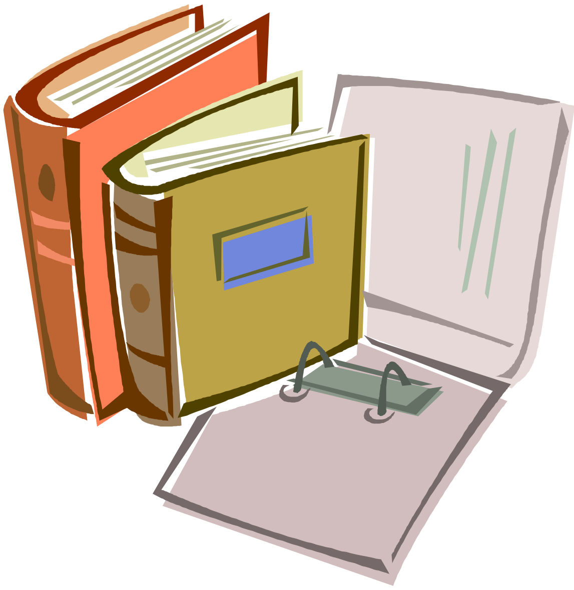
# WORKSHOP TWO: EVALUATION




**Presented by**
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***25-26th July 2007***

Waikato District Health Board
POPULATION HEALTH SERVICE

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# 1. Workshop One Review

## What is a project?

An undertaking with a defined starting point and defined objectives by which completion is identified.

*(Wideman Comparative Glossary, nd)*

Specific work within a programme and developed to meet the objectives of a programme.

*(Health Waikato, 2000)*

An enterprise carefully planned to achieve a particular aim.

*(Oxford English Dictionary, nd)*

A unique set of co-ordinated activities, with definite starting and finishing points, undertaken by an individual or team to meet specific objectives.

(*Office of Government Commerce, nd)*

Work that has a beginning and an end, is planned and controlled, and creates change.

## Project Planning Review

| |
|---|
| Review of project planning session |

## Evaluation Review

| |
|---|
| Evaluation definition/discussion |

## 2. Evaluation Philosophy

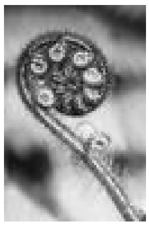
- Evaluations are influenced by values
- What you consider to be important to look at is influenced by your values. Therefore, how you focus your evaluation will depend on your values.

| Thoughts on evaluation philosophy |
|---|
| |

## 3. Ethics and Evaluation

Ethics relate to values. Ethical principles are values in action. Ethical research codes are generally based on the following principles:

- Do no harm
- Voluntary participation
- Informed consent
- Avoid Deceit
- Confidentiality or anonymity (may or may not be requested by participant)



Another way to describing ethical principles is that of valuing and applying tikanga and manaakitanga principles (Te Puni Kokiri, 1999).

Your organisation may have an ethical process in place in which to follow. Particular ethical principles will dominate depending on the setting. Important ethical considerations include:

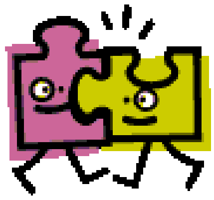
- Encouraging reciprocity. Ensuring that any evaluation findings are communicated back to the communities that have been involved in the evaluation
- Adhering to basic principles of respect, upholding integrity, confidentiality and safety (Te Puni Kokiri, 1999)
- Using valid research tools – use methods that the community accepts and that support/respect the community's way of doing things
- Kanohi ki te Kanohi – communicating face to face. This can be especially important when asking people to get involved in an evaluation – it helps with explaining things better and developing trust

- Koha – If researchers value the information they receive then koha is an integral part of the research relationships and reciprocation between the people involved.

A good evaluation is an ethical evaluation. Criteria for a good evaluation includes:

- Clearly expressed evaluation objectives that are known to all the evaluation stakeholders
- Fully describes the project
- Fully considers culture (e.g. Age, Gender, Ethnicity). Also with respect to children under 16 years of age, this normally requires parents permission
- Is well designed, rigorous, systematic and comprehensive
- The process used is appropriate and culturally safe
- Does justice to everyone's views and ideas. Everyone who needed to have their say did and was listened to. Those who took part were given feedback
- Takes time. Draws on history, is reflective
- Comes up with useful information. Provides for future direction
- Enables learning to take place

Ethics and evaluation



# 4. Evaluation Types

## Formative Evaluation

Formative evaluation is about improving project planning and development. It is also sometimes identified as the background or rationale for a project.

So what exactly is Formative Evaluation? Here it has been summed up as:
"An evaluation designed to [provide]… insight during the early developmental phase of an intervention, including an assessment of (1) the feasibility of programme implementation; (2) the appropriateness of content, methods, materials, media, and instruments; and impact of an intervention for a well-defined population"[1]

Or more simply put:
A formative evaluation is conducted early in the planning stages or early in implementation. It helps to define the scope of a programme or project and to identify appropriate goals and objectives. Formative evaluations can also be used to pre-test ideas and strategies.

The more defined a project is made the easier it will be later to measure the effectiveness of the intervention. Formative evaluation is about defining and refining the work.

Formative evaluation explores:
- Why are we doing the project?
- How do we know that our intended actions are going to address the issue?
- How does this relate to previous work, what have we learnt that would make us do things differently
- How well do we understand the problem?
- What data/statistics are available?
- Where are the priority areas?
- Community readiness – How do we know the community is ready, is this a priority for them?

## Process Evaluation

Process evaluation is the systematic collection of information to document and assess how a programme was implemented and operates.

So what exactly is Process Evaluation? Here it has been summed up as:
"Process evaluation documents the things that you do during a programme: for example, what is being done, how, when, how much it costs, and what key people think of it. This type of information is very valuable for others who want to repeat elements of your programme. It can also help you to know how and why your programme produces the results it does"[1].

Process evaluation is a way of documenting what was done to plan and organise the programme:
- Who was involved in programme development?
- How was the programme organised and delivered?
- What resources were involved in the programme?

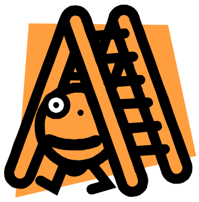
[1] Health & Human Development Prevention Research Centre (2006). *Evaluation phases.* Pennsylvania State University. Sourced on 10 July 2006 from http://www.prevention.psu.edu/projects/Evaluation_Definitions.html

Finding out how programme participants and other key people/stakeholders perceived the programme.  Questions to ask:

- Is the programme meeting people's needs?
- What are some of the strengths and weaknesses of the programme?
- How they feel about being involved in the programme
- If people/stakeholders pull out of the programme?  Ask why?
- What are some of the strengths and weaknesses of the programme?
- What they may like to have changed

Documenting what resources have been used to implement the programme:

- What resources were used (time, money and people)?
- Compare the level and types of resources planned with those actually used?
- Review the efficiency and effectiveness of resources used?



Things that might be included:

- Planning Minutes
- Satisfaction Survey/Questionnaires
- Partner Debrief
- Focus groups

**<u>Impact Evaluation</u>**

Project objectives are a key indicator of project effectiveness and success.  Impact evaluation studies the extent to which the project objectives have been achieved by the strategies that are put in place to meet them.

Impact evaluation also examines the effects of your project has had; intended and unintended, positive and negative. This type of evaluation focuses on short term changes in:

- Knowledge, attitudes and behaviour of people who have been involved in the project
- Environments directly affected by the project.

| **Example** |
| --- |
| For a project promoting the development of smokefree marae, an impact evaluation might look at how many marae have auahi kore kaupapa before and after the project is implemented. It may also include interviews with people from the marae to establish their perception of the project's impact. |
| If your project includes a training component and participants are asked about their knowledge and understanding before and after the project, you can use this information to report on the impact of your project on participant knowledge and understanding. |

- Establishing project participants' feedback on their perceptions about the project and its effects.
- Assessing the extent to which the project met its objectives.
- Assessing positive or negative effects of the project.
- Collect data on people's knowledge, attitudes or behaviour before (baseline data), during and after the project has been implemented to establish changes that can be linked to the project.
- Review documentation (process evaluation) to establish whether the project was implemented as planned and if there were changes over time. This activity would also help to identify any unintended effects of the project.

**Outcome Evaluation**

Outcome evaluation studies whether the goal of the project is achieved and what the ultimate project effects have been for stakeholders. Outcome evaluation focuses on long term changes in people's knowledge, attitudes and behaviour and within environments. It also addresses the end results or overcall outcomes of your project.

| Example |
|---|
| Outcome evaluation might look at the long-term health benefits enjoyed by Māori as a result of lowering the prevalence of tobacco use in their communities |

Meaningful outcome evaluation requires substantive resources, skills and long time-frames. This is because changes in knowledge, attitudes, behaviours or environments are usually incremental, long-term and brought about by a combination of factors. It is therefore difficult to claim that any overall long-term change is a direct result of your programme.

## 5. When do you Evaluate?

*Notes*

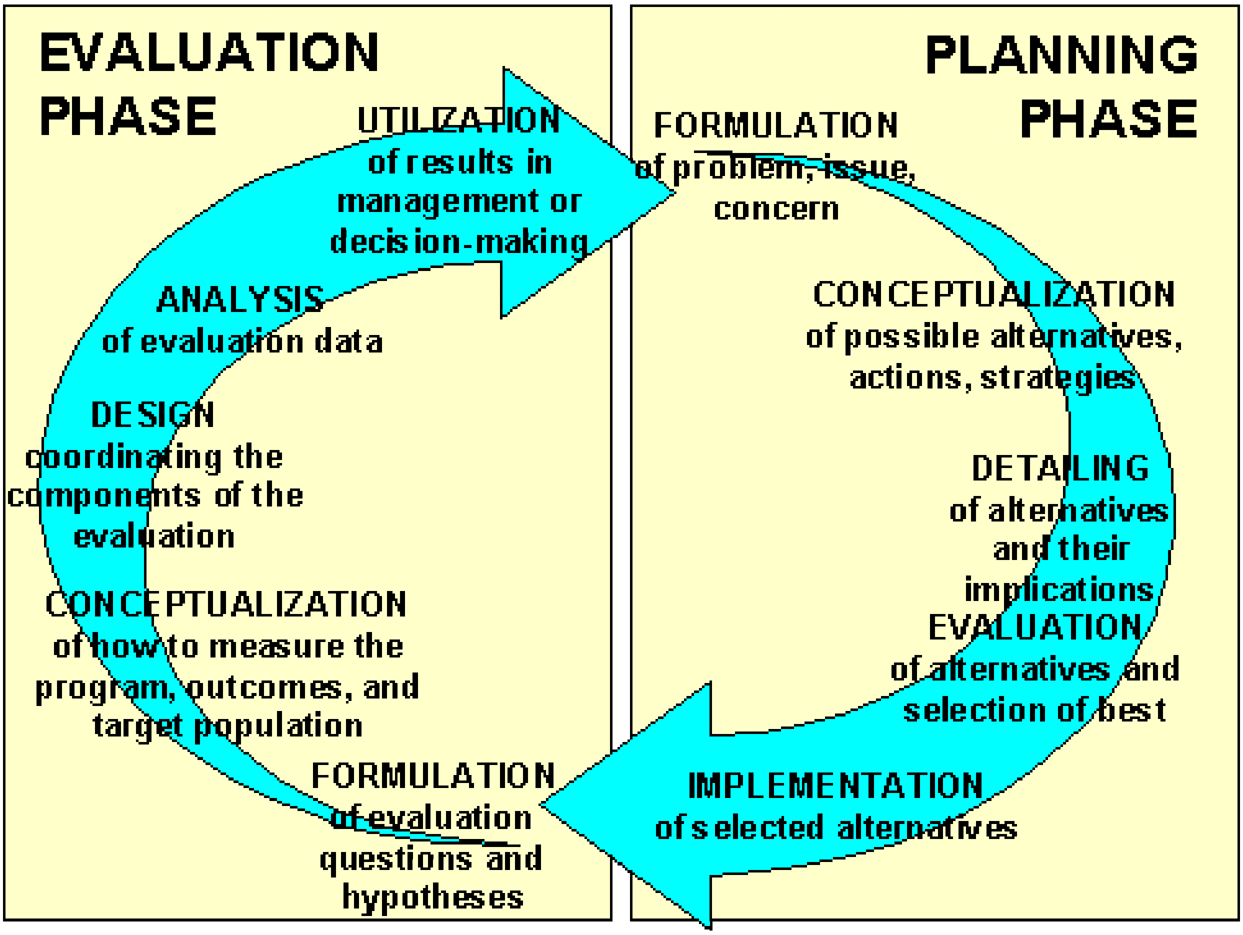
Evaluation is appropriate at all stages of a project. The diagram below illustrates when in a project's life cycle you might consider doing a particular type of evaluation.

The project life cycle

| **Formative Evaluation** | **Process Evaluation** | **Outcome Evaluation** |
|---|---|---|
| The project is being created | The project has been implemented and has been running for a short while (e.g. 1 year) | The project has been running for a longer while (eg more than 2 years). |

Evaluation planning and information gathering is essential at the start and throughout a project.

**The Planning-Evaluation Cycle**

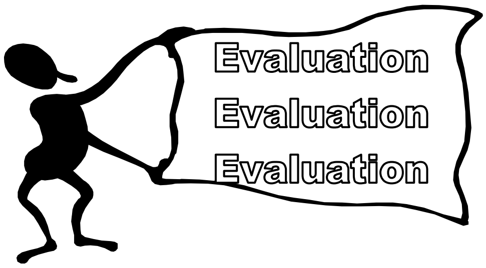


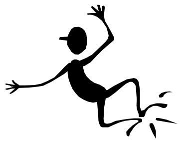

Web Centre for Social Research Methods. (n.d.). *The planning-evaluation cycle.* Retrieved 20 July 2007 from http://www.socialresearchmethods.net/kb/pecycle.php.

# 6. Who does Evaluation?

Evaluation is everyone's responsibility

What we think is important to look at is influenced by our values – so the best approach to evaluation is a collaborative approach - where all the people interested in an evaluation are involved!



*Wave the flag of evaluation in your organisation!!*

| **Think of a project that you could evaluate** | **Think of people who may also be interested in evaluating this project (evaluation stakeholders)** |
|---|---|
| | • <br><br>• <br><br>• <br><br>• <br><br>• <br><br>• |

# 7. How long will it take?

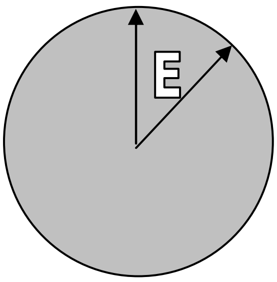
**Rules of thumb**

- ✓ The bigger the project - the bigger the resource investment - the bigger the evaluation.

**Small Project** = **Small Evaluation** **Big Project** = **Big Evaluation**

- ✓ The more innovative the project - the bigger the evaluation. Little is known about the outcomes of innovative projects so they need to be evaluated well.

- ✓ Evaluation should take ~10% of your budget and ~10% of your time



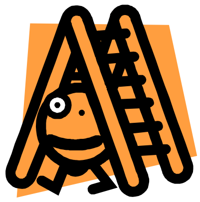

# 8. Evaluation Methods

As part of the evaluation you need to collect information to answer your questions. The choice of method/s will depend on:

1. What information you need to gather
2. The methods that are most appropriate for stakeholders
3. The time and resources that you have available
4. The skills and experience of those who will gather the information

The most common methods of gathering information are:

- Self-completed questionnaires / surveys
- Telephone interviews
- Face to face interviews
- Focus groups
- Journal entries
- Literature reviews
- Document reviews
- Photovoice



**Qualitative Data**
Primarily involve focus groups or in-depth interviews. The characteristics of using qualitative methods include:

- Descriptive data that ask the why questions
- Exploring the reasons behind the 'numbers'
- Understanding the experiences, beliefs and feelings of participants
- Open-ended questions
- In-depth information
- Smaller numbers of participants

**Quantitative Data**
May use surveys to find out the numbers of people who did or thought something. The characteristics of using this type of method include:

- Recording numbers and frequency of responses
- Gathering information from a larger number of people
- Closed questions
- Gathering less in-depth information

Simply put the difference could be described as the story (qualitative) behind the numbers (quantitative). Both types of data gathering are important.

## Methods Table

| METHOD | ADVANTAGES | DISADVANTAGES | CONSIDERATIONS OF USE |
|---|---|---|---|
| **1. Focus Group** | • Can get in-depth information and allows for exploration of issues<br>• Useful in finding out needs, pre-testing resources (formative)<br>• Gain feedback as a programme is being implemented (process)<br>• Find out perceived effects of a programme (outcome) | • Open to peer/social pressure<br>• High level of group facilitation skills required<br>• Limited in question numbers<br>• A higher level of difficulty to analyse than individual interviewing | • Used with a homogenous group. Roughly 6-8 questions can be asked in a 2 hour session. 5-8 people recommended. Any more makes it difficult to participate.<br>• Open-ended questions asked to encourage discussion.<br>• Facilitator required to keep group on track. |
| **2. Stakeholder Interview** | • Individual comments not affected by what other people say ie. no social group pressure<br>• Opportunity for partners / key stakeholders involved in project to talk in-depth about aspects of project | • Some people may feel uncomfortable / intimidated and not open up.<br>• Time consuming if travelling and can be costly. | • Usually carried out face to face, but sometimes done over the phone.<br>• Open-ended questions are asked to explore in-depth understanding of issues |
| **3. Literature Review** | • Forms an important part of gathering evidence that backs up what you are doing<br>• Can explore what has worked well and what hasn't<br>• A main contributor for project planning | • Depending on the size of your project can be time consuming | • Should include a literature review (brief or comprehensive) for all types of evaluations |
| **4. Self-completed questionnaire (e.g. postal survey)** | • Cheaper than most methods<br>• Greater level of anonymity<br>• Higher response rate if filled out on site | • Difficult to go back to participants to check responses to questions<br>• Low return rates for postal surveys | • Needs to be simple and relatively short so that respondents can easily answer questions |
| **5. Telephone Interview** | • Costs less than face to face interviews<br>• Faster to deliver than face to face<br>• Higher response rate than door to door or postal<br>• Data can be entered as you go<br>• If needed questions can be clarified with respondents | • Data less in depth than face to face<br>• Misses population without access to telephone<br>• Limited by time – tend to be no more than 30 minutes | |

| METHOD | ADVANTAGES | DISADVANTAGES | CONSIDERATIONS OF USE |
|---|---|---|---|
| **6. Face to face Survey** | • Unclear questions can easily be clarified<br>• Greater confidentiality than focus groups<br>• Comments not affected by what other people say (i.e. in focus groups)<br>• Some people respond better face to face than over the phone | • Can be costly and time consuming<br>• Safety issues for interviewers going door to door | |
| **7. Journal** | • Can capture experiences and feelings directly at the time<br>• Useful to record behaviour changes | • Requires dedication to regular entries by participants | • Most useful in capturing ongoing experiences of participants in a programme |
| **8. Document Review** | • Can utilise minutes, discussions easily<br>• Can capture perspectives of those present at meetings that may otherwise be invisible | • Could be time consuming depending the frequency of meetings<br>• Maybe some inconsistency in terms of different minute taker per meeting | • Would have to ensure that all minutes are accessed and other relevant documents<br>• Can include other relevant documents ie. correspondence, resource development documentation, partner debrief minutes etc. |
| **9. Photo voice** | • Participatory approach, in terms of research with participants<br>• Immediate feedback<br>• Works well with other techniques<br>• Provides pictorial evidence of community issues (a picture being worth a thousand words.<br>• Provides an alternative means of expression which may help include those who are more visual than literate.<br>• Allows detailed information to be collected from individual participants.<br>• Provides a snapshot of an area or issue from which to develop indicators and to gauge changes/responses.<br>• Can easily be used in the media (print/television/interactive A/V technologies. | • Photographing abstract concepts could be a challenge<br>• Can be costly, e.g. cost of disposable cameras, developing film.<br>• Requires staffing and the co-ordination of participants.<br>• If photos are pasted onto a larger poster type presentation, can be difficult to store and protect (may need photocopies taken for storage/distribution). | • Can engage community and discover community issues<br>• Build alliances<br>• Allow time for training regarding the process and use of cameras |

## 9. Evaluation Plan Guidelines

All projects should be monitored from inception to completion. Evaluation of projects begins with the development of a rationale and project plan, continues with regular evaluation of the project throughout its life and finishes with a final evaluation and review of the project.

**1. Evaluation Overview: Type of Evaluation**

For context state the project objectives. Then think about type/s of evaluation you plan to undertake for this project. The three main types of evaluation are:

- ***Formative Evaluation*** – focuses on project planning, and how the project should be designed and implemented. Making clear the goal, objectives, strategies and performance indicators within the project. Also important to project improvement.
- ***Process Evaluation*** – focuses on how well the project was implemented and project processes.
- ***Impact Evaluation*** – attempts to measure the effects of a programme or the changes that have occurred as a result of the project.

**2. Objectives**

What is the purpose of the evaluation? What do you want to find out about? What do the partners/stakeholders want to know? What specific aspects of the project do you want evaluated? Ensure that your objectives are realistic and appropriate to the level of evaluation that you have decided on.

**3. Evaluation Questions**

What do you want the evaluation to find out? What are some of the questions you need to ask and from whom? What information are the partners/stakeholders interested in? These questions need to relate to your evaluation objectives.

**4. Evaluation Methods/ Analysis**

What methods are you going to choose to answer the questions? (Literature review, focus groups, debrief, questionnaires, etc.). Who will do the analysis?

**5. Timeline**

Need to outline stages of the evaluation and who is doing what and when.

**6. Ethical Considerations / Risks**

Think about what the possible evaluation risks could be. You can plan to do something (e.g. collect some information using focus groups), but there may be things that will get in the way. If participants involved, need to have explained to them why their participation is sought by way of information / cover sheets and answer their questions if any.

**7. Resources / Budget**

What resources are required and the costs involved (Ensure these are included in main project plan costings)

**8. Check the evaluation plan**

Check over evaluation plan amongst those involved in the project.

**9. Things to think about during or at the end of the project**

Recommendations and Learning Gained, Appendices – e.g. copies of media release, photographs, analysis of feedback forms etc.

**10. Dissemination**

Who will receive copies of the report? Where should report be distributed and who to?

## 10. Evaluation Plan Template

**Evaluation Overview:**

| Objectives | Evaluation Questions | Evaluation Methods/Data Analysis | Timeline / Who? |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

| Ethical Considerations / Risks: | |
|---|---|
| **Risks Management** | **Risk Minimisation** |
| | |

**Budget / Resources:**

**Dissemination of report:**

# 11. Mock Example

## PROJECT & EVALUATION PLAN

**CONTRACTUAL ITEM: INJURY PREVENTION**

| Strategy | Action | Output | Outcome |
|---|---|---|---|
| **Policy** | | | |
| **Influence policy development and practices that create safer environments.** | Undertake advocacy and provide public health leadership across and within other sectors/agencies including national and local government, community, and commercial organisations to raise the profile and impact of injury prevention. | • Public Health input provided to Community Injury Prevention Programmes to support advocacy with national and local government, community, and commercial organisations to raise the profile and impact of injury prevention.<br>• Undertake policy work with organisations and government agencies to promote standards, policies, and practices that will assist to create safer environments.<br>• Facilitate a forum of key stakeholders to raise awareness of injury prevention initiatives across and within the region. | Increased awareness regarding the profile and impact of injury prevention and initiatives amongst national, local government, community, and commercial organisations in the region.<br><br>Local and regional policy is developed with regard to creating safer environments. |

**I3P (INJURY PREVENTION, PROMOTION AND POLICY) Project Plan**

**Author: JAX & CO.** **Date: 13 September 2006**

**Background**

From a global perspective New Zealand is lacking behind other developed countries in preventing injuries. New Zealand has the seventh highest death rate of unintentional child injury at 11.1 per 100,000 population, while Germany has 5.8, Austria and Japan 6.3 and Israel 8.7 (Safekids Worldwide, 2002). In New Zealand, injury (unintentional and intentional) is the leading cause of death for ages 1 to 34 years, and the second leading cause of hospitalisation. Injury is also an important cause of death; many injuries and their consequences are preventable. Many injuries result in lifelong changes for all those involved, the individual, their whānau/family, their friends and communities. Cost for treatments for injuries are high and lost opportunity cost is immeasurable. Additionally, during 2002-03, the Accident Compensation Corporation (ACC) accepted over 1.5 million injury claims.

For children under 15 years in 2002-2004 there were 28 injury-related deaths in the Waikato DHB with the largest number occurring in Transport Accidents (14) followed by Drowning/ Submersions (7). The rate in Waikato DHB was 12.1 deaths per 100,000 children compared to 12.3 nationally. Injury Related Hospitalisation in the Waikato DHB show 2,987 admissions for 2002-2004 for children under 15 years with the highest number of admission being from Falls (1,328) followed by Mechanical Falls (836) and Transport Accidents: Cyclist (180) (Paediatric Society of New Zealand, 2005).

Nationally, falls were the leading cause of injury hospitalisations across most age-groups and within each ethnic group. The percentage of fall-related injuries increases significantly in the 60-74 and 75+ age group (Safe Communities Foundation New Zealand, 2005c). Hospitalisations as a consequence of preventable injury for older Māori 65+ is decreasing in the Waikato (Waikato DHB, 2005), however, the population projections for this age group will increase approximately 200% in the next 20 years (2860 in 2005 to 8390 in 2026)(Waikato DHB, 2005).

The New Zealand Injury Prevention Strategy (ACC, 2003) recognises the relationship between Tangata Whenua and the Crown under the Treaty of Waitangi and throughout the Strategy outlines specific actions to support Māori injury prevention. Actions include increasing the capacity and capability of Māori service providers to develop, implement and evaluate effective injury prevention interventions, thus ensuring more kaupapa Māori injury prevention interventions like Safer Rohe are developed and delivered by Māori.

**Priority Group**

As identified in background the priority group is those stakeholders who have a greater influence on priority populations with a specific requirement to reduce health inequalities.

**Relationships (partners)**

SafeKids, ACC, Land Transport NZ, Te Runanga o Kirikiriroa, Ngā Miro Health Centre, Ngāti Haua, Frankton Rauawawa Trust, Te Kohao Health, Family Start, Te Kaute Pasifika, Local Council Road Safety Co-ordinators.

| | |
|---|---|
| **Staff input from HP team**<br>Other IP team members, those working with local government. | |
| **Linkages**<br>Links with other programmes that work with local government.  Also links with other projects within IP programme. | |
| **Risks Management**<br>• Lack of buy in from key stakeholders due to perceived increased work loads and public health information ignored | **Risk Minimisation**<br>• Provide clarity as to purpose of hp involvement and that hp will contribute towards the development of relevant policy |

**References**


Accident Compensation Corporation. (2003). *New Zealand injury prevention strategy*. Wellington: Accident Compensation Corporation.

Paediatric Society of New Zealand. (2005). *Health status of children and young people in the Waikato.* Hamilton: Waikato DHB.

Safe Communities Foundation New Zealand. (2005c). *Factsheet 4: Profile of injury hospitalisations (2001-2003) by age and ethnic group*. Retrieved 20 February 2006 from www.safecommunities.org.nz/Resources/Factsheets/.

| Objective | Strategies | Tasks | When/Whom | Resources Required |
|---|---|---|---|---|
| **1. Determine and implement best practice advocacy strategies with key agencies to influence safer environments within the Waikato region.** | 1. Set up a steering group of key stakeholders with an interest in injury prevention and advocacy | 1. Identify key stakeholders / agencies.<br>2. Make contact and arrange meetings<br>3. Organise venue, date, and available times to meet. | Jax<br><br>Sept 06 | Venue hire and catering as appropriate |
| | 2. Develop an advocacy tool / package. | 1. Utilise steering group membership.<br>2. Organise meeting/s to discuss development of tool and the types of information that could be included.<br>3. Utilise MOH guidelines for resource development as appropriate ie.<br>- determine need and type<br>- explore if any other resource is available that can be adapted<br>- technical accuracy | Steering Group<br><br>Oct 06 | Venue hire and catering as appropriate<br><br>Possibly Viscom for design and printing |
| | 3. Develop communication plan to undertake advocacy. | 1. Identify which organisations to contact regarding injury prevention policy development.<br>2. Identify opportunities to provide public health input.<br>3. Present and disseminate package / tool as appropriate.<br>4. Provide assistance as appropriate to those agencies that require public health support in policy development. | Steering Group<br><br>Oct / Nov 06 | |
| **2. To increase awareness amongst key stakeholders of injury prevention initiatives within the Waikato region.** | 1. Facilitate a forum of key stakeholders. | 1. Utilise steering group membership.<br>2. Identify key projects / initiatives and presenters.<br>3. Present advocacy tool / package.<br>4. Develop a session plan with input from steering group.<br>5. Organise suitable venue, date, and time.<br>6. Send out invitations amongst the sector. | Feb 07 | Venue hire and catering as appropriate<br><br>Printing costs for resource and copies of presentations |

## I3P (INJURY PREVENTION, PROMOTION AND POLICY) Evaluation Plan

For the purposes of this plan, I3P has been sized as a large piece of work. Within the criteria for this piece of work a combination of formative, process and impact evaluation will be undertaken. The evaluation will show how this project is working towards policy development regarding safer environments and, an increased awareness regarding the profile and impact of injury prevention initiatives in the Waikato region.

Formative evaluation includes the development of a clear project plan as well as a literature review. The literature review will be conducted in the first instance to better inform project direction and ensure that project objectives are evidence based. Process / Impact evaluation will document stages throughout the project from inception to completion. The evaluation will explore how key stakeholders perceived the project, including strengths and weaknesses, and improvements if any.

| Objectives | Evaluation Questions | Evaluation Methods | Timeline / Who? |
|---|---|---|---|
| **Formative Evaluation**<br><br>**To determine evidence based strategies regarding injury prevention and policy development** | What are the issues you are trying to address? What evidence/ data backs up what you are doing? What works when dealing with this issue? How were inequalities addressed? Māori Health Gain? What previous work has happened within community, which is relevant? Have other agencies developed an advocacy tool / package? How effective was the tool? What would they do differently? | Literature review.<br>- From Public Health contract check and source references for more information.<br>- Utilise hospital library database via intranet. Seek information on MOH website. Explore local sources.<br>- Utilise links / networks to scope local and national material.<br>- Write up literature review (can follow resource guide). | Sept / Oct 06 |
| **Process Evaluation**<br><br>**To determine processes used in raising awareness and undertaking advocacy amongst key stakeholders in the Waikato region.** | How did steering group members feel about their involvement in the project? What level of participation was achieved? What about Māori participation? How was this achieved? How could this be improved? | Meeting minutes will be taken. These will record the discussions held specific to resource development, communication plan development, planning of forum and any other items that may arise. Allow time for analysis including evolving themes. | Up to June 07 |
| | What processes were taken in development of the advocacy tool / package? Inequalities addressed? Who was involved? What worked? What were the existing tools? | Resource development documentation will be held. This will include pre-testing information, expert input into technical accuracy, adaptation of resource and so on. | Dec 06 |

| Objectives | Evaluation Questions | Evaluation Methods | Timeline / Who? |
|---|---|---|---|
| **<u>Impact Evaluation</u>**<br><br>**To determine the success of the project in raising awareness and policy development to create safer environments within the Waikato region.** | What were the strengths and weaknesses? What could be improved? Which agencies (if any) requested assistance in policy development? How useful was the forum? Who attended? What was their understanding of IP issues / policy / initiatives before hand? What about afterwards? What could be done differently next time? Was the project implemented as planned? Were there any unintended effects? | <u>Communication plan documentation</u> held. Record of which agencies / organisations approached and result of contact / communication.<br><br><u>Session evaluation form</u> developed and participants requested to complete. Can include questions regarding their understanding pre and post forum. Check with steering group appropriateness of questions. Allow time for analysis.<br><br><u>Stakeholder focus group / hui</u> conducted. Develop appropriate questions, check with hp team members. Develop information sheet and check off with hp team members. Inform stakeholders' reasons for holding focus group. Document and / or record focus group. Feedback to group members for verification. Allow time for analysis | Sept / Oct 06<br><br>Feb 07<br><br>Feb / March 07 |

| **Ethical Considerations / Risks:** | |
|---|---|
| **Risks Management** | **Risk Minimisation** |
| Lack of information to stakeholders requesting their participation in aspects of evaluation. | Develop appropriate information sheets and check with hp team members, peers for critique. |

**Resources / Budget:**
See project plan costings.

**Dissemination:**
Report disseminated amongst key stakeholders. Copies kept within HP team and Population Health.

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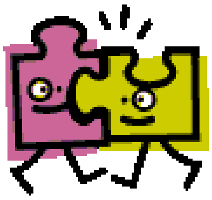


## Appendix 1 – Considering Culture

When we talk about appropriate processes one of the main considerations is culture. We need to consider culture so that our evaluation processes are safe for all participants.

**What is culture?**

Age - young / middle aged / elderly
Geography – rural / urban
Citizenship – immigrant / children of immigrants / NZ born to NZ born parents
Immigrant – refugee / students / professional migrants
Gender – male / female / transgender
Sexuality – homosexual / heterosexual / bisexual
Ethnicity – Maori / Pacific Island / Asian / European

Don't forget the huge diversity within each of these groups

The list above gives us an idea of the range of things we need to begin thinking about when we consider our evaluation processes.

**Why?**

When we start considering culture we begin thinking about differences in values, normal behaviour, what is acceptable, what isn't, what is polite, what is rude, what are the ways this group thinks of this problem?

When we treat people as all the same we harm them – we can end up forcing them away from their values and their sense of harmony with the world – we can end up taking away their sense of ownership of belonging in this country. If we treat people just like us we may be being rude and offensive.

When we ignore culture

- We harm the evaluation process.
- We harm the reputation and credibility of the project and ourselves
- We harm the reputation and status of this country
- We harm the people

A good evaluation process values and actively encourages diversity of opinion and culture – what can you do to maximize the safety of **all** people having contact with your evaluation and your projects?

# Appendix 2 – Focus Groups

## Focus Group Guide

**PLANNING**

***Step 1: Identify the Objectives/Purpose of the Focus Group***

A general purpose statement should be written that reflects the information you want to obtain.

***Step 2: Identify Key Questions***

Define the key questions that will address the purpose/objectives. Pre-test questions.

***Step 3: Determine Who Should Participate***

- Decide who will be best able to provide the information you require
- Consider selection of group members who have characteristics in common (age, gender, common experiences, community etc)
- Determine how potential participants will be selected
- Determine the ethical considerations as per your project/evaluation plan
- Approximately 6-10 people

***Step 4: Develop a Facilitator's/Moderator's Guide (see Focus Group Checklist)***

Introduction

Welcome, Introductions according to protocols
Explain purpose of the focus group
Housekeeping
Ground rules – one person at a time, respect to other participants, confidentiality

Questions

Initial questions are general to get people talking
Main questions could be more difficult or specific depending on topic/issue

Wrap Up / Closing

Summarise the main points with confirmation
Allow participants to comment
Check whether participants have anything else to add
Acknowledge participation
Remind feedback process
Thank everyone

**CONDUCTING**

***Step 5: Conduct the Focus Group***

Conduct the focus group as per your guide above. It is usually best that participants sit in a circle facing one another including the facilitator. An assistant facilitator could sit apart from the group taking notes. With prior consent from the group a tape recorder can be used to document the focus group. A flip chart is useful for summarising key themes or ideas. Refreshments should be provided. After the focus group debrief with assistant facilitator.

**ANALYSING**

***Step 6: Analyse Results***

The sooner the results are analysed following the focus group, the better.
Analysis should utilise:

- Written notes describing the facilitators' observations on the group dynamics, mood of the discussion, body language etc.
- Minutes/notes taken during the focus group
- Notes transcribed from audio tapes (if the focus group was recorded)

Identify which sections relate to which question on the question list
Group information into themes, and then into sub-themes

Interpret what the results mean in the context of the purpose of the study

**REPORTING**

***Step 7: Report Results***

Reporting should be descriptive and should provide information on the meaning of the comments from the focus group. Because the information relates to a specific group of people or topic and cannot be generalised to a population, it is not appropriate to include numbers and percentages. Descriptive information on participants and the process by which they were selected should also be included.

Information of various levels can be reported, including:

- Descriptive statements – summary of themes and quotes from participants
- Interpreted information – the meaning of the data

Results of the focus group can be reported as an independent report, or as part of a larger report as appropriate. The decision on how to report will depend on the intent of the focus group and evaluation objectives.

## Pointers

**QUESTIONS**

- Approximately 5-6 questions is an ideal number, never use more than 10
- Use open ended questions
- Arrange questions in a logical order, general to more specific
- Do not use leading questions e.g. Ask – what did you think of the programme? Not – What did you like about the programme?

**MODERATING/FACILITATIING**

Moderators/Facilitators should have characteristics similar to participants and should be knowledgeable about the programme/project.

**Lead Moderator/Facilitator**

- In the case of a dominant person in a group allow this person to express their opinion then give permission for other opinions and actively include them. Promote equality by directing group questions to different individuals throughout the discussion
- If a participant requests the facilitator’s opinion on something divert the question by asking other participant’s opinions
- If a person presents non-verbal cues (e.g. shaking the head but not speaking) pick it up by probing: “it seems that you may feel differently…”

**Assistant Moderator/Facilitator**

- Take responsibility for all equipment: tape recorder, name tags, pens, paper, refreshments
- Take comprehensive notes
- Ensure recording equipment is functioning
- Does not participate in discussion

**The Do's and Don'ts of successful moderation are:**

| DO | DON'T |
|---|---|
| Be interested in the participants and value all contributions | Be a participant |
| Ensure the moderator has the required qualities | |
| Match the moderator to the participants | Put forward your own views |
| Create a non-threatening atmosphere; establish rapport; show interest in what people are saying; gain their confidence | |
| Avoid leading the group or providing judgements | Pre-judge |
| Encourage all participants to share their views; allow the group to interact without your interruption; use probing questions | Interrupt |
| Ensure all questions are answered (use probes when necessary to get participants to expand clarify e.g. What do you mean? Tell me more about that? Would you explain further?) | Take sides in the debate |
| Be non-judgemental; endorse all opinions equally and neutrally; don't interject your own opinions | Make value judgements about contributions |
| Guide discussions back from tangents or irrelevant topics | Stick with one procedure if it isn't working |
| 'Manage' the focus group | Get too stuck on any point |
| Be familiar with the questions, use appropriate questioning techniques | |
| Use listening skills and be ready to pick up on cues | |
| Encourage everyone to participate. Ensure all participants have the opportunity to speak and that only one person speaks at a time | Allow one, or few members to hog the limelight |
| Find a way of capturing and sensitively dealing with the points that are raised but are not taken any further | |
| Be clear what will be done with the information from this phase | |

# Focus Group Preparation Checklist

| ***Purpose and Conditions (Evaluation Objectives and Key Questions)*** |
|---|
| For what purpose are you holding a focus group? |

| ***Sample*** | ***Number*** | ***Considerations*** | √ |
|---|---|---|---|
| Target group? Who will be recruited? How? | How many? | Gender? Sensitive topic? Age? Ethnicity? Socio-economic status? | |

| ***Equipment*** | √ | ***Venue*** | √ | ***Budget*** | √ |
|---|---|---|---|---|---|
| Lap top? OHP? Butcher paper? Whiteboard? Tape recorder? Name labels? Note paper? | | Appropriate venue? Accessible? Appropriate facilities? Kawa (Protocols)? Contact person? Seating? Kitchen? Toilets? | | Food? Venue? Equipment? Koha? | |

| ***Analysis Considerations*** | √ | ***Ethical Considerations*** | √ |
|---|---|---|---|
| Who? Notes – develop themes? Transcription? | | Informed consent? Confidentiality? Support available? Sensitivity of topic? Age? Gender? Etc | |

| ***Other tasks*** | Organise notetaker? Other support if needed? |
|---|---|

***On arrival***

1. Arrive early
2. Prepare room/food/drinks
3. Welcome arrivals offer refreshments
4. Name labels (if desired)
5. Consent forms

***Introduction***

1. Welcome and acknowledge everyone
2. Introductions – according to protocols
3. Explain purpose
4. Housekeeping
5. Overview of topic

4. Ground rules – one person at a time, no wrong answers, respect opinions, confidentiality, discussion recorded on tape, notes taken
5. First question

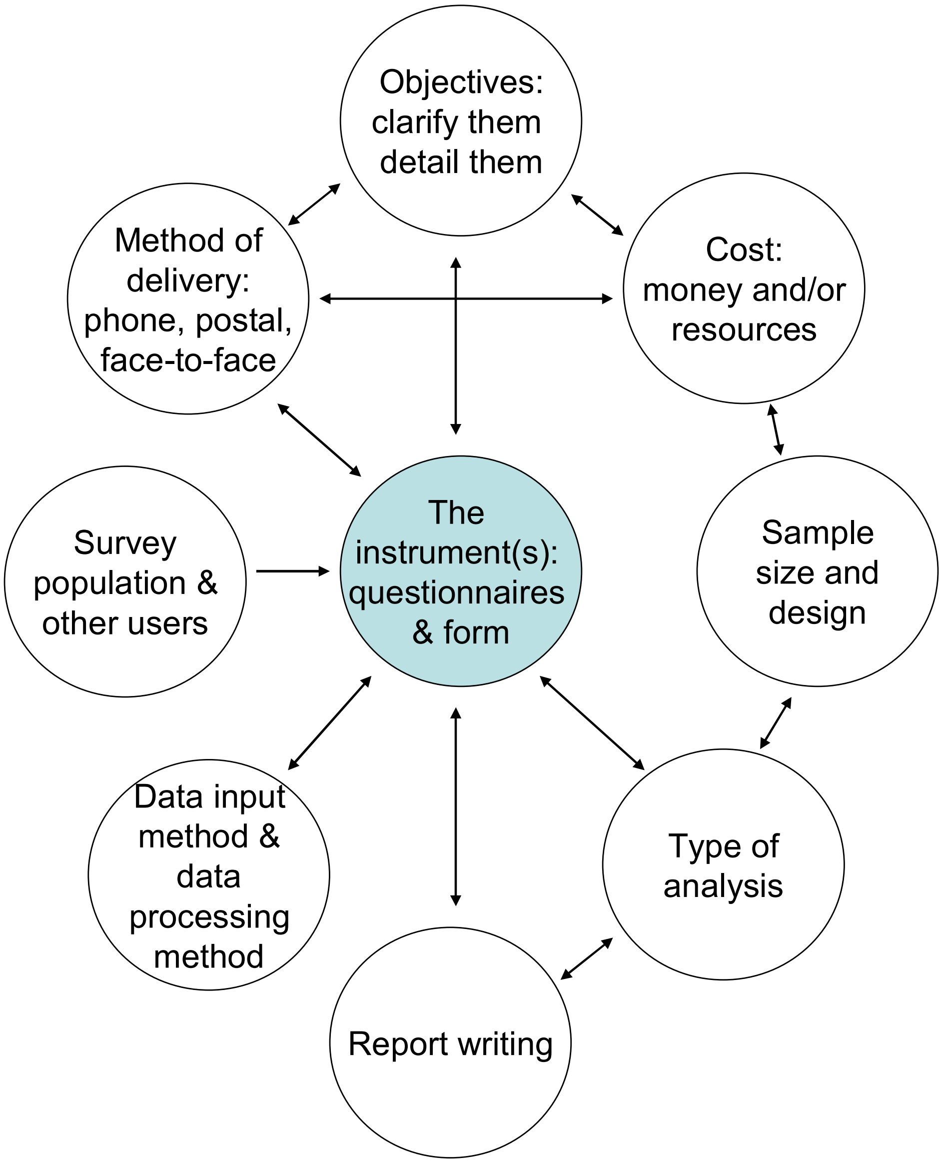
| ***Question 1*** |
| --- |
| Summarise main points |
| ***Question 2*** |
| Summarise main points |
| ***Question 3*** |
| Summarise main points |
| ***Question 4*** |
| Summarise main points |
| ***Question 5*** |
| Summarise main points |
| ***Question 6*** |
| Summarise main points |

| *Wrap Up / Closing* |
| --- |
| 1. Summarise main points with confirmation<br>2. Allow participants to comment<br>3. Review purpose<br>4. Ask if anything missed<br>5. Acknowledge participation<br>6. Remind feedback process<br>7. Thank everyone |

# Appendix 3 – Surveys

It is important when planning a survey that the process is not rushed.  There needs to be planning and a good review period to ensure that the questionnaire is of a certain standard which will achieve your goals and reflect well on the organisation as a whole. There are many aspects of doing a survey which means planning is vital.

## Impact of other aspects of a survey on questionnaire design




Source: Statistics New Zealand. (1995). *A guide to good survey design*. Wellington: Statistics New Zealand. p. 42

**Is a survey necessary or appropriate?**

- Is a survey the correct way to collect the data required? Will focus groups or another way of collecting data be more appropriate?
- What do you want to achieve from the survey (the objectives)? Will a survey achieve this? Also you need to know what sort of output you require so that the questions are asked in a way to get those outputs.

**Do you have the resources available to undertake the survey?**

- What resources have you got available to do the survey? This will influence the size of the survey and may mean that a survey is not possible.
- Who will enter the survey data? This needs to be thought about at the planning stages, as this can take quiet a bit of time and could cost money. The time taken to enter each survey will depend how long the survey is, if the question are closed or open. An open ended question takes more time than a closed ended question.
- Do you have resources and skill available to undertake the analysis and complete the final research?

**Are there any ethnical considerations?**

- Is there a process in your organisation that you need to go through to check if the survey is ethical? Should you find one?
- Need to think about ethical considerations in undertaking the survey. Are you surveying children under the age of 16 as this could require permission from parents? Are the questions of a sensitive nature (eg. Sexual health, Mental Health, Drug use, Criminal behaviour, Medical History)?

**How many surveys need to be done?**

- This will depend on the resource available, how the survey is being conducted and how long it will be.
- How representative you want it to be of the community. This will depend on how the survey is targeted.
- It is important to note that it is really hard and normally very expensive to get a really representative survey. Normally have to employ a survey company.

**Plan the contents and method to do survey**

When looking at the questions to include and not include

- Have all the necessary questions been included to achieve your objectives?
- Can there be any questions deleted which are unnecessary to achieve the objectives?
- How best can the questions be asked to get the desired response? Open ended (the respondent determines the answer) or closed questions (a predetermined list of answers which the respondent indicates), Closed with an open option. Sometimes it is not appropriate to steer people to a response, as the pre-chosen answer may not accurately reflect the person's true feelings or actions. Open ended questions means more work, as they have to be coded and grouped someway to be able to summarise the results.
- Try and keep the questionnaire short as possible to achieve the objectives?
- Be concise, which means not asking unnecessary questions?
- For things that need to be considered when putting the questionnaire together (see below)

Self-completed questionnaire (completed by the respondent without an interviewer)

- Make sure the questionnaire is easy to follow and is self-explanatory.
- Ensure it is user friendly so people will want to fill it in. Can't look too long or too complicated.
- Get people interested in filling it out early. Don't put questions people will feel uncomfortable with at the beginning. Better putting them at the end where they have already filled out most of the questionnaire.
- Difficult to go back to participants to check responses to questions.
- Low return rates for postal surveys.
- Cheaper than most methods.
- Greater level of anonymity.
- Higher response rate if filled out on sites.

Face to face interviewing (completed by an interviewer)

- In pre-testing the questionnaire, read the questions for at least some people to get an idea of how it reads and the time it takes.
- Some questions might be better if the options are not all read out and let the respondent tell you what they think and fit it into the categories.
- It is important to train the interviewers so they ask the questions consistently and it may be necessary to put notes on the questionnaire for them.
- Can be costly and time consuming. Safety issues for interviewers going door to door.
- Unclear questions can easily be clarified.
- Comments not affected by what other people say (ie. focus group). Greater confidentiality than focus groups.
- Some people respond better to face to face than over the phone.

**Things that need to be considered when putting the questionnaire together**
From Statistics New Zealand (1995), for examples see publication
Pitfalls with questions

- Choose simple over specialised words
- Avoid abbreviations that respondents may not understand
- Need to make sure terms and concepts are clearly defined
- Choose as few words as possible to pose the question
- Use complete sentences to ask questions
- Need to be clear what is being asked
- Avoid asking more than one thing in one question ie. Do you think buses and taxis are kept clean?
- Unreasonable recall periods
- Using double negatives
- Questions which assume a state of affairs exists ie. a person has a partner
- Social desirability or other bias (leading, loading, unbalanced)
- Questions which require information, or a level of skill, which respondents may not have
- Response options that are not mutually exclusive
- Response options that are not exhaustive
- Response options that do not fit the questions

Pitfalls with questionnaire

- Crowded or untidy appearance
- Type hard to read
- Inconsistent use of terms
- Inappropriate title for the questionnaire or for sections
- Routing instructions which are incorrect or hard to follow
- Inconsistent layout
- Layout which is likely to cause recording mistakes
- Layout which is difficult for respondents or interviewers
- Illogical grouping or flow of questions. Mistakes in numbering

**Pre-test the survey then review**
Pre-testing the questionnaire should be done to ensure that the questions being asked are understood and will get the response expected. Questions to ask the person after they have tested the questionnaire:

- If they had any problems with any question by the way it is worded?
- If they think the questionnaire flows?
- Do all respondents interpret all the questions similarly? (This is for the questionnaire design team to assess)
- Is the questionnaire set out which is good for the people reading it?

**Undertake the survey**

- An appropriate timeframe needs to be put on the survey return for respondents.
- How are the questionnaires being collected? It needs to be easy for respondents to return them or they will not bother.

**Analysis of survey**

- Need to get appropriate assistance and advise so this process is done correctly.
- An appropriate programme to be used to enter and collate the results is needed. It does not have to be a special survey or statistical package. A simple spreadsheet or database to enter survey information would be sufficient.
- To enter results into a spreadsheet:
  - Along the top row of the spreadsheet have a column for each question and if there are multiple responses for each questions more than one column. To fix the title row in position as move down the page put the cursor in column A under the top row an on the tool bar under "Windows" use "Freeze Panes".
  - In the first column it is good to have an ID number starting at 1 going up to the number of questionnaires. When the questionnaire is entered you write the number on the questionnaire so if there is anything you want to check out later on you can go back to the specific questionnaire.
  - There will be a row for each questionnaire, by putting all responses for the questionnaire along the same row.
  - When entering data the data needs to be coded appropriately. Sometimes it is easier to code open ended responses as the data is entered by assigning a number to each theme on answer.
  - Analysis can be done using the pivot table function under Data, counting on the ID column. Might need to get assistance from someone who knows a little more about Microsoft Excel.

**Report for survey presenting findings**

- When undertaking a survey there is an obligation to the participants that you complete the analysis and have the findings reported and used. If the process is not followed through, what is the point of the survey?
- This need to be done in an appropriate way so the findings are useful and reflect the actual data.

The most important thing when doing a survey is to have it well planned. There is no point carrying out a survey which doesn't properly achieve the objectives of the survey.

**Useful References:**

- There are many books out there about doing surveys. There will generally be one or two available in most libraries.

- Dillman, D.A. (2000). *Mail and internet surveys: The tailored design method.* New York: John Willey & Sons.
- Statistics New Zealand. (1995). *A guide to good survey design*. Wellington: Statistics New Zealand. Chapter 6. Retrieved July 17, 2007 from http://www.stats.govt.nz/products-and-services/user-guides/guide-to-good-survey-design.htm