Program Evaluation Webinar Series
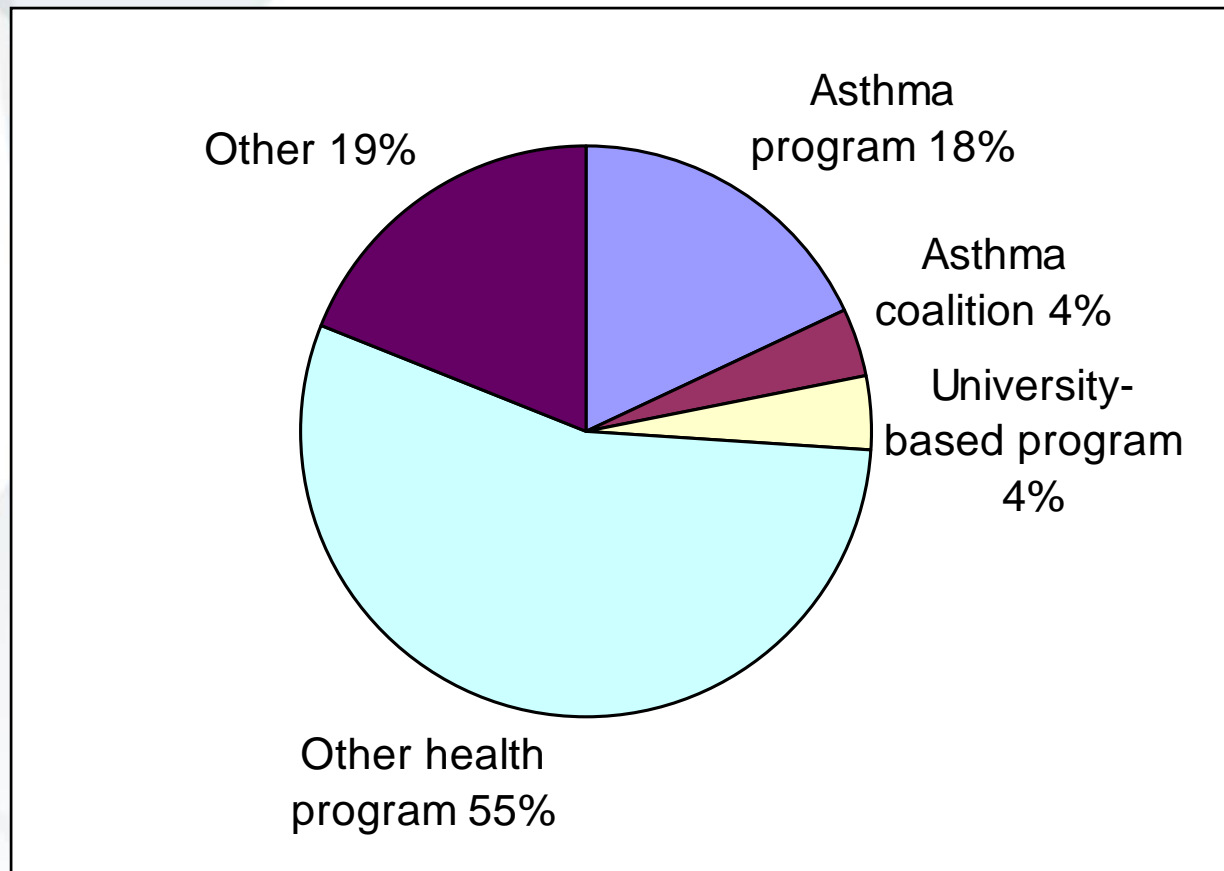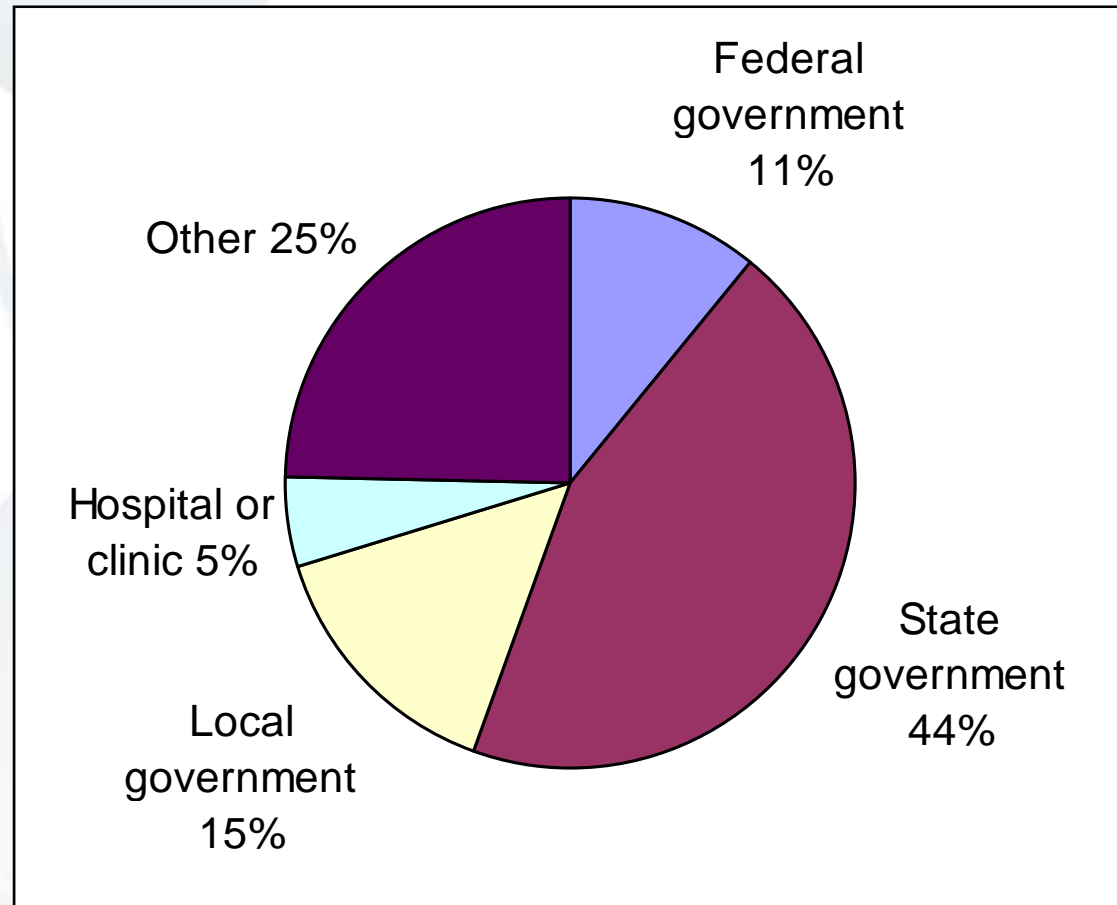
November 20, 2008

2-3:30 pm

Dial: (866) 527-8921
Access code: 71569136

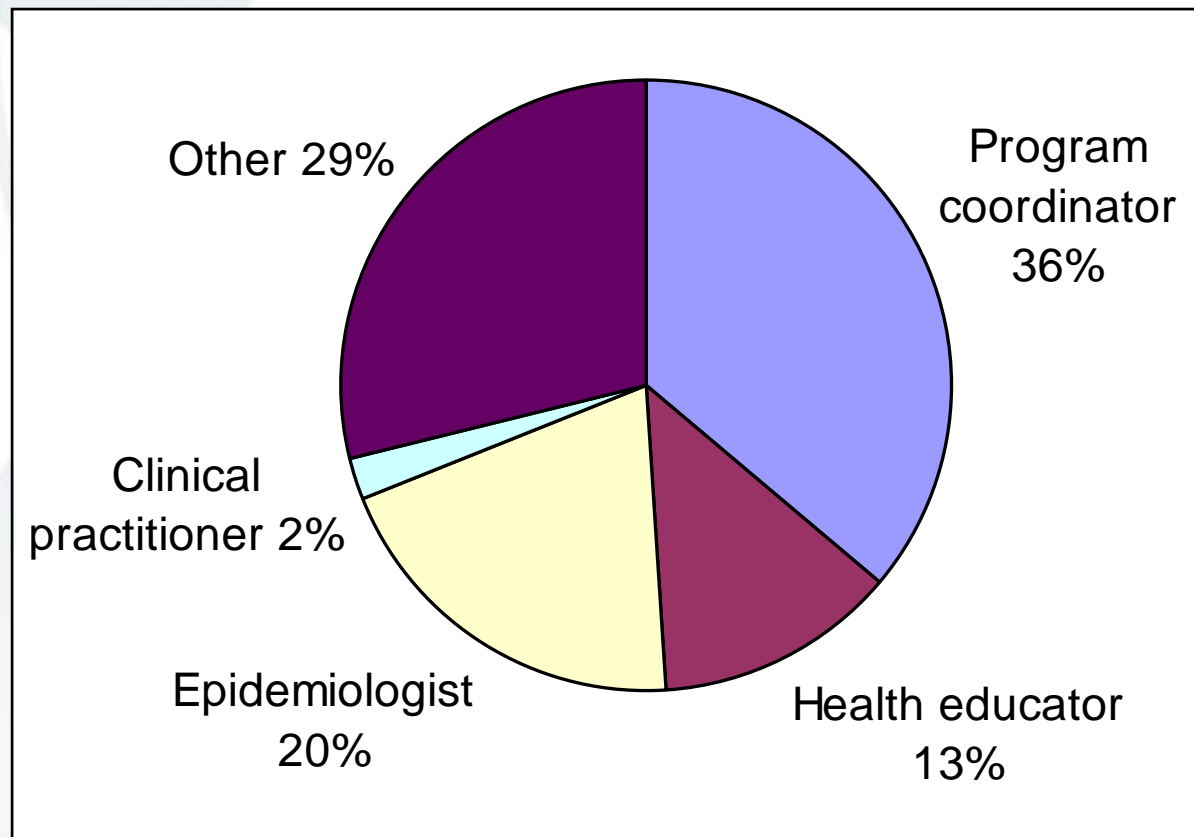*This Webinar series is sponsored by EPA and CDC.*

What best describes your program?

Is your program located in...?
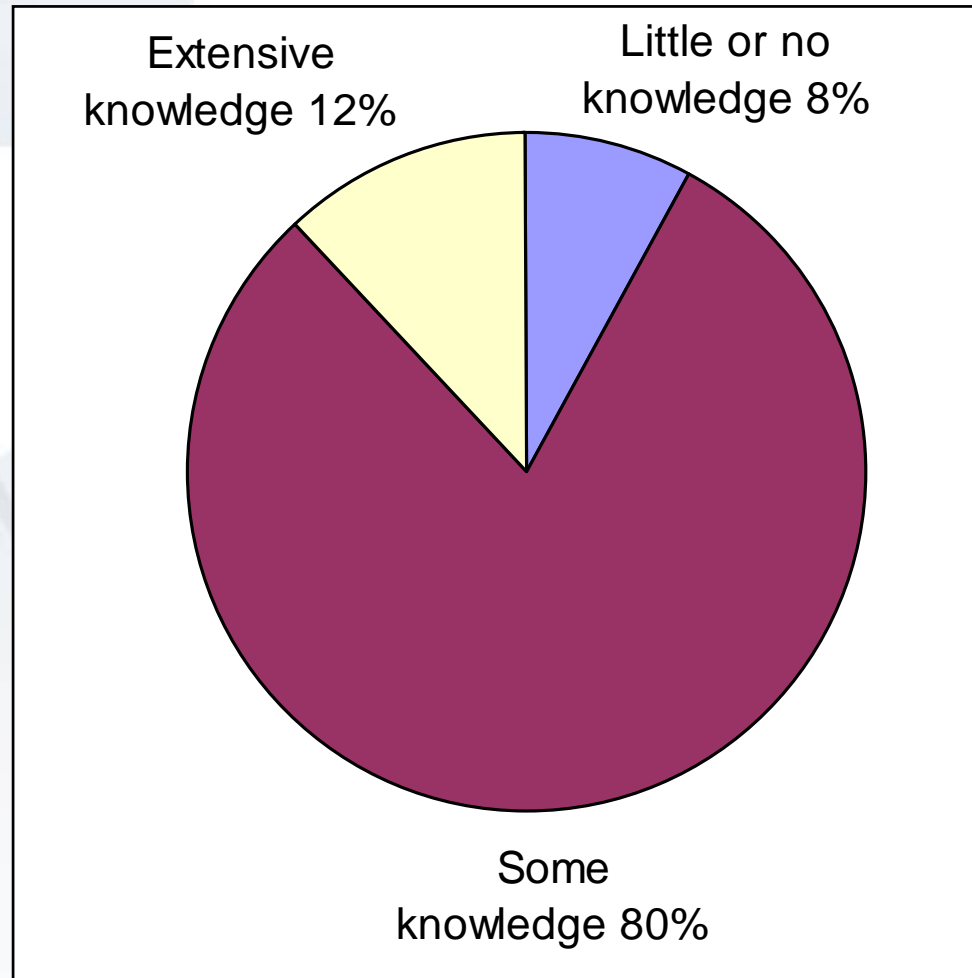
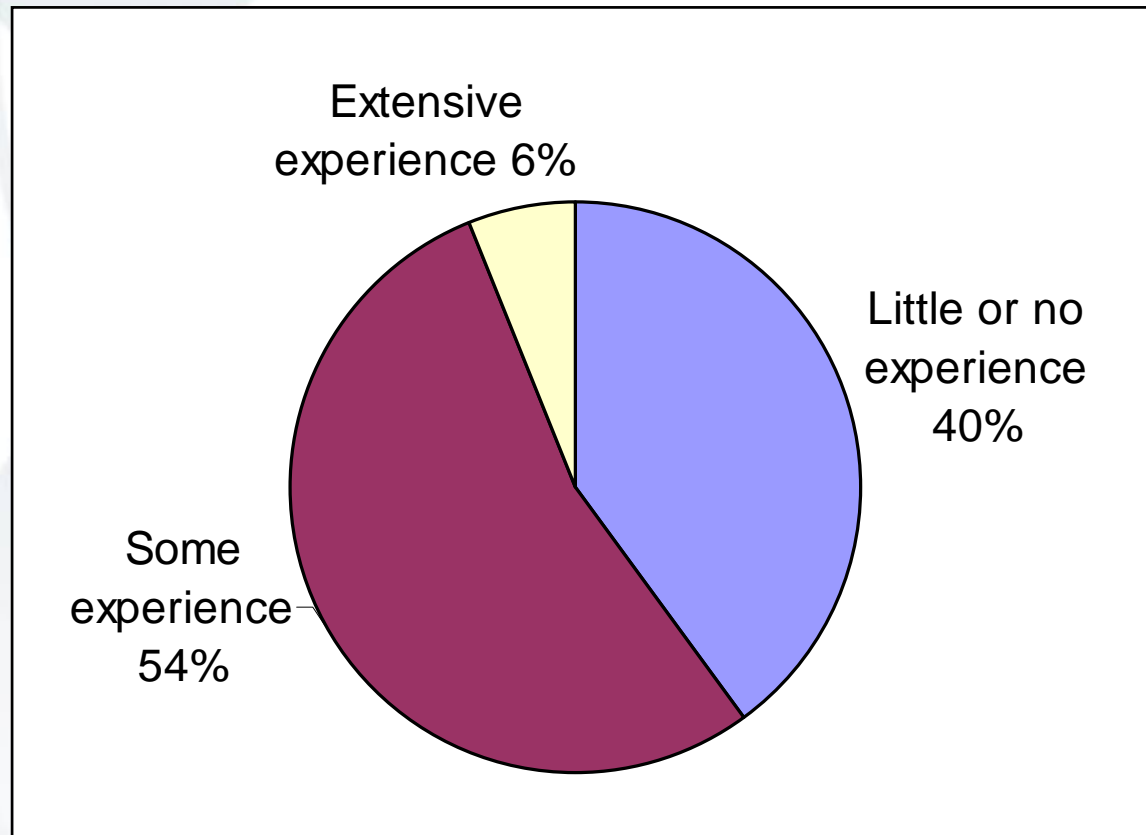# Which of the following best describes your current position?

What is your knowledge level about program evaluation?

Extensive knowledge 12%

Little or no knowledge 8%

Some knowledge 80%

What is your experience level in program evaluation?

Extensive experience 6%

Little or no experience 40%

Some experience 54%

Approximately how many years have you worked in program evaluation?
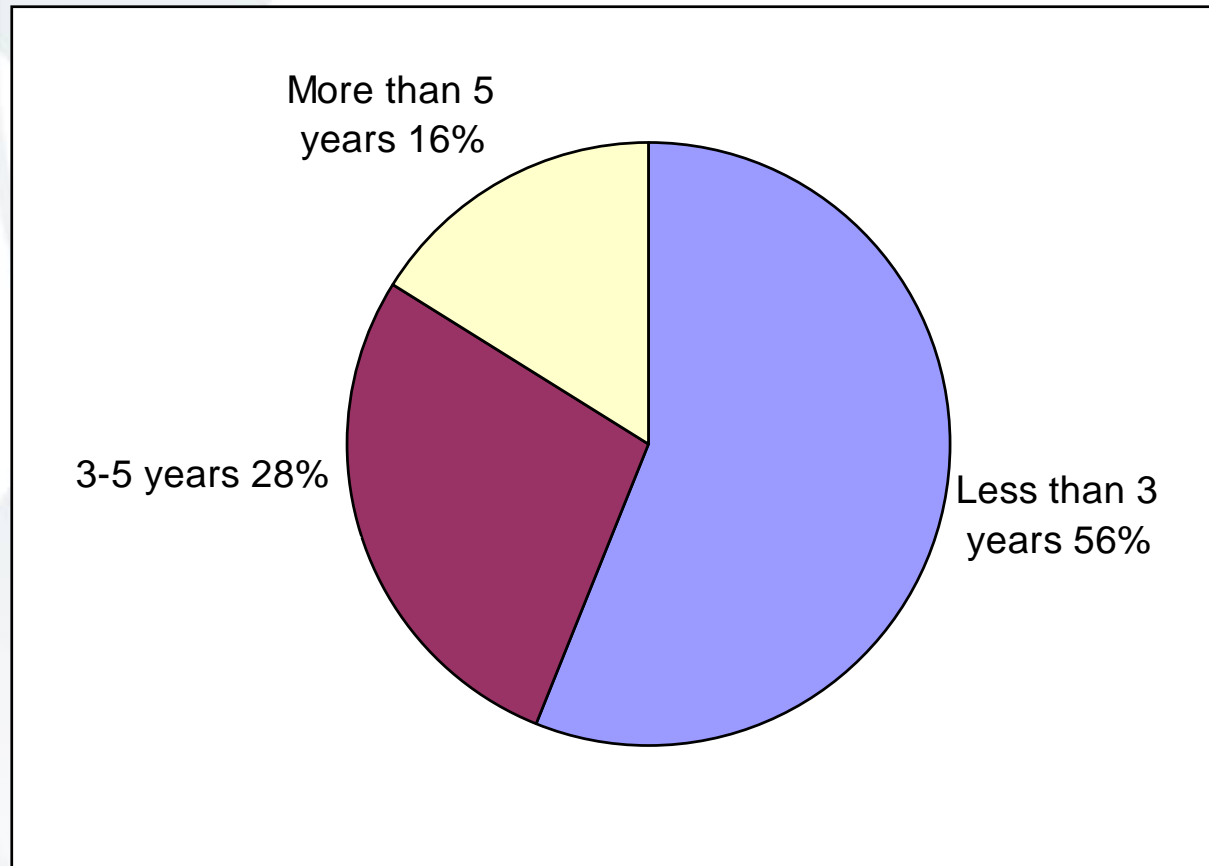
Engaging Stakeholders in Evaluation

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TKCIS, Centers for Disease Control & Prevention

&

Battelle Centers for Public Health

Research and Evaluation

What We Will Cover Today

- Briefly revisit...
  - ❖ Definition of evaluation
  - ❖ Difference between evaluation & research
  - ❖ CDC's Evaluation Framework

- The Who, Why, When & How of Stakeholders

- Tangible examples of engaging stakeholders

What is Evaluation?

"...systematic investigation of the merit, worth, or significance of an object."

CDC (1999, p. 2)

"...the systematic assessment of the operation and/or the outcomes of a program or policy, compared to a set of explicit or implicit standards as a means of contributing to the improvement of the program or policy..."

Carol Weiss (1998, p. 4)

"...the systematic collection of information about the activities, characteristics, and outcomes of programs to make judgments about the program, improve program effectiveness, and/or inform decisions about future programming."

Michael Patton (1997, p. 23)

Research vs. Evaluation

Research ← Systematic Methods → Evaluation
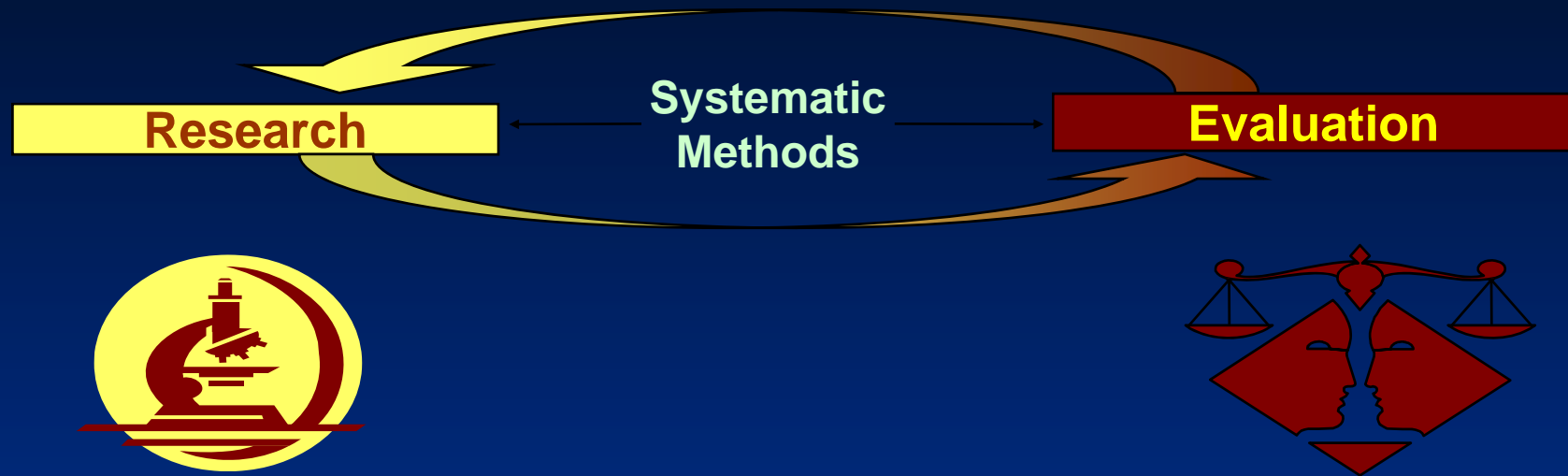
Research
- Systematic methods
- Purpose: Add to theory
- Generalizeable
- Researcher = Singular role
- Researcher-derived questions

Evaluation
- Systematic methods
- Purpose: Judge/Decide
- Context specific (often)
- Evaluator = Multiple roles
- Stakeholder-derived questions

"Research seeks to *prove*, evaluation seeks to *improve*..."

M.Q. Patton

If the Goal of Evaluation is…

… to improve a program

Then no evaluation is good unless findings are used to make a difference

Engaging Stakeholders

The Who, When, Why, & How of Stakeholder Engagement
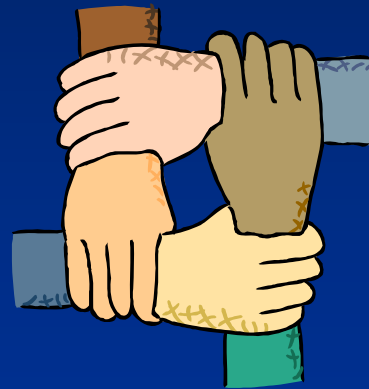
"Who" are the Stakeholders?

- Who are the stakeholders?

  - Persons involved in program operations

    - Example: Asthma program staff and partners

  - Persons served or affected by the program

    - Example: Participants in asthma interventions

  - Intended users of evaluation findings

    - Example: Policy makers, managers, administrators, advocates, funders, and others

Consider involving supporters and skeptics!

Which Stakeholders Matter Most?

Who is…
  Affected by the program?
  Involved in program operations?
  Intended users of evaluation findings?

Who do we need to…
  Enhance credibility?
  Implement program changes?
  Advocate for changes?
  Fund, authorize, or expand the program?

"Why" Engage Stakeholders?

- It is an important part of the CDC Evaluation Framework

- Stakeholders will add credibility

- Stakeholders may have resources to help

- Stakeholders may be critical to implementing or advocating for action

- You will build trust and understanding among program constituents

"Why" Would Stakeholders be Interested?

- Get answers to their questions

- Learn about evaluation

- Influence the design and methods

- Protect their constituents

- Motivated to help program succeed

CDC's Evaluation Framework
Step 1: Engage Stakeholders
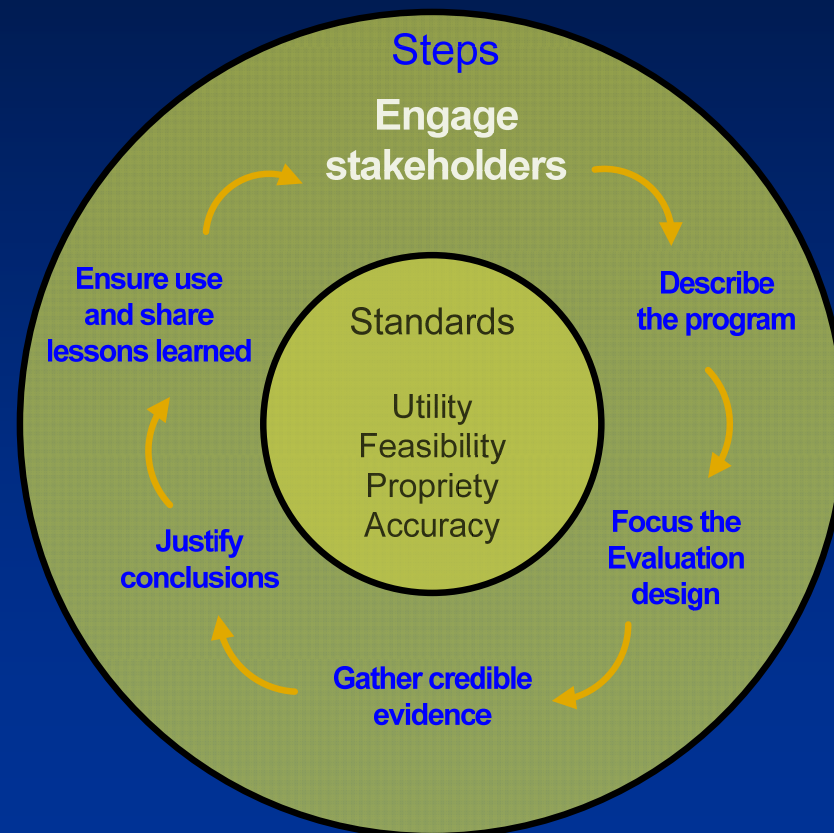
– MMWR, 1999
Framework for Program Evaluation in Public Health

"When" and "How" Can You Engage Stakeholders?

- You can use the CDC Evaluation Framework to engage stakeholders in identifying and prioritizing evaluation questions, selecting credible sources, and developing a plan for action based on evaluation results.

Which of the following are ways you might engage stakeholders?
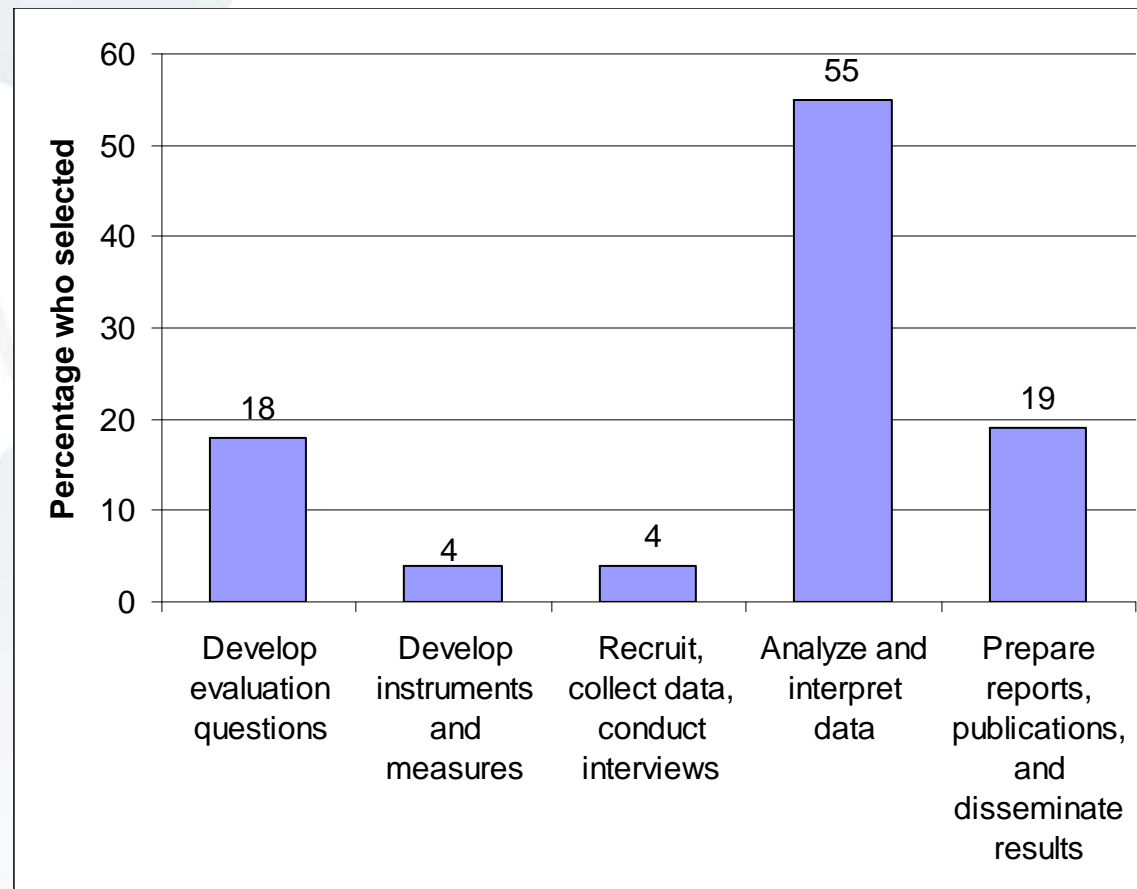
Which of the Following are Ways you Might Engage Stakeholders?

Answer is……

All of the above are possible….

But…

…..that doesn't mean that all are necessary!

It depends…..

How Depends on…

- Evaluator preference

- Stakeholder preference

- Resources

- Degree of trust or threats to credibility

- Other…

CDC's Framework & Stakeholders

- ***Step 1:** Engage stakeholders*

  - ❖ Who should be involved?

- ***Step 2:** Describe the program*

  - ❖ Do stakeholders share a vision of what the program does & its intended outcomes. Similar views? Diverse views?

- ***Step 3:** Focus the evaluation design*

  - ❖ What are the most pressing & important evaluation questions for stakeholders? What methods are available and preferred?

CDC's Framework & Stakeholders

- ***Step 4:** Gather credible evidence*

  - ❖ What evidence is regarded as credible to the stakeholders?

- ***Step 5:** Justify conclusions*

  - ❖ How do diverse stakeholders interpret the findings?

- ***Step 6:** Ensure use & share lessons learned*

  - ❖ Which stakeholders can play a role in disseminating results or acting on findings?

Any Questions?

Tangible Example #1 – Home Environment in Low Income Apts

- Intervention to improve indoor environment for children with asthma via following activities:
  - Provide education and training for apartment owners, building inspectors, maintenance vendors, and tenants regarding asthma triggers and housing codes
  - Work with city officials to enhance existing housing code
  - Promote smoke-free housing

Tangible Example #1 – Home Environment in Low Income Apts

- ***Step 1:*** *Engage stakeholders – who should you include? Possibilities include*
  - Affected families
  - Those who receive training (e.g., owners, inspectors, maintenance personnel, tenants)
  - Trainers
  - City officials responsible for housing code
  - Smoke-free advocates
- Note: This list may include advocates as well as those resistant to change – that's good!

Tangible Example #1 – Home Environment in Low Income Apts

- **Options for including stakeholders in Step 2: describing the program**
  - Obtain their views on the current indoor environment and the changes that are both desired and seen as realistic.
  - Which outcomes do they think are most important?
  - Which activities contribute to which outcomes *(you could use a logic model.... Stay tuned for the next Webinar in this series......)*

Tangible Example #1 – Home Environment in Low Income Apts

- ***Options for including stakeholders in Step 3: focusing the evaluation design***

  - What questions do they think are the most important to ask? For example, should the evaluation focus on changes to the housing code? On trigger reduction? Which triggers?

  - What is the best design? Is a pre-post design best? Should there be a control group? Are observational methods appropriate?

Tangible Example #1 – Home Environment in Low Income Apts

- **Options for including stakeholders in Step 4: gather credible evidence**

  - Are there stakeholders that can provide access to residents and/or translate if necessary?

  - Can the trainers help collect data before, during, or after each training? Other opportunities for data collection?

  - Will those who make or enforce policy be more influenced by information on environmental conditions, asthma symptoms, or medical care usage? In what form? Pictures? Stories? Numerical data?

Tangible Example #1 – Home Environment in Low Income Apts

- *Options for including stakeholders in Step 5: justify conclusions*

  - How do stakeholders view success?

  - Do stakeholders have alternative interpretations of the initial findings?

  - Do they perceive barriers you might have missed?

Tangible Example #1 – Home Environment in Low Income Apts

- **_Options for including stakeholders in Step 6: ensure use and share lessons learned_**
  - ❖ Are there stakeholders who could help disseminate information? An owner's newsletter? A tenant meeting? A neighborhood association?
  - ❖ Is information needed in a different form to prompt action?
  - ❖ Is there interest beyond the community involved in the intervention?

Tangible Example #1 – Home Environment in Low Income Apts

- What if you ignored stakeholders? Potential pitfalls include.....

    - Failure to ask important questions. For example, it may be important to know if tenants have access to quit smoking services.

    - Difficulty gaining access to or trust of program constituents. For example, will you gain access to data or to homes?

    - Failure to uncover unanticipated consequences. For example, if improvements are made, will rents increase?

    - Failure to communicate results in ways that are understood and/or accessible. For example, are there literacy or language issues? Cultural preferences?

    - Your evaluation may not lead to action!

Tangible Example #2 – Care Coordination across Health Systems

- Intervention to provide and integrate care coordination and case management for high-risk children with asthma. Involves standardizing protocols across care systems, including:

  - Medicaid HMOs

  - Home nursing agencies

  - Health departments

- Goal is to prove success and thus convince insurers to continue reimbursing case management services

Tangible Example #2 – Care Coordination across Health Systems

- How might stakeholder engagement be different in this example?

Tangible Example #2 – Care Coordination across Health Systems

- Different set of stakeholders, including insurers, case managers, families, health system administrators

- Different outcome questions, including questions focused on sustainability of the intervention

- Different stakeholder preferences for data types (i.e., value quantitative data more highly)

- Different types of credible evidence, such as showing cost savings

- Different interest and/or ability to participate in evaluation, including mix of busy executives and case managers

- Different political environment

Tangible Example #3 – Daycare Education

- Intervention to train childcare providers to identify triggers and to manage children with asthma. Intervention reaches out to:

  - Large daycare centers

  - Licensed home daycare programs

- Participation is encouraged through continuing education credits

- Long term goal to expand beyond pilot providers to larger community

Tangible Example #3 – Daycare Education

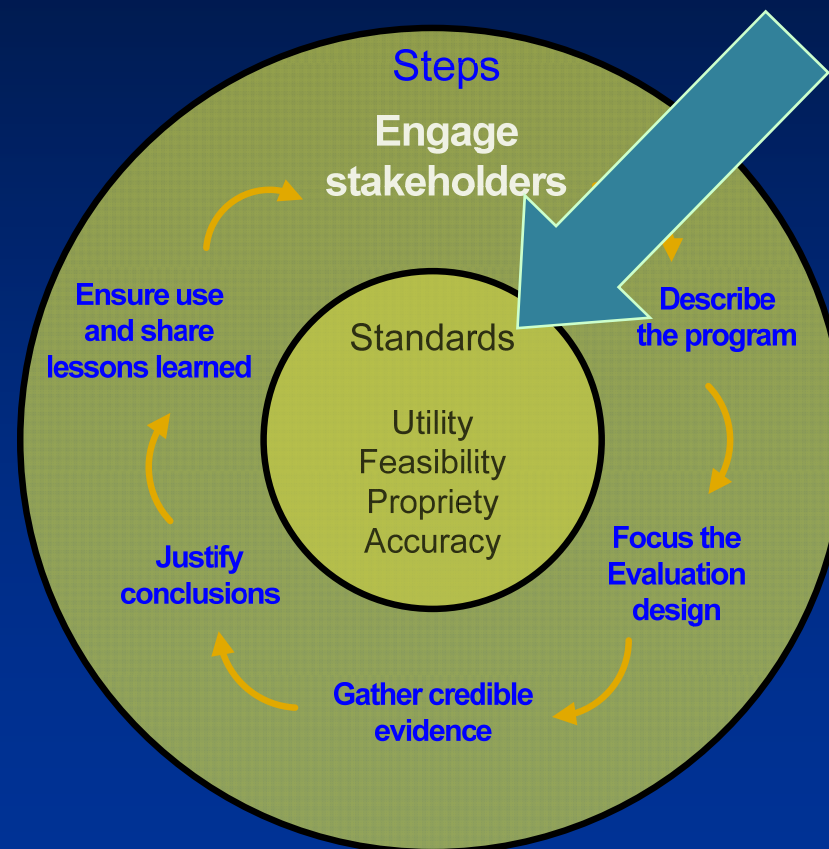- How might stakeholder engagement be different in this example?

Tangible Example #3 – Daycare Education

- Different set of stakeholders, including trainers, daycare providers, licensing boards, families

- Different outcomes of potential interest, including behavior change, environmental outcomes, evidence to support decision to expand beyond pilot

- Different design mix (i.e., consider pre-post, control)

- Different data collection methods (i.e., stories may be important)

- Different audience for results

Any Questions?

CDC's Evaluation Framework Standards

Steps

Engage stakeholders

Ensure use and share lessons learned

Describe the program

Standards

Utility
Feasibility
Propriety
Accuracy

Justify conclusions

Focus the Evaluation design

Gather credible evidence

– MMWR, 1999
Framework for Program Evaluation in Public Health

The Four Standards

- *Utility*: Who needs the information and what information do they need?

- *Feasibility*: How much money, time, and effort can we put into this?

- *Propriety:* What steps need to be taken for the evaluation to be ethical?

- *Accuracy:* What design will lead to accurate information?

Tangible Example #4-
Asthma Program Monitoring System

- In July 2006 CDC's Asthma Control Program began engaging representatives of multiple state asthma control programs to:

  - Develop the content of a monitoring system with a focus on 3 components of state asthma programs: (1) Partnerships, (2) Surveillance, (3)Interventions

- Different from previous examples- dealing with multiple sites not a specific locality

Tangible Example #4
Asthma Program Monitoring System

■ Purpose:

❖ Develop a strategic, systematic approach to collecting information about our program activities, progress, & accomplishments across all funded states.

■ Stakeholders directly involved:

❖ CDC Air Pollution & Respiratory Health Branch

❖ Funded State Asthma Programs

Tangible Example #4
Asthma Program Monitoring System

- **Followed steps of CDC Framework**

- **Highly collaborative endeavor**

- **General steps:**

  - ❖ CDC internal workgroup identifies core information needs & drafts survey instrument

  - ❖ State workgroup members review instrument, pilot test, provide pilot data & comments

  - ❖ CDC internal workgroup discuss comments & modify

  - ❖ Iterative process

Standard: Utility

Ensures that the information needs of intended users are met.

- Who needs the evaluation findings?

- What do the users of the evaluation need?

- Will the evaluation provide relevant (useful) information in a timely manner?

Tangible Example #4
Asthma Program Monitoring System

- Utility:
  - Why does CDC need the information? How will it be used?
  - Mock reports developed to facilitate conversations about potential use
  - States engaged in discussions about how to make useful for them

Standard: Feasibility

Ensures that evaluation is realistic, prudent, diplomatic, and frugal.

- Are the planned evaluation activities realistic given the time, resources, and expertise at hand?

Tangible Example #4
Asthma Program Monitoring System

- Feasibility:
  - Carefully selected "need to know" information
  - Pilot tests & review by states
    - What information do you already have?
    - How feasible is it for you to obtain?
    - How long did it take to locate information & fill out form?
  - Balance between feasibility & utility

Standard: Propriety

Ensures the evaluation is conducted legally, ethically, and with due regard for the welfare of those involved and those affected.

- Does the evaluation protect the rights of individuals and protect the welfare of those involved?

- Does it engage those most directly affected by the program and by changes in the program, such as participants or the surrounding community?

Tangible Example #4
Asthma Program Monitoring System

- Propriety:
  - Extensive involvement of states
  - Open, honest dialogue
  - Responsive environment
  - Top-down & bottom-up

Standard: Accuracy

Ensures that the evaluation reveals and conveys technically accurate information.

- Will the evaluation produce findings that are valid and reliable, given the needs of those who will use the results?

Tangible Example #4
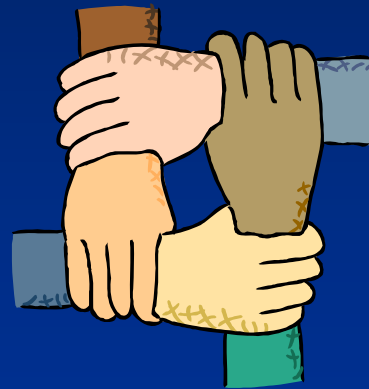# Asthma Program Monitoring System

- Accuracy:
  - Pilot tests & review by states
    - Anything you had to guess on?
    - Anywhere that quality of information provided is questionable?
    - Ways to revise questions or collect information that would help to improve accuracy?

Engaging Stakeholders

Some closing thoughts

What we have reviewed

- Goal of evaluation & role of stakeholders

- Who to engage as stakeholders

- Why it is important to engage stakeholders

- When & how to engage stakeholders

- Stakeholder involvement across all steps of CDC framework & in fulfilling standards

- Examples: Single & multiple sites

Tips for Engaging Stakeholders

- Identify the most important stakeholders

- Understand and respect their values

- Ascertain their interest and their needs for information

- Understand and be sensitive to power relationships

- Identify any conflicts of interest

- Assess constraints on their participation

- Enable their participation

- Assess appropriate tools and techniques

- Create a plan for stakeholder involvement

- Seek feedback and adjust as needed

THANK YOU!

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References

Centers for Disease Control and Prevention. Framework for program evaluation in public health. MMWR 1999;48(No. RR-11). Available at: www.cdc.gov/eval

Patton, M.Q. (1997). *Utilization-Focused Evaluation.* Thousand Oaks: Sage Publications.

U.S. Department of Health and Human Services. Centers for Disease Control and Prevention. Office of the Director, Office of Strategy and Innovation. Introduction to program evaluation for public health programs: A self-study guide. Atlanta, GA: Centers for Disease Control and Prevention, 2005. Available at: www.cdc.gov/eval

Weiss, C. (1998). *Evaluation: Methods for Studying Programs & Policies.* Prentice Hall.

Thank you for Joining Us!

- Please provide your feedback using the Question and Answer pane.
  - Would it be helpful to you to have continuing education credit for these Webinars?
  - What type of continuing education credits are applicable for your profession?
- Archive of this Webinar will be posted to: www.AsthmaCommunityNetwork.org
- Save the Date! Our next Webinar in the series will be:
  - December 17, 2008, 2-3:30 pm

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