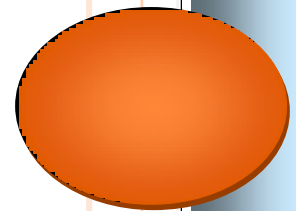


APPENDIX D

PROGRAM MONITORING AND EVALUATION WORKBOOK

GOVERNMENT OF THE NORTHWEST TERRITORIES



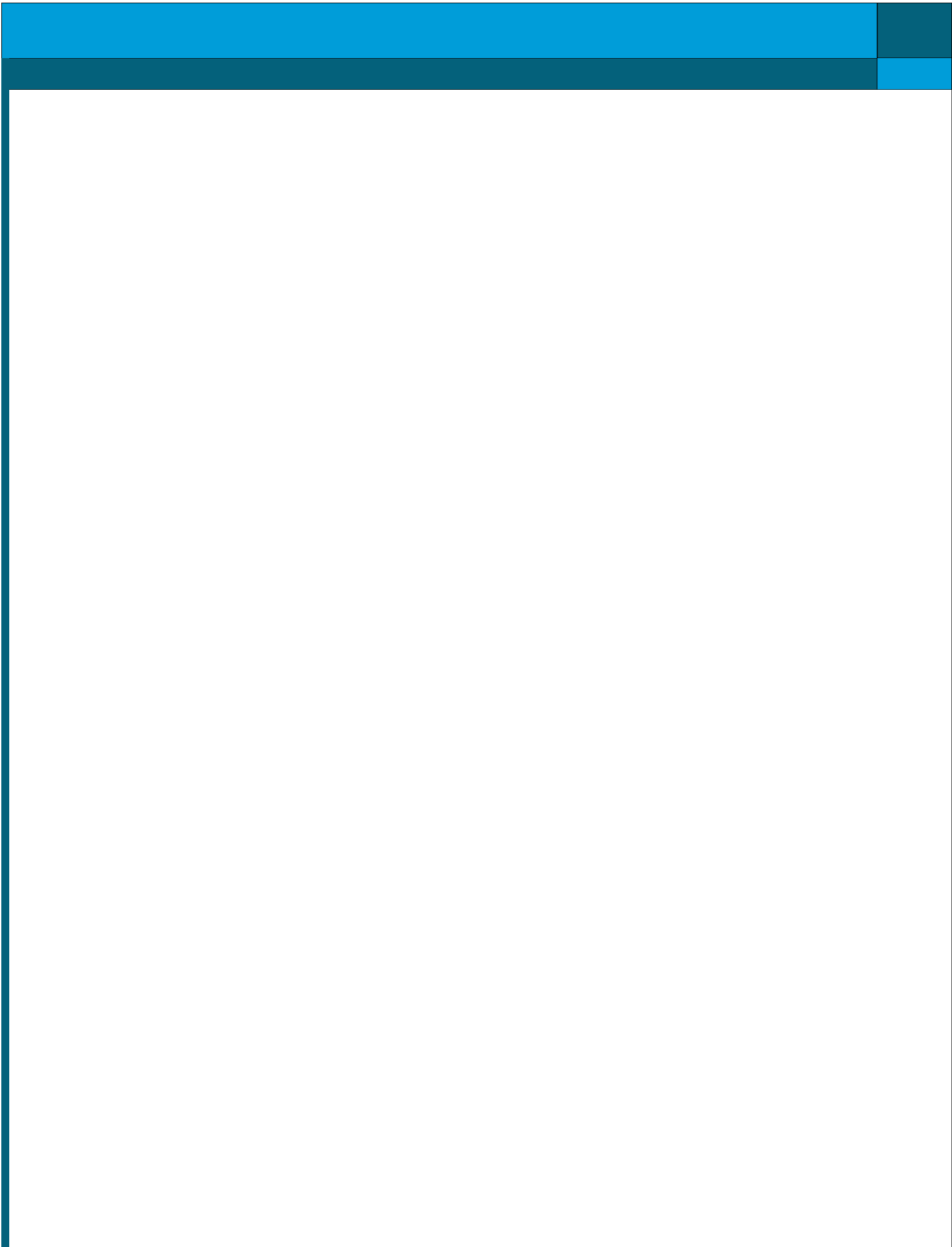


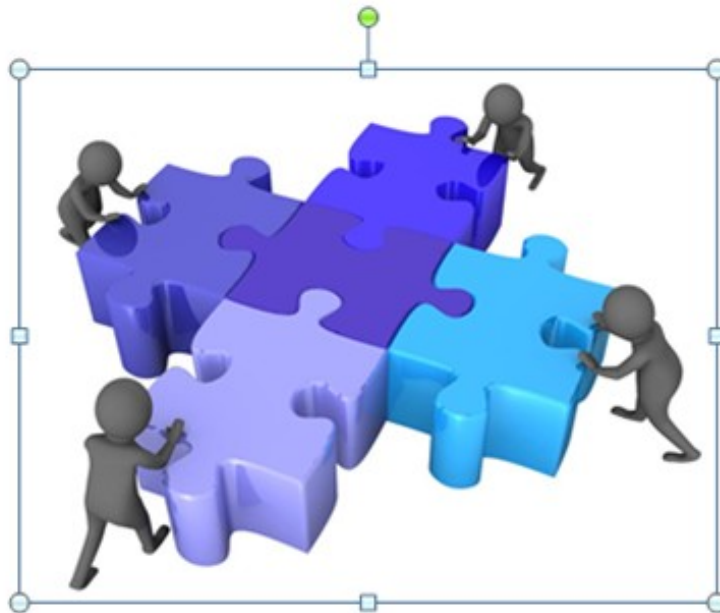
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INTRODUCTION

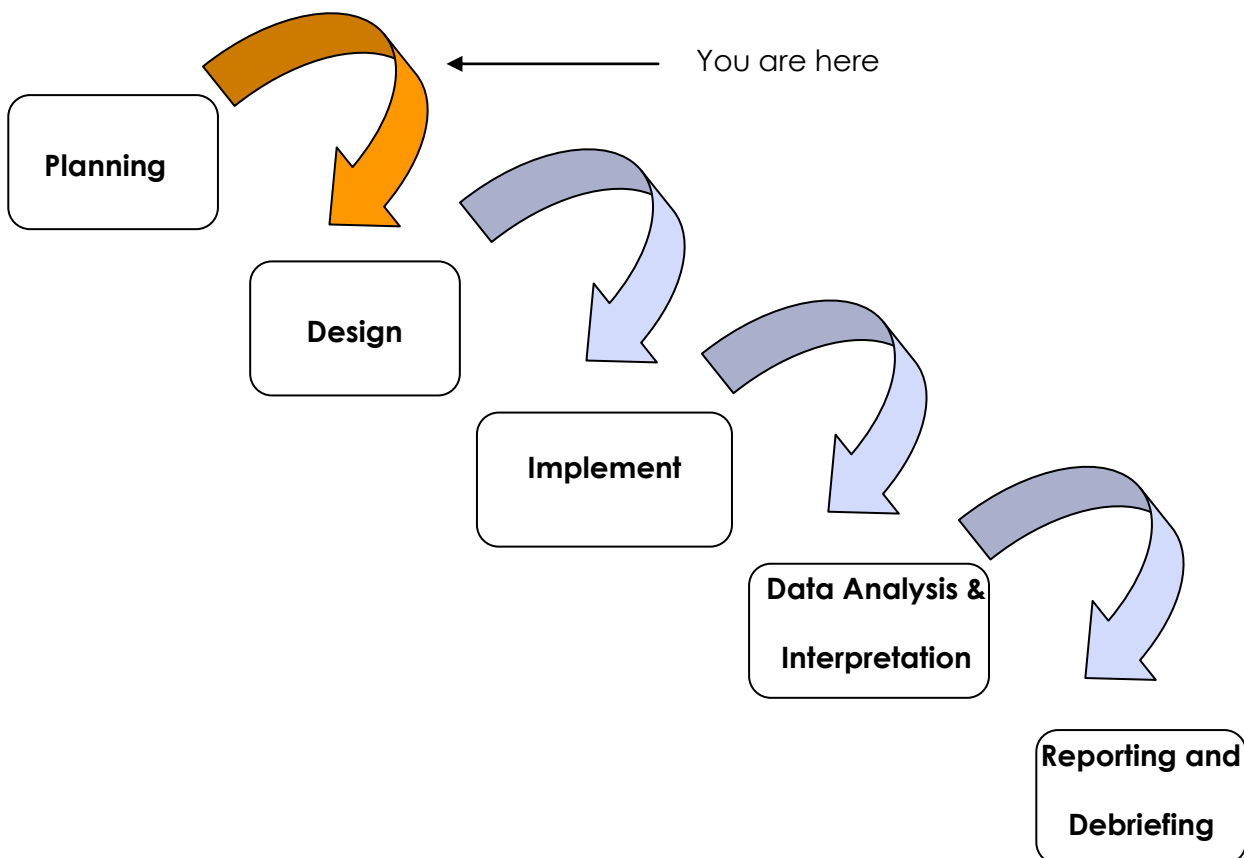
Welcome to the workbook developed for use with the Program Monitoring and Evaluation Manual. We hope that you find it useful. Each worksheet has an introduction and a reference back to the manual so that if necessary the manager can find additional information. These are pdf files for ease of electronic transmission but if they need to be tailored to the program needs, they are easily recreated with Publisher. Remember that the Program Review Office is available to help with guidance, advice or technical skills. Good luck!



PHASE 1

PLANNING FOR EVALUATION

Program evaluation is a systematic collection of information about a program which helps you make judgements about a program, or informs decisions about future programming. This booklet will help a program manager to understand the evaluation and monitoring process so that they will have the basics they need to for proper program management. Your first step is to invest in the planning stage, which will go a long way to ensuring the success of the program evaluation.

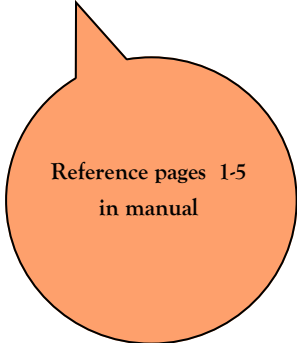


1.0 Start by documenting the background

It is always a good idea to have a touchstone document, project charter or terms of reference before undertaking an evaluation endeavor. Documenting the background of the evaluation and the reasons for its undertaking will serve to keep all parties in agreement and set the expectations around the evaluation. Should any questions arise in the future, about the purpose, scope or reason for the evaluation, there should be no disagreement amongst all parties.

Determinations:

- 1.0 What is the **primary** reason for the evaluation.
- 2.0 Who is the commissioner of the evaluation.
- 3.0 What is the purpose (i.e. what you hope to get out of it) of the evaluation
- 4.0 What do you have to work with? (resources)



Reference pages 1-5
in manual

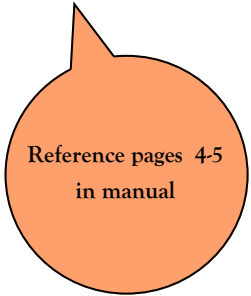
Considerations:

- Current work load
- Current work environment/timing
- Committee Roles and Responsibilities

1.1 Determine the stage of the program and approach

If a program has been running for many years, there should be information available that can be analyzed at a deeper level than new programs. Consider the programs stage to determine the kind of evaluation that you wish to carry out.

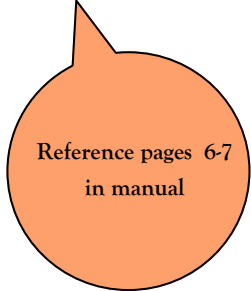
✓ check appropriate box

| | | |
|---|---|---|
| <p>PROACTIVE (Community problem) (Research phase)</p> <div style="border: 1px solid black; width: 100px; height: 30px; margin: 10px auto;"></div> | <p>At what stage is the program?</p> <p>What kind of evaluation would be appropriate?</p> |  |
| <p>CLARIFICATIVE (Conceptualization stage) (Design stage)</p> <div style="border: 1px solid black; width: 100px; height: 30px; margin: 10px auto;"></div> | <p>At what stage is the program?</p> <p>What kind of evaluation would be appropriate?</p> | |
| <p>INTERACTIVE (Program up and running for at least two years)</p> <div style="border: 1px solid black; width: 100px; height: 30px; margin: 10px auto;"></div> | <p>At what stage is the program?</p> <p>What kind of evaluation would be appropriate?</p> | |
| <p>MONITORING (Program has been running over a period of years)</p> <div style="border: 1px solid black; width: 100px; height: 30px; margin: 10px auto;"></div> | <p>At what stage is the program?</p> <p>What kind of evaluation would be appropriate?</p> | |
| <p>IMPACT (Program has been running over a period of years- depends on type of outcomes)</p> <div style="border: 1px solid black; width: 100px; height: 30px; margin: 10px auto;"></div> | <p>At what stage is the program?</p> <p>What kind of evaluation would be appropriate?</p> | |

1.2 Choose the Questions

The first step in framing an evaluation is to ask "What do you want to know?" This can be difficult. Generate a large number of items and then weed them down until you have 4 or 5 evaluation questions that are very clear. (These are just suggestions; not all may be required).

Questions about client:



Reference pages 6-7
in manual

Questions about finances/cost:

Questions about operations or processes:

Questions about impact on community or other programs

Questions about generally accepted management practices or governance items like accountability, transparency, participation or responsiveness.



**A good plan today is
better than a great
plan tomorrow!**

1.3 Set the scope of the evaluation

The scope of the evaluation will set the boundaries around how far the study is to go. The scope of the evaluation is everything that is to be judged. How big is the evaluation? How much ground will be covered? This is important because it sets limits on the effort expended and the funds that will be spent.

This evaluation will cover:

How many years of program operation? Over which time frame?

Which set of clients?

Which operations/regions/community?

The following agreements/funding sources:

The focus of the evaluation:

This evaluation will not cover:

Particular issues:

A)

B)

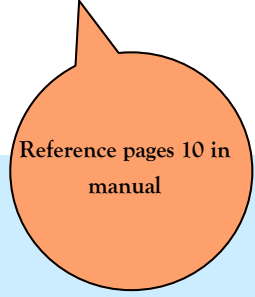
C)

D)

1.4 Begin to draft the Terms of Reference

The Terms of Reference must include nearly everything that you want to do for the evaluation. This document is your touchstone. It will explain to everyone what you and your team have decided to do. It is a really good idea to have it formally approved. Here is a suggestion for what it might contain:

1. Purpose of the evaluation
2. Who commissioned the evaluation
3. Program overview
4. Scope
5. Evaluation questions
6. Design of the study (once determined)
7. Timelines
8. Budget
9. Project Management
10. Roles and Responsibilities
11. Where the report will be distributed
12. How the findings will be used.



Reference pages 10 in manual

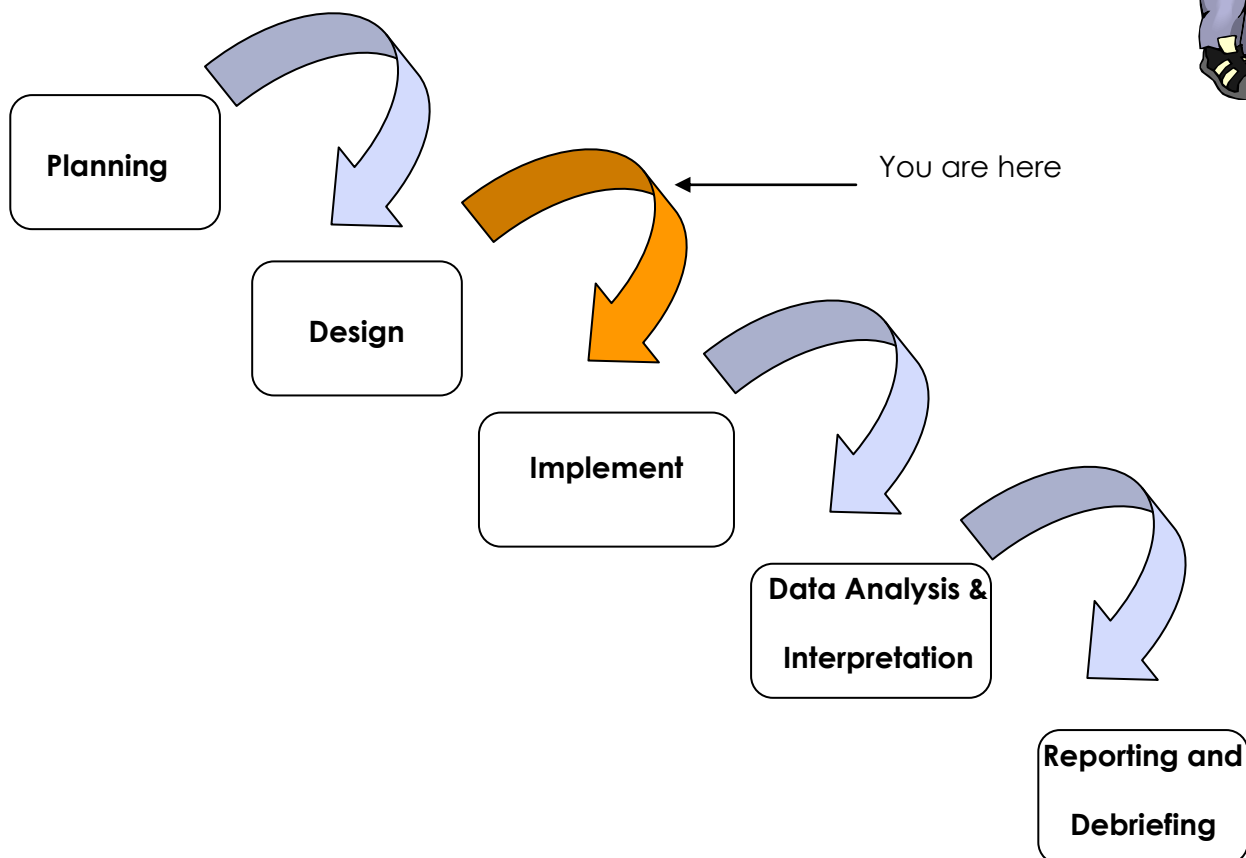
Start on the Terms of Reference, early in the process, but remember that it will not be completed until all of the design decisions have been made.

Planning checklist

1. Determined the primary reason for the evaluation.
2. Defined the purpose of the evaluation
3. Determined the stage of the program
4. Selected questions
5. Scoped out the evaluation parameters
6. Sketched out the terms of reference

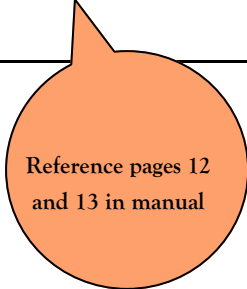
Phase 2 DESIGN

The design is how the data collection plans come together with the instruments and data sources to give the evaluator the information needed to answer the questions. This piece of the evaluation must be carefully considered as it will influence the validity and reliability of the information.



2.1 Select tools and set method for data collection

Getting the right information from the right sources is important. There are a variety of tools to choose from but developing your collection instrument can be expensive and time consuming, so choose carefully. Balance your information requirements against your resources to see what you can afford to do, in what time frame. Go through each question and decide *where* the best data is available. After that decide *how* to get the data.

| Question | Data Sources | Tool |
|------------|--------------|--|
| Question 1 | | |
| Question 2 | | |
| Question 3 | | |
| Question 4 | | |
| Question 5 | |  <p>Reference pages 12 and 13 in manual</p> |

2.2 Select sample frame and participants

From the population you must decide who (or what) to include and who (or what) to leave out. We need to have enough people participating to let us generalize about everyone in the population. In order to be able to say that your data is a fair or true representation of your program participants, you have to have a "sample". Paste the following address into your web browser for a sample size calculator.

Determine Sample Size

Confidence Level 95% 99%

Confidence Interval

Population

Sample Size needed

<http://www.surveysystem.com/sscalc.htm>

Find Confidence Interval

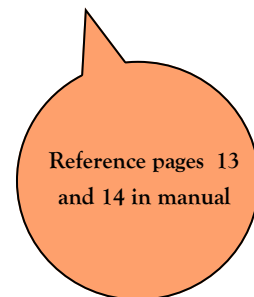
Confidence Level 95% 99%

Sample Size

Population

Percentage

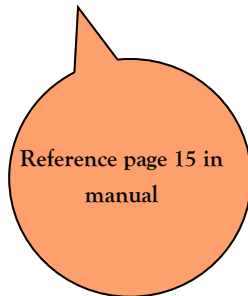
Confidence Interval



2.3 Set the protocol

Describe the way in which you will collect the information— how the tool will be brought together with the data source and how it will be stored.

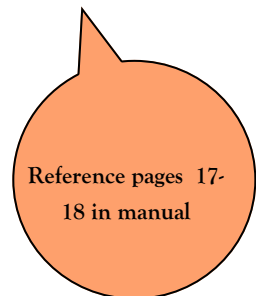
| Question | Data Sources Tool |
|-------------------|---|
| <p>Question 1</p> | <p>From who or where will this data be collected</p> <p>Which tool /method will be used</p> <p>How will the tool and the data source be brought together</p> <p>How will the information be recorded?</p> |
| <p>Question 2</p> | <p>From who or where will this data be collected</p> <p>Which tool /method will be used</p> <p>How will the tool and the data source be brought together</p> <p>How will the information be recorded?</p> |



2.4 Review of conduct and ethics

It is an expectation that researchers and evaluators will ensure the privacy and safety of their clients and that all standards of ethical conduct will be observed during the project. A peer review of the standards of conduct is advisable. Each project will have its own items for consideration: this is not a comprehensive list.

| elements | check |
|--|-------|
| Project demonstrates sensitivity to the cultural and social environment of all participants/ community . | _____ |
| Evaluators have conferred with the participants on confidentiality; | _____ |
| Evaluators have conferred with the participants on communications; | _____ |
| Evaluators have conferred with the participants on privacy; | _____ |
| Information has been provided to clients /participants to facilitate their decision-making concerning the project; | _____ |
| Evaluators have obtained informed consent; | _____ |
| Evaluators have conferred with the stakeholders and commissioner on the ownership of findings, reports and data. | _____ |
| Evaluators have designed a data management/storage system that protects participant anonymity. | _____ |
| Is advice necessary from the ATIP coordinator? | _____ |



2.5 Set the timeline

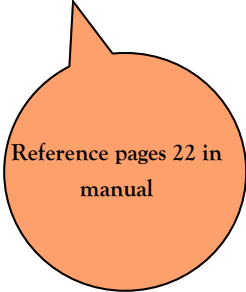
Here is an example of how a timeline might look. Please be aware that not all steps have been included here. You may want a more precise timeline.



Reference pages 20
in manual

2.6 Budgeting

There will always be a cost to an evaluation, although it may not be apparent. Taking time from your regular schedule, travel, your salary, meetings with steering committees and working groups, overtime and use of government equipment all contributes to the cost of an evaluation. Consider the following:

| Item | Estimated Cost |
|--|---|
| Training | |
| Overtime/Backfill | |
| Advertising | |
| Consultant /research assistant time | |
| Publishing/Photocopying | |
| Honoraria | |
| Mail out costs | |
| Travel /hotel costs | |
| Food for community meetings | |
| Long distance calls | |
| Specialized computer software /equipment | |
| Translation/interpretation | |
| Other |  <p>Reference pages 22 in manual</p> |

2.7 Evaluation frameworks

There is no one way to do an evaluation framework. They are simply plans on how the work that you are going to carry out is documented. They can be complex or simple, but they need to give the reader an idea of the sequence of events about to take place.

| Question | Data Source | Tool/Method | Type of Analysis | Who Collects | When Collected |
|----------|-------------|-------------|------------------|--------------|----------------|
| Q1 | | | | | |
| Q2 | | | | | |
| Q3 | | | | | |
| Q4 | | | | | |

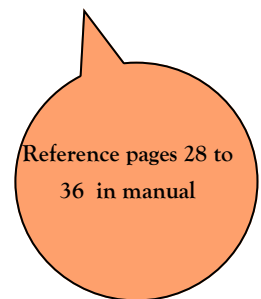


Reference pages 23-24 in manual

Selecting Performance Measures

Performance measurement can be defined as a data collection and monitoring system established to manage activities and improve results of government programs. Performance measurement data can be collected for a number of years prior to an evaluation and can verify trends or information collected during an evaluation. The following page contains measurement categories as suggestions.

- Utility
- Availability
- Effort
- Understandability
- Validity
- Reliability
- Comparability



Data Management Plan

The selected data for the performance measures should be preceded by a plan. If it is not in place and communicated as an expectation to the various parties, it will not be collected. Below is a template for consideration.

| Measure/metric | Who has the data, or, where is the data? | What is the best tool to pull all the data together? | When is the best time to collect the data? (What cycle?) | Who will be responsible to collect the data and analysis? | Who is analysis reported to and in what forum? |
|----------------|--|--|--|---|--|
| | | | | | |
| | | | | | |

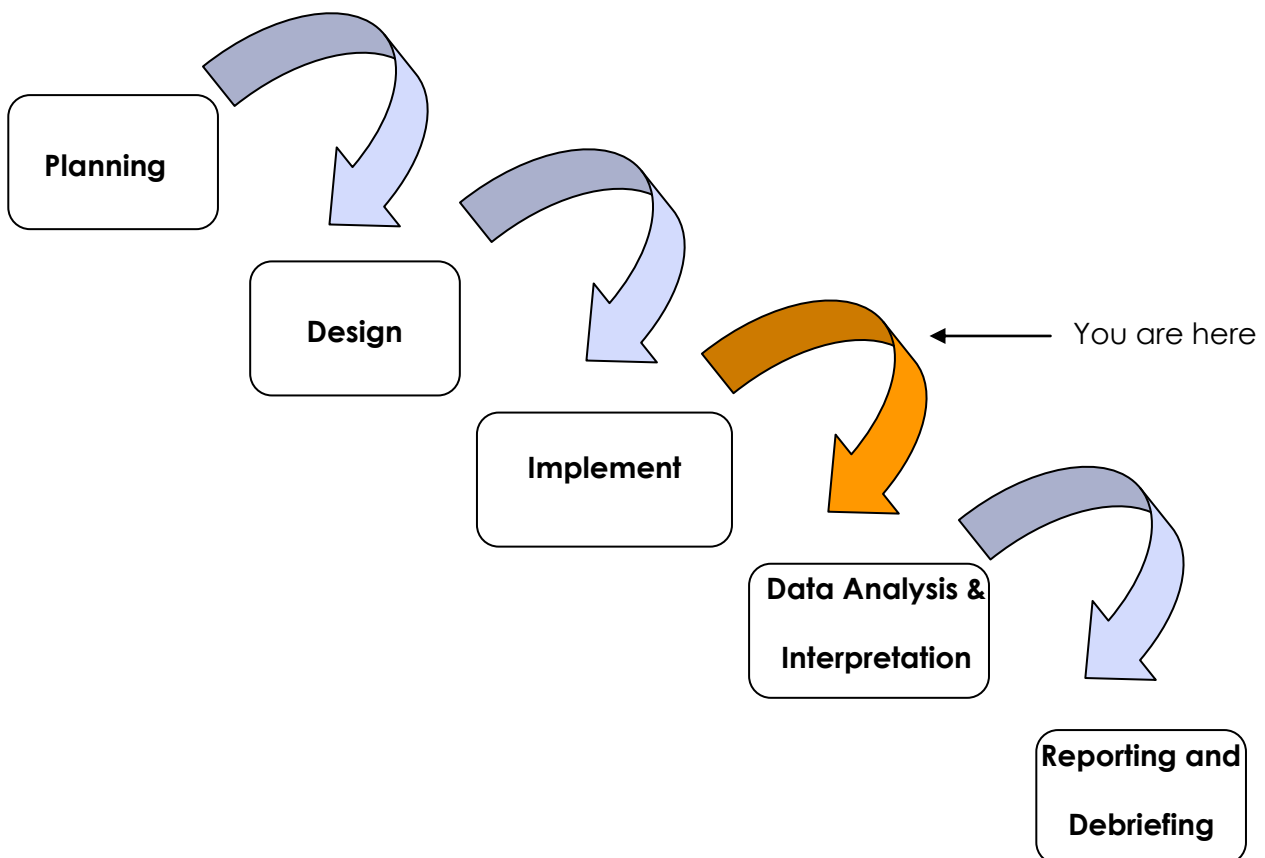
DESIGN

| ATTRIBUTE | WHAT MEASURES OR METRICS WILL REFLECT THIS ATTRIBUTE? |
|------------|---|
| CAPACITY | |
| QUALITY | |
| ACCESS | |
| RELEVANCE | |
| COST | |
| TARGETS | |
| BENCHMARKS | |
| OUTPUTS | |
| OUTCOMES | |
| OTHER | |

Reference pages 34
in manual

Phase 3 IMPLEMENTATION

Good management of the evaluation goes a long way to insuring the success of the project. This includes managing risks, staying aware of potential ethical situations, communicating with staff and management, decision making, leading the team, and controlling unanticipated events.



Project management /Implementation checklist

- * The terms of reference have been approved _____ ✓
- * The evaluation framework is complete _____
- * The instruments have been designed and tested _____
- * Public affairs and communication documents are ready to go _____
- * A schedule for debriefing management is in place _____
- * A communications schedule with staff is established _____
- * Manager is alert to project mission drift _____
- * Spread sheets for keeping track of expenditures developed _____
- * Timelines are set with "downtime" and delays anticipated _____
- * Manager is prepared for passive or overt resistance _____



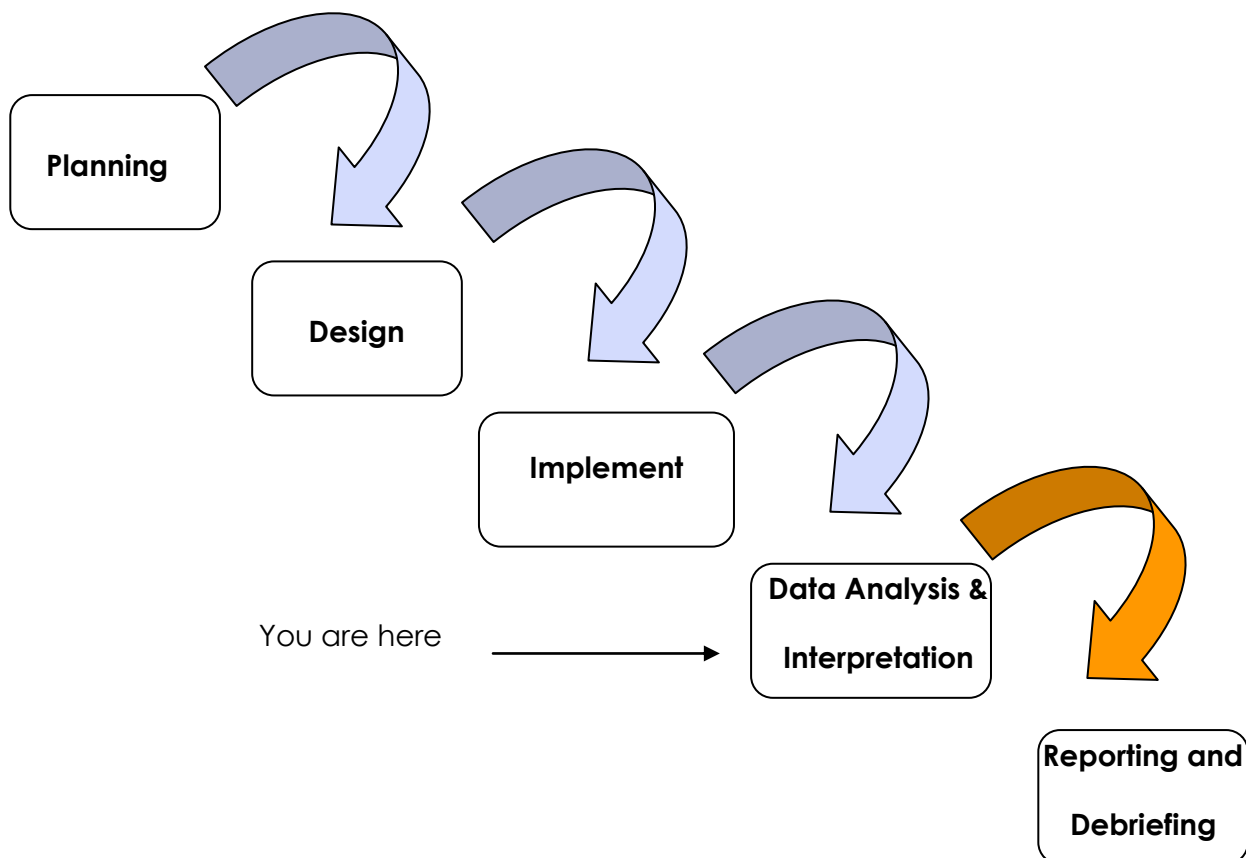
Phase 4

Data Analysis & Interpretation

Once the data has been collected, the analysis will be straight forward if certain conditions are present. The evaluator must prepare the information so that it is readable. Data analysis generally follows the following steps:

1. Group (and clean) the data
2. Describe the data
3. Interpret the data

There are simple ways to handle data (descriptive statistics) and more complex ways to look at data (predictive modeling or inferential statistics). It is suggested that for more complex exercises, a statistician be consulted to help.



Step 1 Grouping and Cleaning Data

1.0 Lay out a data management plan

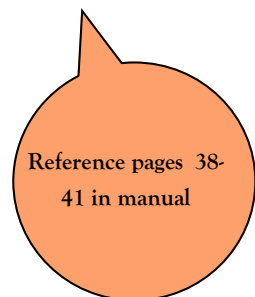
If you have used different methods to answer questions, laying out a plan may help to classify the information for example:

What will you do with data from various data sources?

| | Survey | Interview | File Audit |
|------------|--|---|------------------------|
| Question 1 | Mean median and mode Trends analysis, histogram | Content analysis | Compare to a checklist |
| Question 2 | Demographics compared to variable a, b, c, etc. | Not addressed in interview | Not applicable |
| Question 3 | Cross tabs across all variables | Verify interview question 1 with file audit checklist # 4 | Compare to a checklist |

2.0 Code the data

Have the coding sheets developed before your instrument goes out. They may have to be tweaked but at least you have a head start. An excel, access or SPSS spreadsheet is the best way to record the data as the numbers can be manipulated.



3.0 Clean the data

The effort in cleaning data is directly related to how well your instrument and tool was set up to capture information. Ensure all of the data has been entered on the spreadsheets in exactly the same way, for example:

| <i>DOB</i> | <i>Person 1</i> | <i>Person 2</i> | <i>Person 3</i> | <i>Person 4</i> | <i>Person 5</i> |
|------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| | 01/05/1960 | May 1, 1960 | 01/May/60 | 05/01/60 | 1960/05/01 |

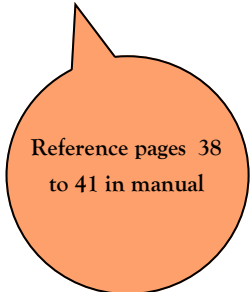
- You will need to choose one format and stay with it for all entries and each question.
- All of the data in a column or in a row is the same: text, nominal, integer, ratio, date etc.
- Numbers or dates should fall within a certain range.
- Look for regular patterns (where a pattern should exist) i.e. a phone number has 7 numbers
- Cross-field validation: i.e. in date of birth (DOB) vs date of death (DOD) a person cannot die before they are born so at times you may be able to verify one column against another.

4.0 Group the data

Pull all of the information together that relates to a single question. For example, in a mixed methods situation you may have interviews, questionnaires and focus groups across multiple sites. Collect the data from the different instruments but reserve a coding mechanism so that you will know which group of people said what.

Group similar items together across groups, or outcomes or specific variables.

Each item on each instrument has to be grouped together i.e. all question # 1s together, all questions #2, etc.



Reference pages 38
to 41 in manual

Step 2 Describe the Data

What did we find?

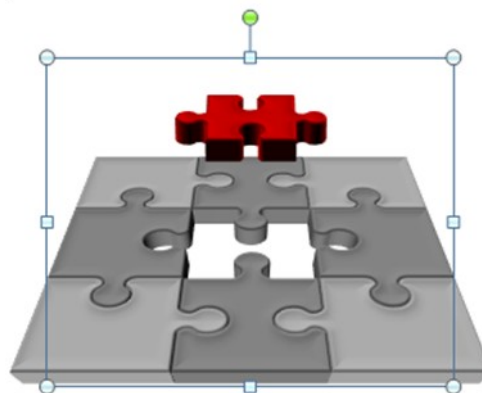
One of the easiest ways to start data analysis is to simply describe the data. This can include a description of the respondents, where the data was collected from, and the general themes and trends.

Across groups

| | | | |
|----------|----------|----------------|--|
| complete | underway | not applicable | Look for similarities between the responses from the participants across different groups. |
| complete | underway | not applicable | Look for the trends and themes from the respondents across location or time or situation. |
| complete | underway | not applicable | Look for differences between the responses from the participants across location or time or situation. |

Within groups

| | | | |
|----------|----------|----------------|---|
| complete | underway | not applicable | Look for similarities within the group's responses. |
| complete | underway | not applicable | Look for the trends and themes from the respondents in that group. |
| complete | underway | not applicable | Look for differences between the responses from the participants in that group across location or time or situation. |
| complete | underway | not applicable | Describe the respondents: who are they? What age group do they fall into, where are they, what is their situation, gender, etc? |
| complete | underway | not applicable | At this point simply roll up the responses and report them. |



Step 3 Analyze and Interpret the Data

What does it mean?

Now you have to figure out what it all means:

Are there any defining characteristics of the demographic group and how they responded to a question?

Are there correlations between the responses on two particular response sets?

Have you developed cross tabs on the responses? For example:

| Age group | Response A | Response B | Response C |
|-----------|------------|------------|------------|
| 10-15 | | | |
| 16-21 | | | |
| 22-27 | | | |
| 28-33 | | | |

_____ Have you sought help in applying a Chi square or F test to examine association?

_____ Have you applied measures of central tendency?

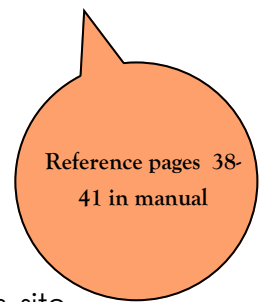
_____ Mean

_____ Median

_____ Mode

_____ Standard Deviation

_____ Developed histograms?



One of the best online resources for applied social research is Bill Trochim's site found at : <http://www.socialresearchmethods.net/>. Do yourself a favor and check it out.

Content Analysis

You will probably have some information come back to you in the form of interviews or focus groups. This information will have to be decoded to see what themes or sentiments emerge. One way to do this is to present it in a table form which then can be further analysed. Examples:

| Question 1 | Nasty | Okay | Great |
|----------------|-------|------|-------|
| "Art work was" | | | |
| Respondent 1 | 1 | | |
| Respondent 2 | | 1 | |
| Respondent 3 | 1 | | |
| Respondent 4 | | | 1 |
| Summary | 2 | 1 | 1 |

| Question 1 | Statement | Themes |
|--------------|---|----------------------------|
| Respondent 1 | I really like artwork. I feel that it shows the commu- | Like, pride, care. |
| Respondent 2 | What a terrible looking piece of junk. It is a waste of | Terrible looking, junk, |
| Respondent 3 | I like a nice playground. But I dislike their choice. | Dislike choice, likes nice |
| Respondent 4 | Love it . | Love |

You will now roll up the sentiments, and write a description of what people have said. When all of the data has been cleaned, grouped, and analysed, it will be the evaluators job to determine what is being said. Be aware that why certain sentiments are being said is a tricky endeavor because it can harbor in to areas of speculation.

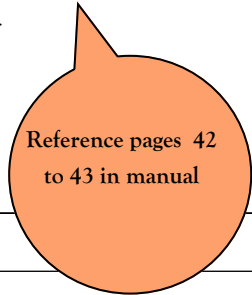
Step 4 Present the Data

Data can be expressed in a number of different ways. How you lay out your data will help you to interpret it correctly. You can try different forms of graphs, charts, or tables to help you see clearly. Present data in different ways so that the reader maintains interest. Examples:

- | | | |
|----------------|----------------|----------------|
| Cross tabs | Benchmarks | Art work |
| Graphs/charts | Scale drawings | Stories |
| Cluster Graphs | Word Clouds | Photo journals |
| Maps | Time Series | |

Tips for data presentation:

| | |
|--|-------|
| Clearly labelled | _____ |
| Information is readable (Large enough fonts) | _____ |
| Unambiguous | _____ |
| Understandable | _____ |
| Makes a point (has something to say) | _____ |
| Is visually appealing | _____ |
| Accurately represents the data | _____ |
| Contrast of colors and readability are considered | _____ |
| Appropriate level of detail in the visual | _____ |
| Images have been used | _____ |
| Not overly complex | _____ |



Step 5 Making the Judgment and Recommendations

Is there enough evidence to be able to make recommendations? Judgement calls are based on the evidence that is collected. It can be set up with the criteria on one side of a table and the judgement indicated by a check mark into categories as such;

| Criteria, target, benchmark, measure, attribute etc: | Criteria not met | Criteria met | Program exceeded expectations |
|--|------------------|--------------|-------------------------------|
| | | | |

Reference pages 44 to 45 in manual

DATA ANALYSIS AND INTERPRETATION

Recommendations should follow through from the findings - the reader should be able to see the body of evidence for each recommendation.

Example:

| Recommendation | What evidence in the findings support this recommendation? | Are there options available? |
|--|--|--|
| Recommendation1 Offer an online registration system | Question 1 (Q1) 75% of all interviewees say that the program is too hard to access. Focus group - workers say they are getting complaints Registration numbers are low | Yes - have career counselors take the time to walk through the registration process with clients. However they already feel that their workload is too high. |

| Recommendation | What evidence in the findings support this recommendation? | Are there options available? |
|------------------|--|------------------------------|
| Recommendation1 | | |
| Recommendation 2 | | |
| Recommendation 3 | | |
| Recommendation 4 | | |
| Recommendation 5 | | |

Data Management and Analysis Have you.....??

Have to grouped and sorted your data? It is organized so that trends can be seen?

Have you adequately described the data?

Have you sufficiently analysed the data to the point where it could be interpreted ?

Is the data presented honestly and in a clear manner?

Have you met with the steering committee to discuss the possible interpretations of the data.

Has the evaluative judgement been made?

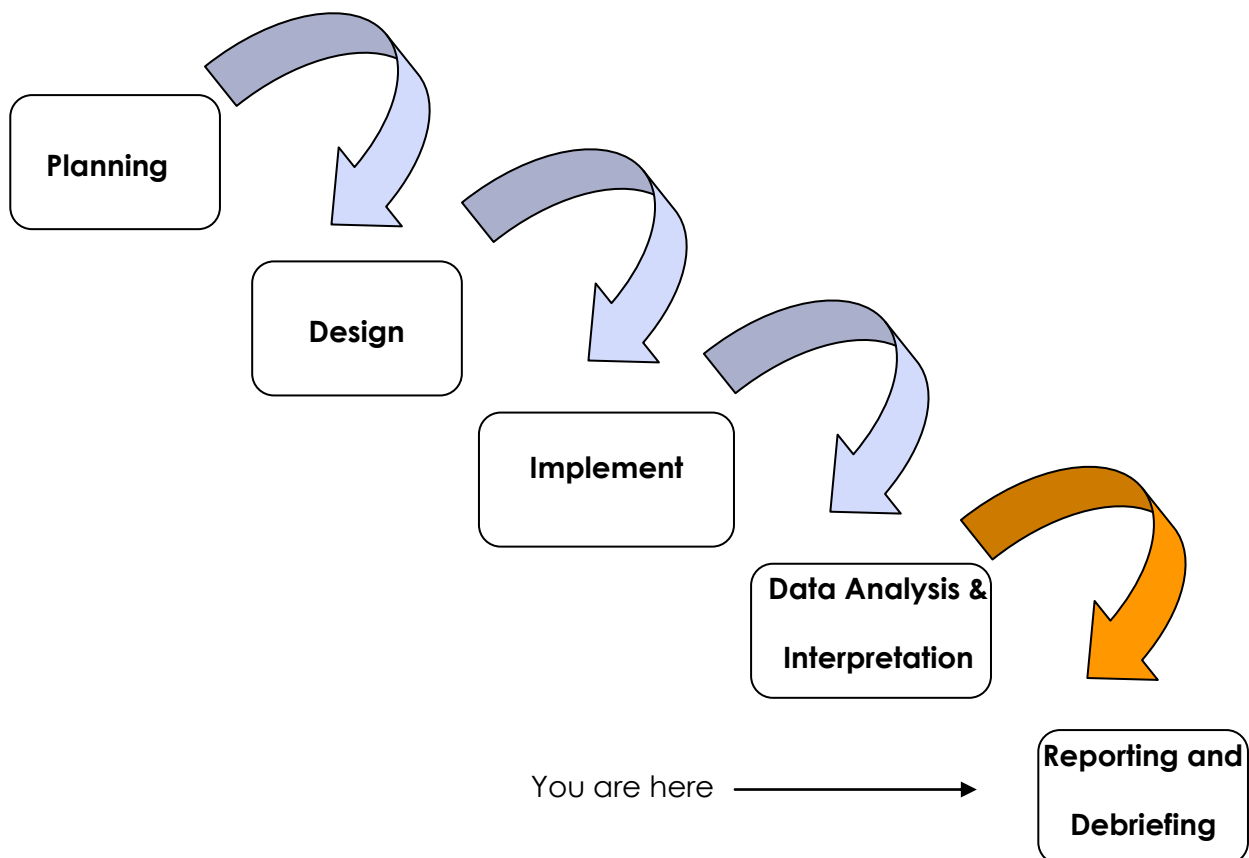
Have the steering committee discussed the recommendations?

Phase 5

REPORTING AND DEBRIEFING

Steps:

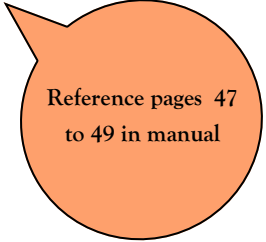
1. Draft the evaluation report
2. Decide your communication strategy
3. Adjust the program
4. Debrief with the evaluation team



The easiest way to write any report is to first develop an outline. The following headings are the usual headings for an evaluation report. Within each heading, start with making bullets for each point that is important. Once the key points are laid out, a paragraph can be woven in around it so that the report holds together and tells the story of the project.

Introduction

Key Points



Reference pages 47
to 49 in manual

The Design - Methodology

Steps taken

The Findings and Analysis

Question 1 (Report major finding first, minor ones second.)

What did you find?

What does it mean?

Recommendations

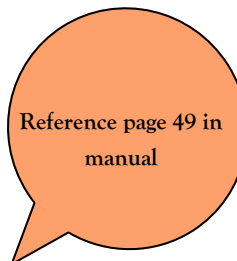
Key Points

Conclusions

Key Points

Executive Summary

Key Points



Step 2 Build Communications Strategy

Consider the best way to keep people informed as you go along. Have you:

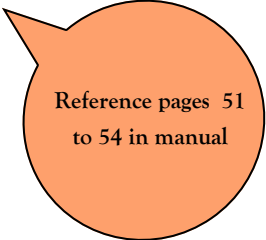
- Decided who gets the findings first? _____
- Prepared a stand-alone executive summary _____
- Prepared a PowerPoint presentation and speaking notes _____
- Consulted with the departmental communication team? _____
- Written in plain language? _____
- Arranged for s translation? _____
- Decided on how and to whom the report will circulate? _____

Step 3 Debriefing the Evaluation

A review of the evaluation process helps point out what could be improved for the next time. Using the standards explained on page 54 of the manual, a debriefing can tie up all of the loose ends. Review the following items to see where processes can be refined during the next project.

1.0 Evaluation Planning

- an evaluation plan was developed _____
- the evaluation report covered the evaluation issues _____
- the report speaks to the relevance of the program for the people it serves _____
- the plan includes inquiries on how effective the program is _____
- were program budget and expenditure items included _____



2.0 Competency

- Did the evaluators have the knowledge /skills needed for the project? _____

3.0 Objectivity and Integrity

- Was there a situation where the evaluator had to declare a conflict of interest? _____
- Were the Evaluators held accountable for their performance? _____
- Were the evaluation expenditures are accounted? _____
- Did the commissioner receive good value for the evaluation dollars spent? _____
- Was the evaluation work completed within a reasonable time? _____

4.0 Consultation and Advice

- All of the necessary stakeholder were consulted _____
- Was the report reviewed by a peer group? _____

5.0 Measurement and Analysis

- Did the report contribute to management decision-making? _____
- Were the findings relevant to the issues addressed in the terms of reference? _____
- Did the findings flow from the evidence? _____
- Were the evaluation products useful to managers ? _____

6.0 Reporting

- The report was concise and clearly written _____
- There was enough information for a proper understanding of the findings _____
- the conclusions and recommendations flowed logically from evaluation findings _____
- the reader was provided with appropriate context to the evaluation _____
- The findings were an accurate assessment of the program results. _____
- The report provided relevant analysis and explanation of any significant problems _____
- The report contained clear and actionable recommendations _____

Reporting and Debriefing Have you.....??

1. Did you seek approval on the outline of the evaluation report?
2. Have you achieved consensus on the evaluative judgement?
3. Are the alternative explanations that would explain your findings?
4. Is your steering committee aware of the findings so far?
5. Have you drafted the evaluation report?
6. Is the communication strategy approved?
7. Is there agreement on the adjustments to the program?
8. Have you debriefed with the evaluation team?
9. Have you reviewed your performance against the evaluation standards?

