evaluation Plan**: Present and discuss the components of an evaluation plan.
2. **Develop Evaluation Questions**: Develop evaluation questions based on the logic and pathway models, lifecycle analysis, stakeholder analysis, and systems insights. The evaluation questions will function as the core determinants of all the evaluation plan components. Develop the Evaluation Purpose Statement.
3. **Develop Sampling Plan**: Define the population of interest, sampling frame and sample and describe the source(s) of the evaluation data.
4. **Identify or Develop Measures:** Identify measures already being used in evaluating the program and assess them for quality and feasibility; identify other existing measures that might fit the program evaluation needs; and/or develop any new measures that are needed.

5. **Develop Evaluation Design:** Describe how the samples, interventions, and measures will be coordinated over time.

6. **Develop Analysis Plan:** Articulate the plan for analyzing the evaluation data. Include information on how data will be managed.

7. **Develop Evaluation Reporting Plan:** Detail the plan for reporting the results of the evaluation to key stakeholders identified earlier.

8. **Develop Implementation Plan and Schedule:** Develop the schedule for the evaluation and key implementation milestones.

9. **Finalize Evaluation Plan:** Review, finalize, and prepare to share the Evaluation Plan with leaders in the organization and other relevant stakeholders.

**Outputs:**

- **Comprehensive Evaluation Plan containing:**
  - Evaluation Purpose Statement
  - Evaluation Questions
  - Description of Sampling
  - Collection of Measures
  - Evaluation Design
  - Data Analysis Plan
  - Reporting Plan
  - Timeline

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**PHASE II: EVALUATION IMPLEMENTATION**

**STAGE 1 – IMPLEMENTATION PREPARATION**

The Preparation stage of the Implementation Phase includes steps that need to be taken before data can be collected, that are not included in the formal evaluation plan. As in other phases, these steps do not necessarily have to be concluded in this order. The steps include:

1. **Reconsider alignment, context appropriateness:** Double check that all plan components, methods, tools and strategies are appropriately matched to the evaluation questions and to the program. Revise as necessary.

2. **Address ethics for human participants:** Review ethics considerations, set rules for consent and confidentiality, obtain IRB approval if necessary, assess cultural responsiveness.

3. **Set up for data collection:** Obtain and prepare online tools and/or other materials as necessary.

4. **Set up for data management:** Create/revise plan for when, how, and by whom data will be entered, set up spreadsheet(s) and/or other data organizers, create coding schemes as necessary.

5. **Conduct pilot tests:** Double check credibility, accuracy, usefulness and feasibility of all aspects of the evaluation plan (sampling, measures, data collection, data management, and analysis) as appropriate. Revise as necessary.

6. **Train data entry and analysis staff:** Develop training materials and conduct training to ensure quality and consistency.

7. **Train data collectors:** Develop training materials and conduct training in order to ensure quality and consistency in measure administration and data handling.

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**STAGE 2 – DATA COLLECTION AND MANAGEMENT**
The second stage of the implementation phase is data collection. This includes accessing, collecting, and entering data as described in the following steps:

1. **Access data sources**: Recruit, select and assign participants and any comparison groups. Obtain consent and offer incentives as necessary.
2. **Collect, enter and secure data**: Administer measures; follow data collection and management plans.
3. **Document data collection**: Summarize how and when data was collected as well as response rates and overall data counts.

**STAGE 3 – DATA ANALYSIS**

The analysis stage includes tasks necessary to convert raw data into interpreted results. These include:

1. **Review and Clean data**: Quantitative data: Identify missing and/or inaccurate data and either correct or remove these entries. Qualitative data: Read, transcribe, edit and label narrative data as needed for planned analysis.
2. **Create codebook/Categorize the information**: Quantitative data: Develop a key for how variables and responses will be labeled/identified, as needed for the software being used. Qualitative data: identify themes or patterns, create categories and record definitions.
3. **Score data**: Convert raw data into analyzable format based on analysis plan.
4. **Explore and summarize data**: Quantitative data: Calculate descriptive statistics. Assess whether planned statistical analyses are appropriate (checking sample size, data quality, distributions.) Qualitative data: summarize patterns.
5. **Transform data**: Combine data, treat as different variable type and or calculate “change score” as necessary to allow for appropriate analysis
6. **Calculate inferential statistics**: For quantitative data as needed, calculate correlations, statistical significance of difference or change, cross tabulations, regressions, etc. as indicated in the evaluation plan, and a possible based on results of descriptive statistics.
7. **Synthesize and interpret data**: Quantitative data: Use descriptive and inferential statistics results to explain findings and draw conclusions. Qualitative data: synthesize and interpret results. Record process.

**PHASE III: EVALUATION UTILIZATION**

**STAGE 1 – REFLECTION AND PLAN REVISIONS**

1. **Revisit plan for reporting**: Revise reporting plan based on evaluation results.
2. **Revise model**: Make changes to the program and its evaluation based on results as appropriate.
3. **Review evaluation process, revise evaluation plan**: update evaluation plan based on insights from evaluation process and results

**STAGE 2 – REPORTING**

1. **Conduct Internal reporting**: Utilize results for program improvement. Report to program staff formally and/or informally as well as program and organization leadership.
2. **Conduct External reporting**: Report to external stakeholders who have an interest in the results as appropriate. This may include, but is not limited to funding agencies and participants.