EASY EVALUATION
A PRACTICAL APPROACH TO PROGRAMME EVALUATION

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SHORE & WHARIKI RESEARCH CENTRE

SHORE Whariki

MASSEY UNIVERSITY
TE KUNENGA KI PŪREHUROA

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PUA WANANGA
CLEMATIS PANICULATA

The Pua-wānanga (Clematis Paniculata) and the Pua-hou (Pseudopanax Arboreus) both have beautiful white flowers and their stories, in Māori heritage traditions, relate to connections with the stars. The Pua-wānanga is associated with Rehua referred to as Sirius or the dog star: Te Pūtahi-nui-o-rehua. Pua-hou is associated with Puanga or Puanga-kai-rau known as Rigel in the Orion group.

Pua-wānanga has large white flowers with 6 or 7 white petals and flowering occurs in spring with cascades of white blooms decorating the canopy of the native bush. The Puahou has tiny white flowers with 5 petals which appear in mid winter.

Both Matariki (Pleides) and Puanga are associated with the winter months and times of reflection, anticipation, prediction and higher learning. Rehua in some Māori traditions was known as the lord of the year or the annual cycle.

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About the authors

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Pauline is an evaluator and researcher. She leads the evaluation team and has responsibilities for planning and conducting evaluation and research across a range of sectors and settings. She leads the content, design and delivery of national evaluation training for public and community health workers funded by the Ministry of Health. Pauline also teaches a masters level paper in programme evaluation and coordinates and teaches papers in the Certificate of Public Health. Her particular research interest is mental health and wellbeing.

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Jeff is a qualitative researcher and evaluator. His particular evaluation and research interests are sexuality, gender and health; but he has experience across a range of other public health topics. Jeff also teaches programme evaluation methods and supports the development of evaluation practices in community-based health and social service organisations. He teaches in the Certificate of Public Health.

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Lanuola's research interest is Pacific people's wellbeing and most of her research projects have touched on some aspect of this. Since being at SHORE she has been involved in survey work and evaluation. Lanuola delivers national evaluation training to public and community health workers and is involved in the delivery of the Certificate of Public Health.

BELINDA BORELL, MPHIL (DISTINCTION)

Belinda (Ngāti Ranginui, Ngai Te Rangi, Whakatōhea) is an emerging Māori researcher with a particular interest in rangatahi Māori. She has completed her Masters thesis, 'Living in the City Ain't So Bad: Cultural Diversity of South Auckland Rangatahi'. Belinda has worked as an impact evaluator for community action projects on youth, alcohol and drugs and is moving into research management. Belinda is also currently undertaking a PhD at Massey University. She delivers national evaluation training and teaches in the Certificate of Public Health.

Introduction

This resource has been written for people who are planning and implementing public health programmes to assist them to understand what evaluation is and to provide guidance when undertaking evaluation activities. While it is intended as an introductory guide for public health practitioners the manual will also be useful for those undertaking programme evaluation in other fields.

The resource is presented in two parts. ***Part One: About Evaluation*** provides an overview of evaluation theory, approaches and design as well as a discussion of evaluation ethics and standards. ***Part Two: Putting Evaluation into Practice*** describes a framework for implementing evaluation and practical tools for conducting programme evaluation.

Links to further reading have been included for those wanting to access more detail about evaluation and specific data collection methods. By using this resource, practitioners will be able to engage with evaluation in a way that supports their public health programmes.

Learning more about evaluation enables public health practitioners to examine their practices and how to improve them. It is about prioritising time for reflection on whether programmes are worth doing and setting aside time for systematically thinking about the value of what is being implemented.
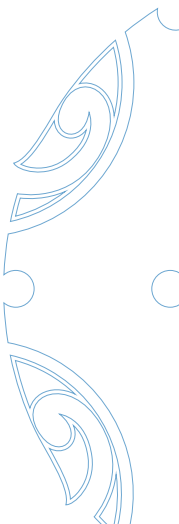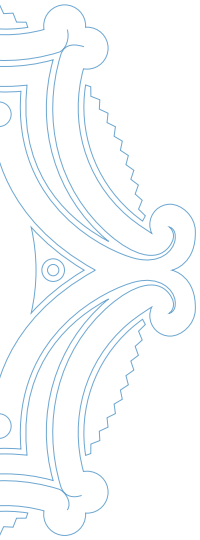
PART ONE :
ABOUT EVALUATION

What is evaluation?

In public health, and in lots of other fields of practice such as social and community services, it is important to know whether projects and programmes being delivered are working well. One of the main ways of doing this is through conducting programme evaluation.

INFORMAL EVALUATION

Evaluation is an activity that occurs in everyday life – judgements are made about what to wear, which car to buy and where to go on holiday. This type of evaluation activity is often done without thinking about it, but it is still evaluation. We decide whether things are valuable or unimportant, worthwhile, or not 'worth it'; whether things are good or bad, right or wrong or indifferent. By choosing, deciding, accepting or rejecting something, evaluation is being undertaken. In this respect evaluation is an informal and everyday activity which happens naturally in daily life.

FORMAL EVALUATION

For evaluation to be useful in public health a formal approach is necessary. While many things relevant to public health can be evaluated systematically, the focus for this resource is on evaluation undertaken on projects, programmes and policies. This type of evaluation is often referred to as programme evaluation.

The word evaluand is often used in books, articles and reports about evaluation. This word refers to the object of the evaluation – so the evaluand might be the project, the programme, or the policy that is to be evaluated.

Broadly speaking programme evaluation is concerned with making assessments about how well a programme, project or policy is working. However, defining evaluation is a little tricky because there is not agreement among evaluation theorists and practitioners about how to define it. However, one commonly used definition of evaluation is:

> Evaluation is the process of determining the merit, worth and value of things (Scriven, 1991, p.1)

Scriven's definition signals that the main purpose of evaluation is to determine the quality or value of a programme by making formal judgements about it in the interests of society and consumers. Other evaluators emphasise the key purpose of conducting an evaluation is to learn

about the programme so that action can be taken. This action is typically taken to assist with the programme's development and sustainability. Another main reason evaluation is undertaken is for accountability to the funder and other stakeholders.

INTERNAL AND EXTERNAL EVALUATION

Evaluation can be undertaken by people within the organisation in which the programme or project is being delivered (i.e. internal evaluation), or the evaluation can be undertaken by people outside of the organisation (i.e. external evaluation). Scriven (1991, p.61) had this to say about the issue:

> The trade-offs between external and internal are roughly as follows: The internal evaluator knows the program better and so avoids mistakes due to ignorance, knows the people better and hence can talk to them more easily, will be there after the evaluation is finished and hence can facilitate the implementation, probably knows the subject matter better, costs less, and is sure to know some other comparable projects for comparison. The external evaluator is less likely to be affected by personal or job benefit considerations, is often better at evaluation, has often looked closely at comparable programs, can speak more frankly because there is less risk of job loss or personal attribution/dislike, and carries some cachet from externality.

There are times when either internal or external evaluation might be more suitable. No matter who undertakes the evaluation it is desirable that public health practitioners undertake thoughtful, reflective evaluation practices in their everyday work. Some people call this developing a culture of evaluation.

EVALUATION IS DIFFERENT FROM RESEARCH, MONITORING AND AUDIT

In public health the terms evaluation, research, monitoring, and audit are sometimes used interchangeably and it can be confusing to work out the difference between them. In Table 1 the key characteristics of evaluation, research, monitoring, and audit are noted. You will see in some areas there are similarities, but in other areas there are differences. To make things a little more tricky people sometimes use these terms inconsistently. So when these terms are used, it is important to check out how the term is being used.

Table 1 : Evaluation, research, monitoring and audit

EVALUATION	RESEARCH	MONITORING	AUDIT
Systematic assessment	Systematic, but not an assessment	Systematic, but not an assessment	Systematic assessment
Asks questions about: • quality (merit) • value (worth) • importance	Asks questions about: • the state of the world • relationships between variables	Seeks to: • describe	Seeks to: • examine • verify • inspect
Underpinned by data collection	Underpinned by data collection	Underpinned by data collection	Underpinned by data collection
Purposes: • learning • development • accountability	Purposes: • new knowledge • explanation • contribution to theory	Purposes: • description • keep track of	Purposes: • ensure compliance with pre-set standards or practice or models

(adapted from: McKegg, 2007, Evaluation presentation for SHORE & Whariki)

What makes evaluation unique is that the focus is on the systematic determination of the quality, value or importance of something such as a programme in order to take action rather than just describe the programme. Social science methodologies (quantitative and qualitative data collection and analysis methods) help an evaluator gather and interpret descriptive information about the activities, characteristics and outcomes of a project or activity. Evaluation uses methodological tools and techniques to gather data so the evaluator can make a judgement about quality, value and importance.
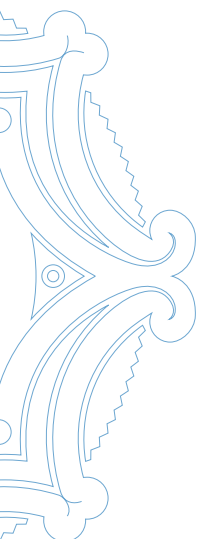
Approaches to evaluation

There are a wide range of approaches to evaluation and one way to make sense of these approaches is depicted in the evaluation theory tree (below) developed by Christie and Alkin (2013).

Figure 1: The evaluation theory tree (Alkin, Christie, & Vo, 2013, p.388)
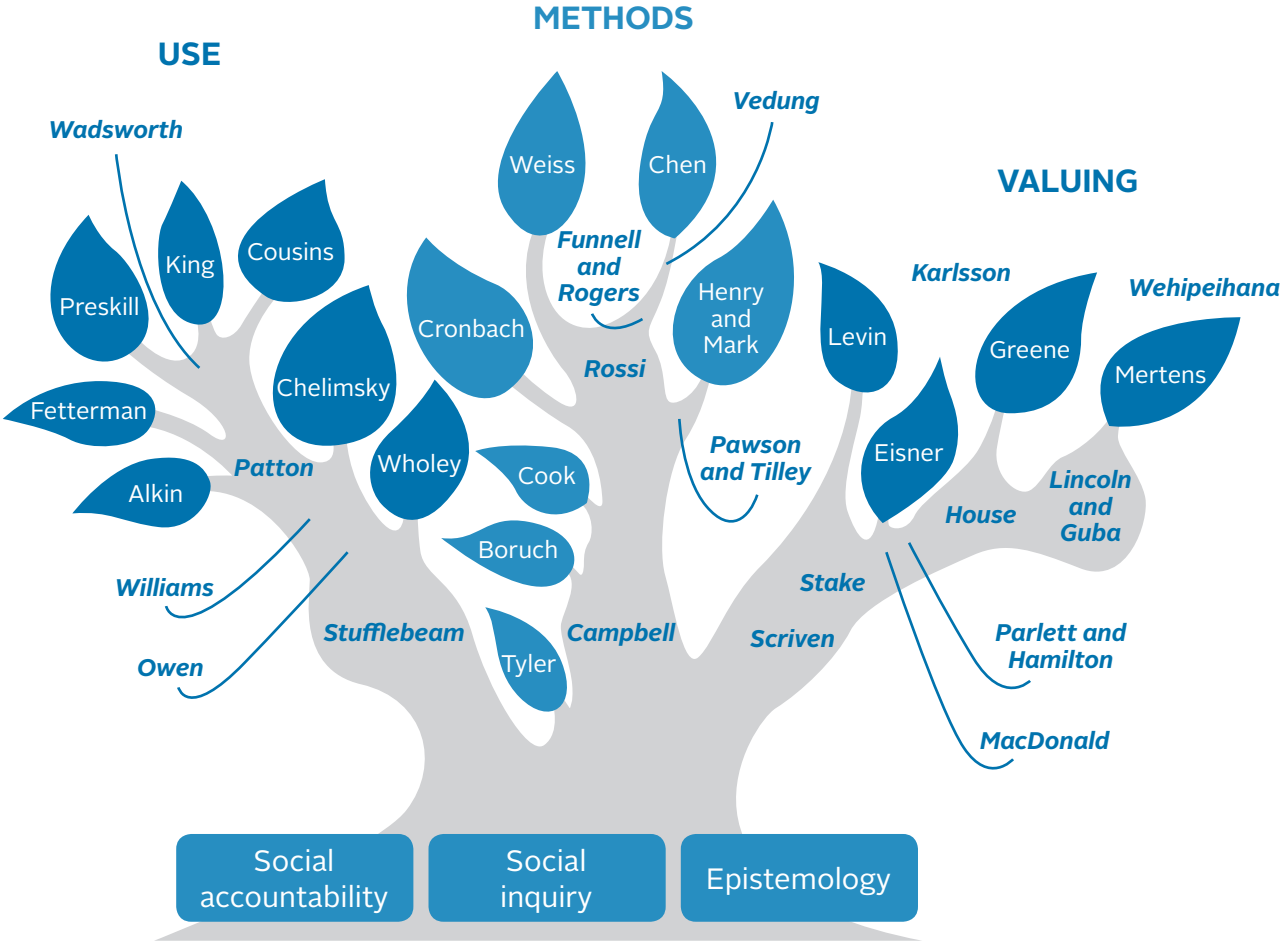
The tree has a trunk 'rooted' in the foundations of accountability and systematic social inquiry and these can be considered the foundations for evaluation. From these roots three branches have been developed which cover the main approaches to evaluation: use, methods and value.

Use branch: Evaluation approaches on this branch are concerned with how evaluation information will be used both during the evaluation and the end-use of findings.

Methods branch: This is the main branch and evaluation approaches on this branch are mostly guided by the specific techniques used in the conduct of evaluation studies.

Value branch: The approaches on this branch establish a key role for an evaluator in valuing (ie. placing value on data collected to determine the quality and success of the evaluand) (Christie & Alkin, 2013).

There have been some earlier criticisms of the evaluation theory tree. Mertens and Wilson (2012) noted the tree is focused on white, male, American evaluators and others have noted it is dominated by evaluators with sociology and psychology backgrounds. To address some of the shortcomings Mertens and Wilson (2012) suggested adding a fourth branch to the tree – Social justice (Figure 2). This branch would focus "on furthering social justice and it includes evaluators
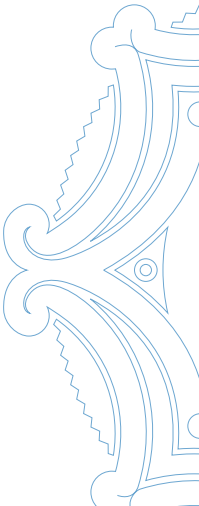
who develop theoretical frameworks based on cultural responsiveness, race/ethnicity, human rights, feminist, disability rights, deafness, indigenous, and queer theories" (p.40). The branches on the tree illustrate that the main approaches to evaluation are not mutually exclusive but interact and inform each other.

Figure 2: Mertens and Wilson's theory tree
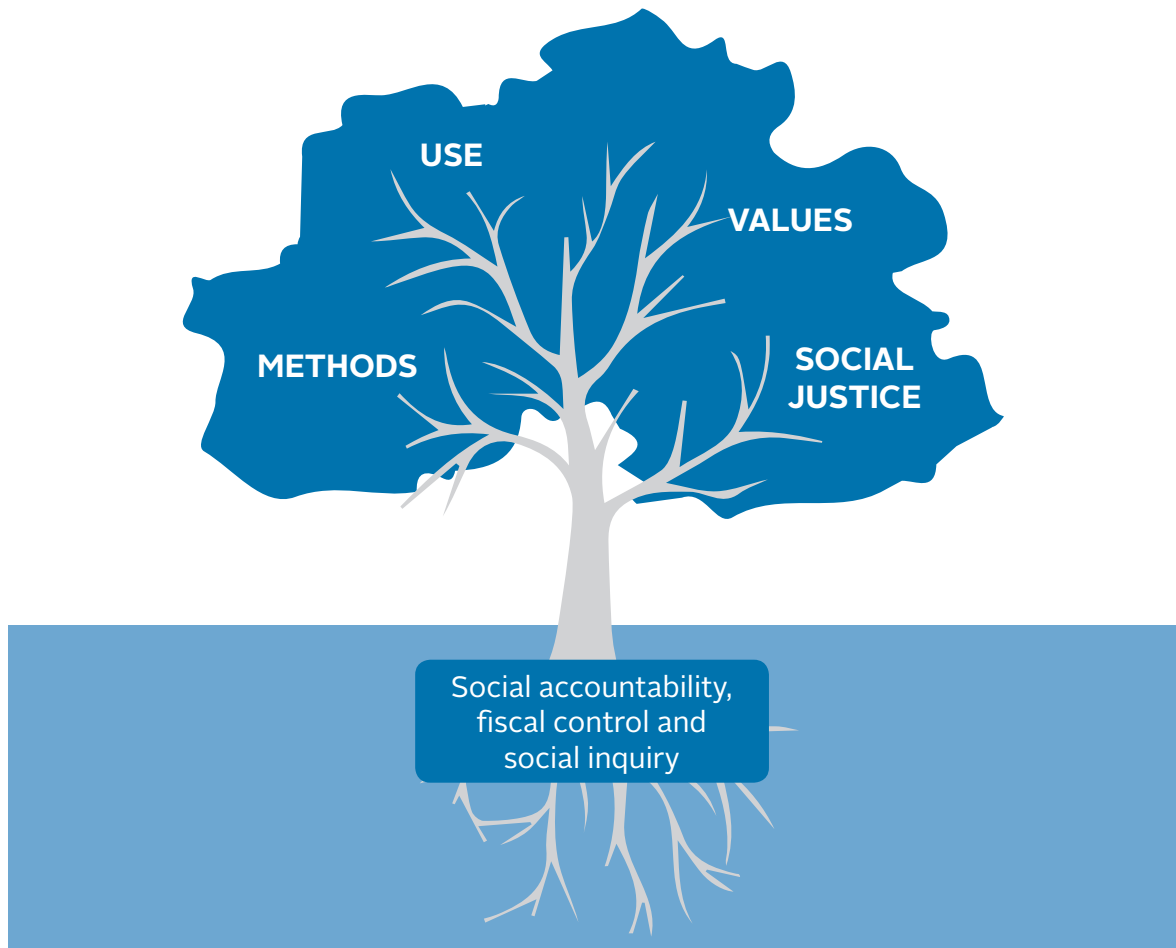
In summary, there are many approaches to evaluation. The four branches are a way of grouping the main approaches to evaluation. It is important to note one approach is not necessarily better than another – they are just different. As evaluators the approach taken will usually reflect stakeholder needs.

Evaluation in New Zealand

Some features of Aotearoa New Zealand society impact on how evaluation is conducted in New Zealand.

TE TIRITI O WAITANGI

Evaluation in Aotearoa New Zealand raises obligations to be considered under the Treaty of Waitangi (Lunt, Davidson, & McKegg, 2003). The Treaty of Waitangi is an agreement between the tribes of New Zealand and the Crown. In a practical sense, the Treaty enabled a British Governor of New Zealand to be established, recognised Māori ownership of lands and resources and granted British citizenship rights to Māori. More broadly, the Treaty outlined each party's rights and obligations to each other in the development of the nation and has become an intrinsic framework for having genuine and respectful relationships with Māori groups, organisations and communities.

The Treaty is important in conceptualising and understanding health disparities between Māori and non-Māori and marks a fundamental point of difference in policy, practice, research and evaluation between Aotearoa New Zealand and other colonised territories. While a common interpretation of the Treaty highlights the importance of principles like partnership, protection and participation, there are many related considerations to reflect on when seeking to enact a bicultural way of working. The Treaty provides a useful starting point for researchers and evaluators from which to negotiate important aspects of their work including issues related to diversity, respect, control, ownership, equity, participation and knowledge transfer.

ASPECTS OF BEST PRACTICE IN A BICULTURAL WAY OF WORKING

As mentioned above the Treaty provides a framework for best practice. Some more aspects are discussed in the Ethics section.

Respectful relationships

As with all levels of engagement between different parties, the importance and nature of relationships are critical. Central to any relationship is a shared understanding of the kaupapa, (the goals, benefits, risks and intended outcomes) that bind the parties. In this sense, negotiating how power is shared (or not) within the groups involved will contribute to later processes and practice. A context in which bicultural considerations are seen as an 'add on' component for expediency rather than as a genuine reflection of (the needs of Māori communities) Māori agency may compromise the evaluation in a number of ways; for example Māori may choose not to participate, results may be of no use to Māori or, may see evaluation as a destructive activity. Numerous best practice guidelines encourage practitioners to engage with relevant Māori groups and communities as early as possible to ensure maximum effectiveness.

> Relationships and processes are a key part of evaluation in general and are often discussed in relation to Māori evaluation. Whakapapa, trust, long-term reciprocal relationships, participatory, power-sharing arrangements and the need for flexibility and reflection are common themes. This is often echoed by programme providers in the processes that they use in developing and implementing projects with Māori. It is a challenge for evaluators to reflect and legitimate these approaches. (Moewaka Barnes, 2009)
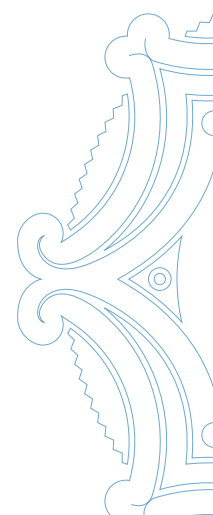
Accountability

Prudent professionals are often intrinsically aware of the accountabilities they are required to manage. This can involve accountabilities to employers, funders, collaborators, consumers and possible external communities. While many researchers and evaluators have multiple accountabilities, this is especially so for Māori professionals. Their accountabilities may not only be more numerous, they may also be more complex and ongoing. Employing a greater degree of flexibility and responsiveness to the importance and complexity of various accountabilities and obligations should be negotiated as early as possible. Consideration should also be given to the accountabilities to Māori organisations and communities that may continue beyond any particular research or evaluation project.

MAORI APPROACH TO EVALUATION

By Māori for Māori

Helen Moewaka Barnes (Ngati Wai/Ngati Hine/Ngati Manu) the Director of Te Ropu Whariki. has produced a guide to programme evaluation by and for Māori. The book presents Hikoi, the conceptual model under which the Whariki Research Group carry out programme evaluation (Moewaka Barnes, 2009). In this book she notes:

> There are many different descriptions of Māori evaluation. Different words are also used to name a range of theories, approaches and methods. They include culturally responsible evaluation, culturally appropriate evaluation, culturally sensitive evaluation, Māori-relevant evaluation, Māori-focused evaluation, Māori models of evaluation, Kaupapa Māori, Māori evaluation tools, Māori frameworks, Māori paradigms, and indigenous protocols for evaluation (p.9).

She also identifies understandings that are often common to Māori evaluation which include:

- It is controlled and owned by Māori

- It meets Māori needs (although it may meet other needs as well)

- It is carried out within a Māori worldview, which is likely to question the dominant culture and norms

- It aims to make a positive difference (p.9).

Evaluation in a Māori context

Nan Wehipeihana (Ngati Porou, Te Whanau-a-Apanui, and Ngati Tukorehe) conceptualises evaluation using multiple levels/layers and perspectives. She designs evaluations for Māori contexts and translates policy into practice and practice into policy – primarily but not exclusively in Māori settings. She is particularly interested in what constitutes quality evaluation and communication of evaluation findings (Rogers & Davidson, 2013).

Māori concepts in evaluation

Fiona Cram (Ngati Kahungunu) showed how Māori concepts can be incorporated into evaluation theory and practice. These concepts include:

- Whanaungatanga (building and maintaining relationships in the Māori context)

- Manaakitanga (respect for hosts, generosity, and genuine sharing in the research process)

- Aroha (treating people with respect on their own terms)

- Mahaki (sharing knowledge with humility)

- Mana (taking care to respect people's dignity)

- Titiro, whakarongo… korero (taking care to observe and listen before, and maybe instead of, speaking)

- Kia Tupato (being culturally safe, politically astute, aware of their insider/outsider status, and alert to how the research or evaluation process can unravel unexpectedly)
  (Rogers & Davidson, 2013)

VALUING APPROACH TO EVALUATION

Several New Zealand evaluators use approaches consistent with the valuing branch of the theory tree.

E. Jane Davidson is known for the explicit incorporation of values in evaluation so that values (i.e. what is good, bad or indifferent in relation to a programme/ project/policy) are clearly visible and transparent through the use of evaluative rubrics. Evaluative rubrics are used to "make the underlying values explicit and then to synthesise them with performance evidence to draw evaluative conclusions" (Davidson, 2005, p.378).

METHODS APPROACH TO EVALUATION

New Zealand evaluators working in a way consistent with the methods branch of the evaluation theory tree include:

Adrienne Alton-Lee is the chief education advisor for the New Zealand Ministry of Education's Best Evidence Synthesis (BES) programme. The BES involves a series of systematic reviews and syntheses of the evidence about a range of educational interventions.

Bob Williams has been particularly involved in linking systems science and evaluation and has brought together a critical mass of people to explore these methods (Rogers & Davidson, 2013).

PACIFIC APPROACH TO EVALUATION

Pacific peoples come from many island nations in the Pacific Ocean. The larger groups in Aotearoa New Zealand are from Samoa, Cook Islands, Tonga, Niue, Fiji, Tokelau, and Tuvalu. There are also small communities from Tahiti, Solomon Islands, Kiribati, Vanuatu and Papua New Guinea. The term 'Pacific' is an umbrella term used by government departments and agencies to categorise people from Pacific nations. Each nation has its own language and culture and some nations have many dialects and languages. For example, across the Cook Islands there are different Cook Islands Māori dialects as well as Pukapukan, which is considered a separate language. Papua New Guinea has more than 800 different languages and Vanuatu more than 100.

The variation across and within the Pacific nations means that when it comes to evaluation 'one size does not fit all'.

Evaluators tend to take either a 'Pan-Pacific' or 'ethnic specific' approach. There are advantages and disadvantages for each approach. 'Pan-Pacific' refers to an approach involving all Pacific nations and so may make it easier to reach participants. The disadvantage is that Samoans make up half the Pacific population in Aotearoa New Zealand and an evaluator may only reach Samoans if they do not deliberately try to reach the other Pacific nations. 'Ethnic specific' means working with each Pacific population group which will require contacts in each of those communities. This approach is easier when working with Pacific providers because they usually have teams made up of people from the different ethnic groups.
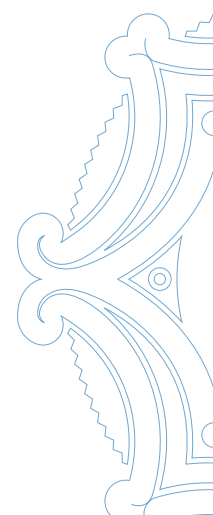
The concept underpinning a Pacific approach to evaluation is the importance of relationships – building and maintaining respectful relationships between the evaluator and the community. There are responsibilities and obligations associated with these relationships. Reciprocity is an important aspect of these relationships – 'if you take then you have to give back'. Pacific communities have become wary of researchers who come into their communities and take away people's knowledge but do not report back to the communities how that knowledge was used.
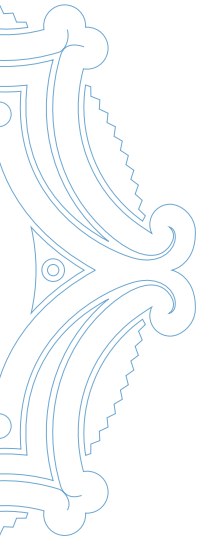
Easy Evaluation

While some evaluators adhere largely to one method or approach, others take a more integrated approach. One such framework for conducting programme evaluation is an integrated approach developed by evaluators at the SHORE & Whariki Research Centre, called "Easy Evaluation", based on the work of Jane Davidson (2005).

This framework is directly informed by three branches of the evaluation theory tree – methods, valuing and use. The methods branch emphasises the techniques used when conducting evaluations, such as theory-driven evaluation which sets out to determine the key interventions and outcomes of a project or programme. The valuing branch of the theory tree is about determining the value of a project or programme based on evidence collected about quality and success. The use branch of the theory tree focuses on the ways in which evaluation information will be used and targets those who will use the information.

The Easy Evaluation approach consists of seven key steps (see Figure 3, below):

1. Describe the evaluand (project, programme, policy etc.)

2. Develop a programme logic model

3. Establish evaluation priorities and questions

4. Develop evaluation criteria and performance standards

5. Collect, analyse and interpret data

6. Draw evaluative conclusions

7. Share lessons learned (reporting).

Figure 3 : Easy Evaluation framework

Adapted from the Centers for Disease Control Evaluation Framework
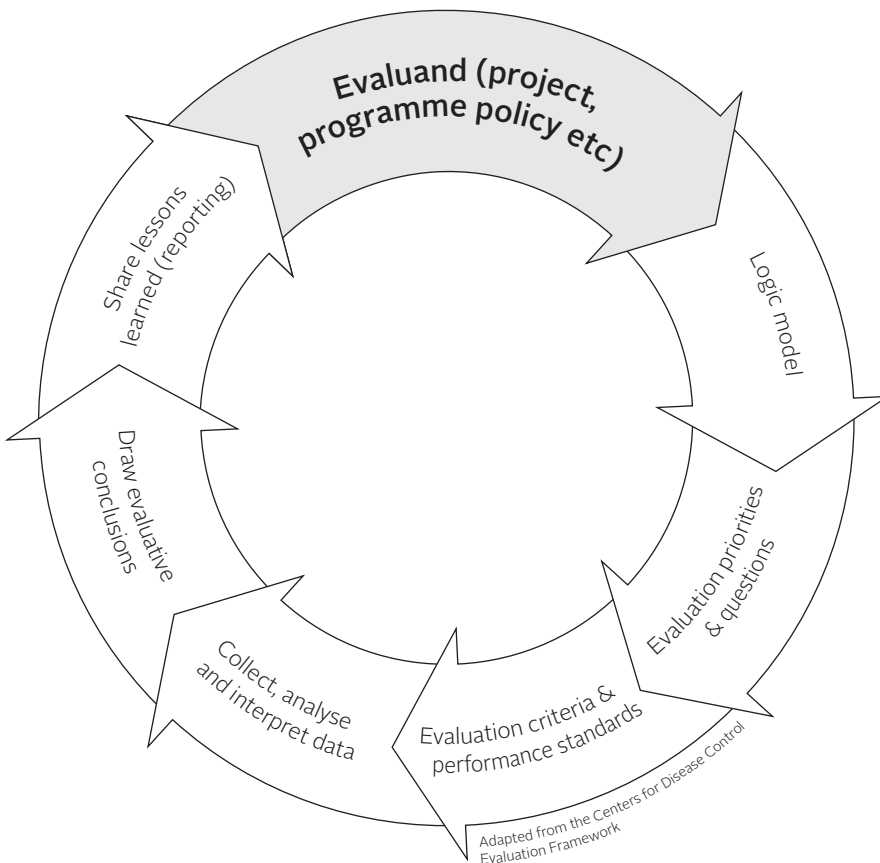
Evaluation ethics and standards

ETHICS

All evaluation activity needs to be undertaken in an ethical manner. While programme evaluation is often viewed as a low-risk activity, ethical principles still apply. Depending on who is undertaking the evaluation and who the participants are, an independent ethical review might be needed from an institutional ethics committee such as a Massey University Human Ethics Committee (Massey University, 2013b), or a Health and Disability Ethics Committee (2014). Some organisations also have their own ethics/research committees who will need to review the proposed evaluation.

Before an evaluation or research activity in public health is conducted it is important to consider the ethical issues and investigate whether there are organisational ethical processes that need to be followed. In general terms ethical scrutiny should be proportional to the level of risk of the activity. For example participants must be fully informed of the purpose of the evaluation, what is expected of them and their rights. Their consent must be gained and findings need to be made accessible to participants. It is also important that ethical issues/concerns are discussed with colleagues before a project begins.

There are several codes which set out key ethical principles. These principles are not rules, rather they are guidelines which need to be interpreted and applied to the proposed evaluation. One set of ethical principles is contained in Massey University's (2013a) *Code of ethical conduct for research, teaching and evaluations involving human participants*. It outlines obligations for evaluators arising from the Treaty of Waitangi and key principles to be followed in all research and evaluation activity.

The Treaty of Waitangi has embedded concepts of partnership, participation and protection which evaluators must consider in evaluation projects where Māori are involved as participants, or where the evaluation project is relevant to Māori.

- Partnership requires Māori individual and collective rights to be respected and protected.

- Participation requires Māori to be involved in all phases of the evaluation design and implementation.

- Protection requires evaluators to "actively protect Māori and collective rights, Māori data, Māori culture, cultural concepts, values, norms, practices and language in the research process" (Massey University, 2013a, p.5).

Key ethical principles outlined in the Massey University code (and which are generally applicable to most evaluations) are:

- Respect for persons: This includes recognition of the personal dignity, beliefs, privacy, and autonomy of individuals.

- Minimisation of harm (e.g. emotional distress, embarrassment) to participants, researchers, institutions and groups: Every effort should be taken to minimise harm to all parties in the evaluation.

- Informed and voluntary consent: Participants must receive full, clear information about what their involvement in an evaluation will consist of so they can make an informed choice about whether to participate or not.

- Respect for privacy and confidentiality: No participant should be identified without their consent and the privacy and confidentiality of communities, institutions, ethnic groups etc. must be respected.

- The avoidance of unnecessary deception: In general evaluators should not withhold information about the purposes of the evaluation or the procedures used.

- Avoidance of conflict of interest: In general evaluators should not conduct projects which are in conflict with professional or private interests.

- Social and cultural sensitivity to the age, gender, culture, religion, social class of participants: This principle requires an evaluator to consider their responsibilities to the 'communities/groups' in which the evaluation is being undertaken and to ensure evaluation practices respect the needs and desires of these communities.

- Justice: Evaluations should be undertaken only when the communities from which particpants are drawn are likely to benefit in some way (e.g. evaluation contributes to a better quality programme).

Similar principles are found in the codes of ethical conduct of other organisations.

STANDARDS IN EVALUATION

A central concern in evaluation is research adequacy. An evaluation should not be undertaken if the conception, design and implementation of the evaluation is not adequate. For this reason evaluators are concerned about the standards by which evaluation is conducted. In New Zealand, while there are no agreed evaluation standards, there are best practice guidelines for research and evaluation (SPEAR, 2008). Many evaluators in New Zealand and elsewhere take note of standards and guidelines developed or supported by the American Evaluation Association (AEA). The Australia and New Zealand Evaluation Association is currently working with the Families Commission to develop evaluation standards.

PROGRAMME EVALUATION STANDARDS

There are five areas in which standards have been developed by the AEA (no date-b). Following these standards will help to ensure programme evaluations are conducted in a rigorous and acceptable way.

Utility Standards

The utility standards are intended to increase the extent to which programmme stakeholders find evaluation processes and products valuable in meeting their needs.

Feasibility Standards

The feasibility standards are intended to increase evaluation effectiveness and efficiency.

Propriety Standards

The propriety standards support what is proper, fair, legal, right and just in evaluations.

Accuracy Standards

The accuracy standards are intended to increase the dependability and truthfulness of evaluation representations, propositions, and findings, especially those that support interpretations and judgments about quality.

Evaluation Accountability Standards

The evaluation accountability standards encourage adequate documentation of evaluations and a meta-evaluative perspective focused on improvement and accountability for evaluation processes and products.

GUIDING PRINCIPLES FOR EVALUATORS

A set of guiding principles has also been developed by the AEA (no date-a) to guide the professional practice of evaluators. They are designed to guide the behaviours of professionals in everyday practice. Whilst the guidelines are not considered to be prescriptive, the AEA suggests that deviations from them would require a good reason. Again while these are not developed specifically for New Zealand, many evaluators in New Zealand and elsewhere take note of these guiding principles.

The principles are:

Systematic Inquiry

Evaluators conduct systematic, data-based inquiries.

Competence

Evaluators provide competent performance to stakeholders.

Integrity/Honesty

Evaluators display honesty and integrity in their own behaviour, and attempt to ensure the honesty and integrity of the entire evaluation process.

Respect for People

Evaluators respect the security, dignity and self-worth of respondents, programme participants, clients, and other evaluation stakeholders.

Responsibilities for General and Public Welfare

Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

Evaluation purposes: Formative, Process, Outcome

One useful way of distinguishing between the purposes of evaluation is to group them into the following three overall types: formative, process and outcome.
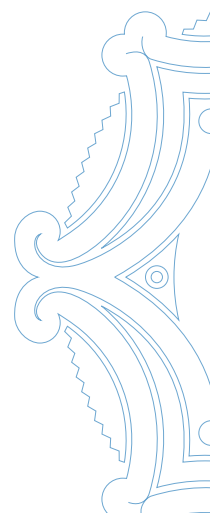
FORMATIVE EVALUATION

Formative evaluation is evaluative activity designed to improve the design, development, formation and implementation of a programme (Duignan, 2001). It is often conducted to contribute to the development or delivery of the programme. Feedback is often provided very quickly to enable improvements to the programme to be made in a timely manner.

Formative evaluation activities that can be carried out to help plan a programme are:

- *Finding out what has already been done in the field*. Other organisations may be working in the same field or using similar health promotion strategies. This information can be found by:
  - reviewing the literature
  - internet searches
  - talking to experts in the field.
- *Conducting a needs assessment*. In planning a programme it is important to first establish the specific needs that are going to be addressed. The needs that the programme is aiming to meet must be worked out either before, or during, programme planning. A needs assessment process involves developing a detailed understanding of the 'problem' that will be addressed and an understanding of how it is being experienced by people. It should facilitate an understanding of what causes the problem. This should be done before deciding on what a programme can do to address the issues.
- *Defining the intended population*. This involves working out exactly whom the programme is aiming to reach. This will help to focus the programme strategies and to set clear and achievable outcomes.
- *Developing a sound programme plan*. An important part of formative evaluation is developing a Programme Plan and an ongoing Evaluation Plan. Basic elements of a programme and evaluation plan include setting out clearly what the programme intends to do, how and by when. This may include developing or checking programme logic.
- *Developing a programme theory*. This helps identify how a programme is understood to work and what outcomes need to be achieved for the programme to work. Programme theory is described in more detail on page 34.

Additional formative evaluation activities. Once a programme plan is established there are a number of formative evaluation activities that can refine and improve it. These activities include:

- Pre-testing any materials such as posters, fliers, logos and questionnaires that are going to be used during the programme.
- Piloting where possible, the activities to be used at the start of the programme. If there is little information about how well the planned activities work, it is important to test them on a sample of the intended programme participants. This will help provide information on whether anything needs to be changed so that the programme is more likely to meet its outcomes.
- Regular meetings between programme organisers, programme staff and other parties involved in the programme.
- Systematic feedback from those involved is vital for the development and improvement of many health promotion programmes.

PROCESS EVALUATION

Evaluators generally think of process evaluation as any evaluative activity directed at describing or documenting what actually happens in the context or course of a programme. It is undertaken to:

- Inform programme staff about indications of progress of the programme. Process evaluation can provide extremely useful information about what actually happened in a programme. It can be crucial for communicating best practice to others who want to replicate elements of a successful programme.

- Assist in the interpretation of outcome evaluation results. For instance, an outcome evaluation may show that a programme was not successful. However, when looking at the process evaluation for the programme, it may show that the negative outcome was a result of specific events that derailed the programme. In light of this, the possibility that this type of programme if implemented as planned could be effective, should not be dismissed.

- Examine the context of a programme and the decision-making leading up to that programme being introduced. For instance there may be 'problem definition creep' in the early decision-making phase about the programme objectives and what type of programme should be run. This may lead to a programme being designed which is 'easy to implement' rather than one which is more difficult to implement but which is more likely to achieve success with the substantive problem being addressed (Duignan & Casswell, 1989).

Evaluators who take a *valuing perspective* are also usually very interested in examining the *quality* of the interventions of the programme being evaluated. Typically this is done by developing evaluation criteria to provide a clear description of what a high quality intervention will look like. Dimensions of merit are then established to determine what comprises excellent, very good, good and poor quality. Once evidence is collected and synthesised, evaluators and stakeholders typically work together to determine the quality of the intervention.

Process evaluation activities can include:

- Documenting what was done to plan and organise the programme; for example recording meetings that were held and issues and decisions that came up. As a programme develops it often changes from its original plan. It is important to record and explain these changes. Some key process evaluation questions include:
  - Why was the programme set up?
  - Who was involved in programme development?
  - Were there any changes to the original plan, and why?
  - What resources were involved in the programme?
  - How well was the programme implemented?
  - Were the activities of high quality?

- Finding out how programme participants and other key people (stakeholders) perceived the programme. Since the effectiveness of a programme can depend very much on how it is perceived by stakeholders, gathering information from these people can be very useful. For example, questions can be asked about:
  - Whether the programme is meeting people's needs?
  - How they feel about being involved in the programme?
  - What they may like to have changed?
  - What are some of the strengths and weaknesses of the programme?

- Documenting what resources (money, time, people) have been used to implement the programme. This information can be used to:
  - compare the level and types of resources planned with those actually used
  - establish the resources needed for different activities
  - improve future programme planning
  - review the efficiency and effectiveness of resources used.
- Demonstrating programme reach. It is important to know whether a programme is reaching or affecting those it is intended for. Often programmes do not reach the intended participants. This can have important implications for how the programme, and others similar to it, should be run in the future.

OUTCOME EVALUATION

Outcome evaluation is any evaluation activity directed at determining the short-, intermediate- or longer-term outcomes of a programme. It looks at how successfully a programme has achieved the outcomes it is seeking. Where this can be done, this is very useful information for stakeholders, particularly if it is in a form in which the effectiveness of the programme being evaluated can be compared with other strategies for achieving the same outcomes.

Given that the final outcomes of programmes can take a number of years to achieve, determining long-term outcomes may be outside the time frame of the evaluation. Logic models can be useful for communicating the expected outcomes of the programme.

Short-term outcomes refer to the immediate effects of a programme. The types of information that can be collected include:

- people's perceptions of the programme and the health promotion issues
- immediate changes in environments directly affected by the programme
- immediate changes in knowledge, attitudes and behaviour of people who have been involved in the programme.

Some short- and intermediate-term outcome evaluation activities include:

- establishing programme participants' and/or stakeholders' perceptions about the programme and its effects
- collecting data on people's knowledge, attitudes or behaviour before (baseline data), during and after the programme has been implemented, to establish changes that can be linked to the programme
- assessing the extent to which the programme met its outcomes. Look back at the programme outcomes; if they have been well thought out, they will guide outcome evaluation activities
- assessing positive or negative effects of the programme.

Reviewing process evaluation information will help to establish how the programme was implemented and whether there are any factors which may impact on what has been achieved.

Evaluating long-term outcomes usually requires substantial resources, skills and long time frames. The types of information that can be collected in long-term outcomes include:

- long-term changes in people's knowledge, attitudes and behaviour
- long-term environmental changes
- end results or overall outcomes of the programme.
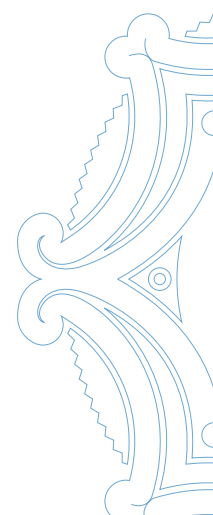
Due to the longer time frame, it may be unrealistic for public health providers to undertake these evaluation activities without expert evaluation assistance. This is because changes in knowledge, attitudes, behaviour or environments are usually incremental, long-term and brought about by a combination of factors. It is therefore difficult to claim that any overall, long-term change is a direct result of a particular programme.

Programme outcomes can be both intended and unintended. The intended programme outcomes are those identified in advance and would be included in a logic model. It is also useful to establish any unintended outcomes (i.e. those not thought about at the planning stage for the programme) that a programme has had.

These can aid or inhibit the overall effectiveness of a programme. For example, a marae-based drink drive programme may have the unintended outcome of developing positive relationships between Māori communities and the police. This could enhance the overall programme as well as allowing more collaborative relationships to be developed in the future.

Evaluation methods

DATA COLLECTION METHODS

Evaluation requires the collection of high quality, useful information. There are a wide range of data collection methods that can be used to gather information for an evaluation. Methods are classified as quantitative (numbers) or qualitative (words).

Before a data collection method is settled on, it is important to know what sorts of data and information are needed. When this is known a data collection method can be chosen. Each data collection method has its own advantages and disadvantages. Practical decisions need to be made about data collection as Moewaka Barnes (2009, p.25) notes:

> … it is important to choose the method/s that will meet your information needs, are realistic in terms of time and resources (yours, the programme providers and others) and can be agreed upon by the appropriate groups. For example it is no use deciding on collecting information through observing part of the programme if the providers will not agree to this or in expecting people to give you a lot of information that they do not have the time to provide.

It is always important to consider what data already exists before collecting any new data for an evaluation. Programmes routinely collect information that can be useful for an evaluation, e.g. feedback sheets, attendance records at training courses.

Here are some general points about quantitative and qualitative methods.

QUANTITATIVE METHODS	QUALITATIVE METHODS
Broad, but shallow	Rich, but narrow
Seeks consensus and norms	Seeks difference and convergence
Seeks to explain or predict	Seeks to interpret and understand
Tests theory; is deductive	Generates theory; is inductive
Objective	Subjective
Less flexible	Flexible
Works well with large populations	Works better with small groups
Can be used with geographically dispersed populations	Requires proximity
Usually requires well-developed language skills	Can work with people whose language skills are less developed
Can be completed quickly	Tends to take a long(er) time to complete
Large projects can be carried out by a small number of researchers	Large projects work better with a team of researchers
Can be expensive	Can be expensive

(adapted from Tolich & Davidson, 1999)

Most evaluations include a mix of data collection methods. The use of mixed methods can provide richer data with each of the methods giving different 'pictures' of the way in which a project operates in practice. When the results from two or three methods are the same or similar an evaluator can be more certain of the results (Greene, Benjamin, & Goodyear, 2001).
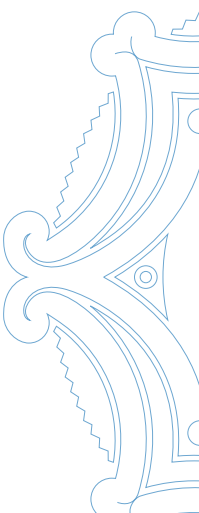
A typical design might begin with a qualitative component such as a focus group discussion to inform the evaluator about issues that could be explored further by a survey of programme participants. In-depth interviews could be used to clarify some of the survey findings.

Quantitative data collection methods include:

- surveys (telephone, face-to-face, computer, paper).

Qualitative data collection methods include:

- focus groups
- individual, paired and/or group interviews
- stories.

Some data collection methods can be either quantitative or qualitative – depending on how the data is to be collected, analysed and reported:

- diaries and journals
- observation
- media reviews
- document reviews
- visual methods (photos, videos).

When conducting an evaluation it is important to determine which data collection methods will be appropriate for answering evaluation questions. The following information is adapted from Zimmerman, Hurtig and Small (2001) and provides an explanation of some of the advantages and disadvantages and design issues relating to different data collection methods (surveys, focus groups, interviews, feedback forms, observation, and document review).

Surveys

A survey is a method of gathering information from a group of individuals using identical procedures for each person. Surveys can be conducted in writing, over the telephone, face-to-face, or electronically. Surveys can include closed-ended and open-ended questions.

When to use a survey

Surveys can be useful for:

- comparing different groups of individuals
- looking at changes in a group over time using pre- and post-surveys
- getting feedback on opinions and attitudes about a programme from participants, staff, and other stakeholders
- learning about the knowledge, attitudes, characteristics, and behaviour of programme participants
- assessing needs and satisfaction
- gathering information about non-sensitive topics.

Advantages and disadvantages of surveys

Advantages:

- can be used to obtain information from a large number of people
- closed-ended surveys provide quantitative data
- allow for comparisons or control groups
- can be quick and anonymous
- can be conducted in person, over the telephone, or by mail.

Disadvantages:

- questions may be misunderstood by participants
- responses to closed-ended questions provide limited depth
- quantitative analysis is less meaningful when the sample size is small
- survey use requires an understanding of survey design and statistics.

Developing a good survey

- Determine the information required and whether a survey is the best way of obtaining that information.
- Determine the group to be surveyed and how the survey will be conducted.
- Develop the survey based on the information required.
- Make sure the language used to ask each question is appropriate, and make sure the questions are clear and will provide the information being sought.
- Make sure the survey is readable, the order of the questions is logical, and the survey is not too long.
- Pre-test the survey with members of the group to be surveyed.

Focus groups

Focus groups usually involve a group of six to eight people who will have some opinions about the programme. Focus groups take place in a social context in the format of a group discussion and capitalise on the use of group interaction to generate data and insights that would be unlikely to emerge otherwise. The technique allows for observation of group dynamics, discussion, and first-hand insights into the participants' behaviours, attitudes, and language.

When to use focus groups

Focus groups can be useful for:

- facilitating discussions and generating ideas with groups of people
- assessing the satisfaction of programme participants
- obtaining suggestions for improving a programme
- learning about needs, expectations, and knowledge of potential programme participants in order to tailor a programme before it is implemented
- gaining input from stakeholders, such as whether a programme would benefit from modifications
- pre-testing topics or ideas
- identifying and defining problems in project implementation
- identifying project strengths, weaknesses, and recommendations
- assisting with the interpretation of quantitative findings
- obtaining perceptions of project outcomes
- generating new ideas.

Advantages and disadvantages of focus groups

Advantages:

- people can raise their own issues that they feel are important
- participants can bounce ideas off one another
- participants might feel more comfortable in a group
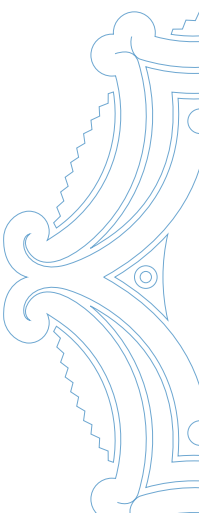
- multiple viewpoints can be gathered in one interview
- allow the interviewer to be less intrusive, and discussion can take its own direction
- people can generate new information and raise new issues.

Disadvantages:

- need a skilled facilitator and preferably someone outside of the programme
- organising groups and motivating people to attend can be challenging
- the group dynamic may silence some, especially those with dissenting opinions
- may be expensive and time-consuming to conduct and transcribe
- may not be appropriate for discussion of personal or sensitive issues.

Facilitating a good focus group discussion

The facilitator and note taker need to:

- introduce themselves and discuss safety and confidentiality of information
- explain the purpose of the focus group and the value of the participants' views and opinions
- emphasise that everyone's view is important and there are no incorrect responses
- remind participants of the importance of hearing everyone's opinions and the need for one person to talk at a time
- invite each participant to introduce themselves to the group
- prepare questions and the order they are to be asked prior to the focus group, but be flexible if participants are interested in a particular topic, or if the discussion does not follow the order of questions
- pace the focus group carefully to allow sufficient time for responses
- if the discussion goes onto a different topic, bring the conversation back on track
- allow participants to do most of the talking and allow them time to think
- make sure that everyone has a chance to speak.

Interviews

The use of interviews as a data collection method begins with the assumption that the participants' perspectives are meaningful, knowable, and can be made explicit, and that their perspectives affect the success of the project. Two types of interviews are used in evaluation research: structured interviews, in which a carefully worded questionnaire is administered; and semi-structured interviews, in which the interviewers seek to encourage free and open responses to capture a participant's perceptions in their own words.

When to use interviews

Interviews can be used at any stage of the evaluation process. Semi-structured interviews can be particularly useful in answering questions such as those suggested by Patton (1990):

- What does the programme look and feel like to participants? To other stakeholders?
- What do stakeholders know about the project?
- What thoughts do stakeholders knowledgeable about the programme have concerning the way in which the programme is operating, its processes and outcomes?
- What are participants' and stakeholders' expectations?
- What features of the project are most salient to the participants?

- What changes do participants perceive in themselves as a result of their involvement in the project?

Interviews are also useful for:

- collecting preliminary information before designing a survey
- explaining and following up on answers given on surveys
- obtaining feedback about a programme's processes and multiple perspectives on outcomes from programme stakeholders
- collecting detailed information about participants' experiences and impressions about a programme
- providing additional information for case studies
- discussing more personal and sensitive issues
- informing programme recommendations.

Advantages and disadvantages of interviews

Advantages:

- the interviewer may obtain rich details and new insights
- the interviewer may ask people for additional information
- people are able to raise issues that they feel are important and express ideas in their own words.

Disadvantages:

- may be expensive and time-consuming to conduct and transcribe
- may require an external evaluator for assistance with methods and analysis
- may present challenges with privacy.

Facilitating a good interview

- For open-ended interviews, make sure the questions elicit meaningful responses. For example, ask "how" and "what reasons" questions rather than "yes" or "no" questions.
- Construct the questions with neutral wording, free from bias or judgement, so as not to influence participants' responses.
- Use clear language and ideas to construct the questions.
- Pre-test the interview with potential interviewees to assess the interview length and whether the questions make sense.
- Have a protocol explaining the purpose of the interviews, what the interview will be used for, and how confidentiality of participants will be maintained.
- Determine the way in which the interview will be recorded – whether it is necessary to audio record interviews, or whether detailed, hand-written notes are sufficient.

Feedback forms

Feedback forms can be useful when assessing participants' experiences of and learning as a result of attending a workshop or training session. Feedback forms can contain both quantitative and qualitative data. Rating scales are often used in feedback forms and include: category scales; numerical scales; graphic scales; likert scales; forced-choice questions; and checklists.

Developing a good feedback form

- *Make the feedback form brief and to the point:* Only include questions or scales directly relating to the evaluation. For example, there isn't a lot of point asking participants to rate the venue if this was the only available venue to accommodate the number of people attending.
- *Make the dimensions to be rated clear:* For example, if participants were asked to rate their competence, it would be expected that different people would base their ratings on different factors. One participant might give particular weight to a particular aspect of competence such as their ability to write well, while another might give weight to being a good communicator.
- *Make clear any standards those doing the rating are expected to use:* Words such as "superior", "good", "adequate", and "poor" imply a standard to which the behaviour rated is to be compared: Superior to what, adequate for what?
- *When using likert scales,* five is the most common number of answer choices, with the middle number being neutral. Some likert scales reduce the number to four by eliminating the middle position.
- *Use open-ended questions* to enable participants to add additional information. For example, is there anything else you would like to say?

Observation

A method that provides information about what happens in a programme event, including the environment or context, activities, processes, and discussions.

Observation can be as follows:

Site visit: The evaluator or another person outside the organisation becomes more familiar with the programme by travelling to the programme site and observing the programme activities as they occur.

Staff observation: Observations about the programme recorded by staff through reports, record keeping, journal writing or observation notes.

Participant observation: Observations about the programme reported by those people served by the programme.

When to use observation:

- to determine whether the programme's processes are being implemented as intended
- to assess whether certain programme outcomes have been met
- to obtain data about the behaviour of individuals and groups
- to learn about unanticipated effects of a programme
- when other types of data collection may be inappropriate or in conflict with the philosophies of the programme
- when people are unwilling or unable to provide information using other methods
- repeated observations of a programme can provide information about changes over time.

Advantages:

- observers document programme activities as they are happening rather than relying on memories of the events
- evaluator observation contributes information from a different perspective than that of people participating in the programme and programme staff.

Disadvantages:

- confidentiality must be considered
- evaluator observation may be intrusive and may influence the event being observed
- evaluator observation can be expensive and time-consuming.

Document review

Document review involves examining records kept by programme staff which may provide information about programme decisions, programme activities, changes in programme policies, changes within the organisation relevant to the programme, and reactions of stakeholders to programme events. For example, work plans, meeting minutes, proposals, annual reports, mission statements, attendance records, budget information, correspondence and newsletters all provide useful information about a programme.

When is reviewing documents useful?

- Documents provide information about the history and context of the programme and about internal and external factors that have affected the programme and its activities.
- Records may be used to examine changes in the programme over time.

Advantages and disadvantages of reviewing documents

Advantages:

- a review of documents is typically inexpensive because they already exist and a minimum number of staff members/evaluators are required to collect data
- not obtrusive to the programme – programme activities are not interrupted.

Disadvantages:

- documents may not be accessible to external evaluators
- the information contained in existing records may be inaccurate or incomplete
- information collected over time may be inconsistent
- reviewing documents can be time-consuming
- when reviewing existing records, data is limited to what already exists.

Conducting a good document review

- Review evaluation questions to determine whether a document review is an appropriate method of data collection
- Determine which questions need to be addressed or partially addressed.
- Decide which documents are appropriate for answering the evaluation questions.
- Determine what type of information is being sought from the documents, and how the information found will be tracked/recorded. Create a system to code or organise the data you collect.
- If possible, verify the data with staff member(s) who initially recorded or collected them.
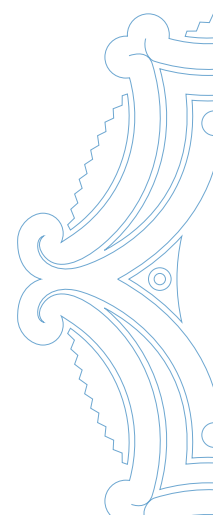
Change stories

This information on change stories is based on the Most Significant Change approach (Davies & Dart, 2005)

Change stories can be used to describe programme experiences, perceptions and impacts. Programme participants make sense of the events/experiences after they have happened. Change stories do not stand alone, but contribute to the overall evaluation by providing narratives in participants' voices that illustrate change. A ranking and discussion process enables the evaluation to describe what is important to the selectors, what the stories demonstrate and what meanings they hold.

Why stories?

- people tell stories naturally
- people remember stories
- stories can carry difficult messages/undiscussables
- stories provide a 'rich picture'
- stories provide a basis for discussion.

Change stories can help:

- identify unexpected changes
- capture the voice of those the project is targeting (the participants)
- analyse data
- facilitate stakeholder engagement
- encourage reflection.

Change story steps

1. Outline the interventions and changes (outcomes) expected from the programme – the programme's theory of change.

2. Next, for selected outcomes collect change stories from those involved in the project.

3. Consider stories that will show the changes/difference/impacts that the project has had at whatever level (i.e. individuals, community, policy).

4. Meet with key stakeholders to share change stories and rank these in order of importance.

5. Choose two change stories to include in the report to illustrate how selected outcomes have been achieved.

Change story questions

The questions below help focus participants on identifying significant changes.

- How have you been involved in the project?
- What are important changes for you that have resulted from this project?
- Why was this story significant for you?
- How, if at all, did the project contribute to the changes that have occurred in your community?
- What challenges were there?

For examples of change stories please refer to Appendix 3, p.61.

PART TWO :
PUTTING EVALUATION INTO PRACTICE

In this part we demonstrate how to use the Easy Evaluation framework to conduct programme evaluation.

Easy Evaluation

The Easy Evaluation framework was introduced earlier in this resource. Each step of the Easy Evaluation Framework is described below and a working example – the Marae-based Nutrition and Exercise programme – is used to illustrate each of the steps.

Evaluand (project, programme policy etc)

Logic model

Evaluation priorities & questions

Evaluation criteria & performance standards

Collect, analyse and interpret data

Draw evaluative conclusions

Share lessons learned (reporting)

Adapted from the Centers for Disease Control Evaluation Framework
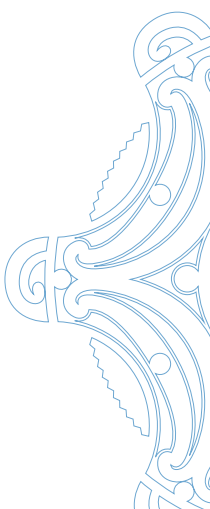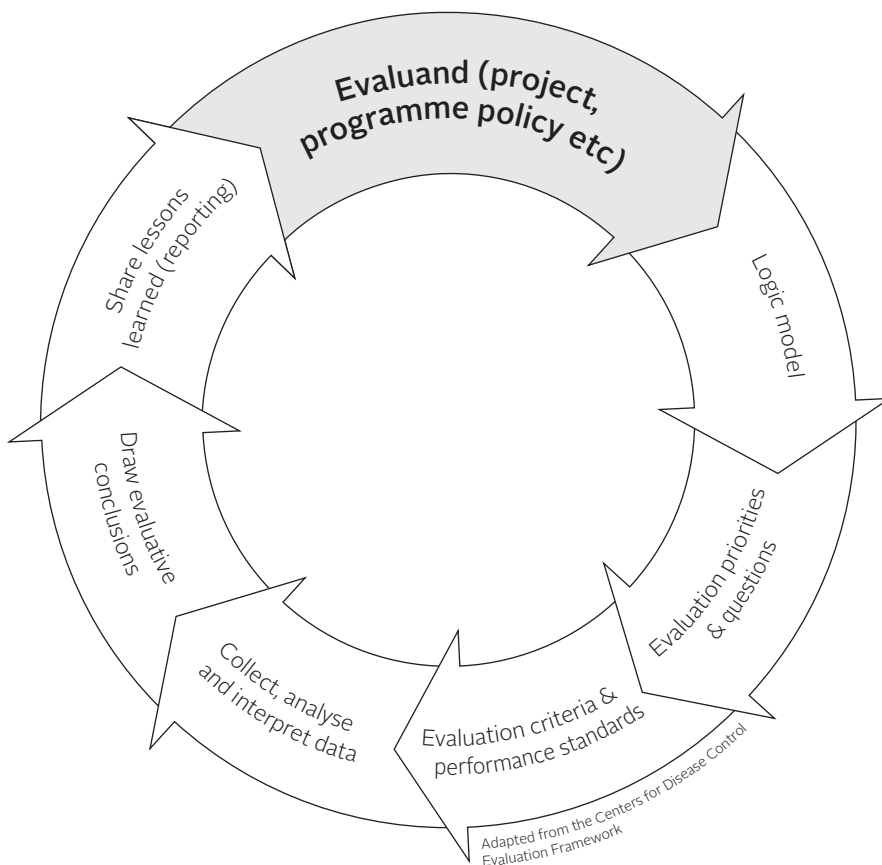
STEP 1: DESCRIBE THE EVALUAND (PROJECT, PROGRAMME, POLICY)

It is useful to have a clear understanding of the programme to be evaluated before the evaluation is started. So the first step is to describe the nature of the project and what it is aiming to achieve. When developing a programme description, it is useful to consider the following questions:

1. What need/issue/concern will be addressed by the programme?

2. Who or what will benefit from the programme?

3. What are the main programme activities?

4. What will change as a result of the programme?

It is important to consider who are the stakeholders that have an investment in the programme, e.g.

- those served by the programme
- those involved in the actual operations of the programme such as staff, partners, funders
- intended users of the evaluation findings such as policy makers, funding agencies, taxpayers.

Environmental and contextual factors can also interact with the success of programmes. Often a programme will have little or no control over these factors which include:

- similar initiatives sponsored by other agencies
- socioeconomic factors of target population
- motivations and behaviour of target population
- social norms and conditions that either support or hinder the achievement of outcomes
- policies that support or hinder your programme activities.

There will often be beliefs and assumptions about the way people think a programme will work. Some examples of assumptions are:

- funding will be secure throughout the programme
- because information is taught, it will be adopted and used as intended
- people will be motivated to attend training sessions
- staff with the necessary skills and abilities can be recruited and trained
- partnerships can effectively address concerns or reach into areas we cannot
- policy adoption leads to behaviour change.

Remember, inaccurate or overlooked assumptions could be a reason that a programme did not achieve the expected level of success. Evidence will also contribute to informing ideas about the way in which a programme works. It is useful to consider the following:

- theoretical knowledge from prior research
- effectiveness of an existing programme
- local knowledge
- expert knowledge.

Here is an example of a programme description.

PROGRAMME TITLE: Marae-based Nutrition and Exercise Programme	
What need, issue or concern does your programme address?	In New Zealand there are significant health inequalities between Māori and Pakeha, especially in relation to cardiovascular disease and diabetes.
Who or what are you trying to reach through the programme, who is it for?	This marae-based project will be looking at influencing lifestyle factors in a small rural Māori community.
What are you going to do?	The programme activities will include gardening and cooking lessons and a physical activity programme.
What outcomes (changes or results) do you expect from your programme?	As a result of the programme we expect whanau will have increased levels of physical activity and improved nutrition which will contribute to the overall health and wellbeing of the marae community.
Why do you think this change will come from your programme?	Research evidence shows that community-based culturally appropriate nutrition and exercise programmes are effective in improving healthy lifestyle choices.
Who needs to have input into your programme?	Local kaumatua, marae committee, local garden centre, local council, local gym, community members.
What resources are available for the programme?	The programme co-ordinator based in the local Māori health unit has 20 hours (0.5 FTE) allocated to the project and there is $2000 available for direct programme costs. Other agencies will contribute FTEs as part of staff members' normal duties.
What types of evidence or information have been used in the development of your programme to date?	A literature review of previous community based programmes aiming to improve healthy lifestyle choices. Advice from a formative evaluator based in a university research unit. Advice from other health promoters that have implemented similar programmes in New Zealand.
What else do you need to find out to strengthen your programme?	What are the barriers to effective implementation of nutrition and exercise programmes in the community? What are the best ways of connecting with the community to develop and implement a nutrition and exercise programme?
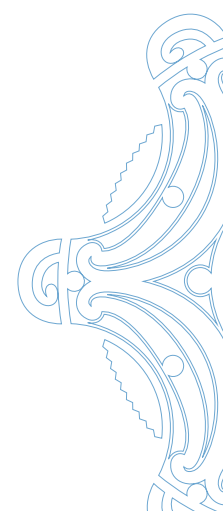
STEP 2: DEVELOP A LOGIC MODEL

Programme theory-driven evaluation involves working with stakeholders to develop a common understanding of how a programme is presumed to address the underlying need. For theory-driven evaluations, the first essential task is making explicit why and how the programme is supposed to achieve its outcomes. Programme logic is one of the models commonly used today to analyse the programme theory and consequently drive its evaluation.

Programme theory-driven evaluation terminology

The following are examples of terms used when referring to programme theory- driven evaluation (Funnell & Rogers, 2011):

<div align="center">

Programme theory

Logic model

Programme logic

Impact pathways

Intervention framework

Intervention logic

Outcomes hierarchy

Causal model

Cause map

Outcome line

Intervention theory

Theory-of-change

Theory-of-action

Theory-based evaluation

Theory-driven evaluation

</div>

A programme is an intervention (or a planned set of activities) at any level of scale, including programmes, projects, policies, strategies and events. An intervention can be implemented within a single organisation or multiple organisations. There are also pre-planned and tightly specified interventions and broadly defined and emergent interventions.

Programme theory "is an explicit theory or model of how an intervention, such as a project, programme, a strategy, an initiative, or a policy, contributes to a chain of intermediate results and finally to the intended or observed outcomes" (Funnell & Rogers, 2011, p.xix).

There are two components to programme theory: a theory of change and a theory of action. The theory of change refers to the processes that determine how change occurs, for example, psychological, social, physical and economic processes. The theory of change can be based on formal, research-based theory or informal, unspoken assumptions. One example of a theory of change that underpins some health promotion programmes is that changes in perceived social norms lead to behaviour changes. The theory of action explains how interventions are created to activate theories of change. Actions utilised by some health promotion programmes might include using a range of mechanisms, such as advertising survey results to change perceptions of social norms (Funnell & Rogers, 2011).

The development of a programme theory usually involves a combination of each of the following processes:

- deductive – the theory is developed from previous research, stated policy, programme archetypes and logical analysis
- inductive – the theory is developed from observations of how a programme actually works

- articulating stakeholders' mental models about how the programme works.
  (Funnell & Rogers, 2011, p.xix)

An evaluation that uses programme theory enables evaluation results to be interpreted and contributes to an understanding of how a programme works. If, for example, an intervention is not producing its intended outcomes, programme theory-driven evaluation helps differentiate between the programme not being implemented correctly or failure of theory, meaning that the programme was implemented correctly but still did not work.

Programme logic

Programme logic is a way of clarifying and explaining the rationale or thinking behind a programme, project or intervention. It sets out the intended effects or outcomes. Programme logic is usually represented as a diagram with arrows showing the linkages between activities and outcomes.

Example: Marae-based Nutrition and Exercise Programme logic model
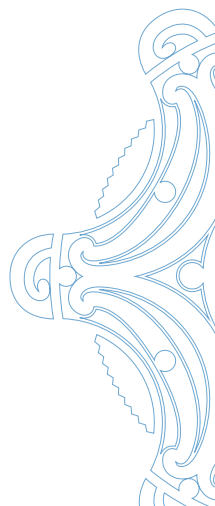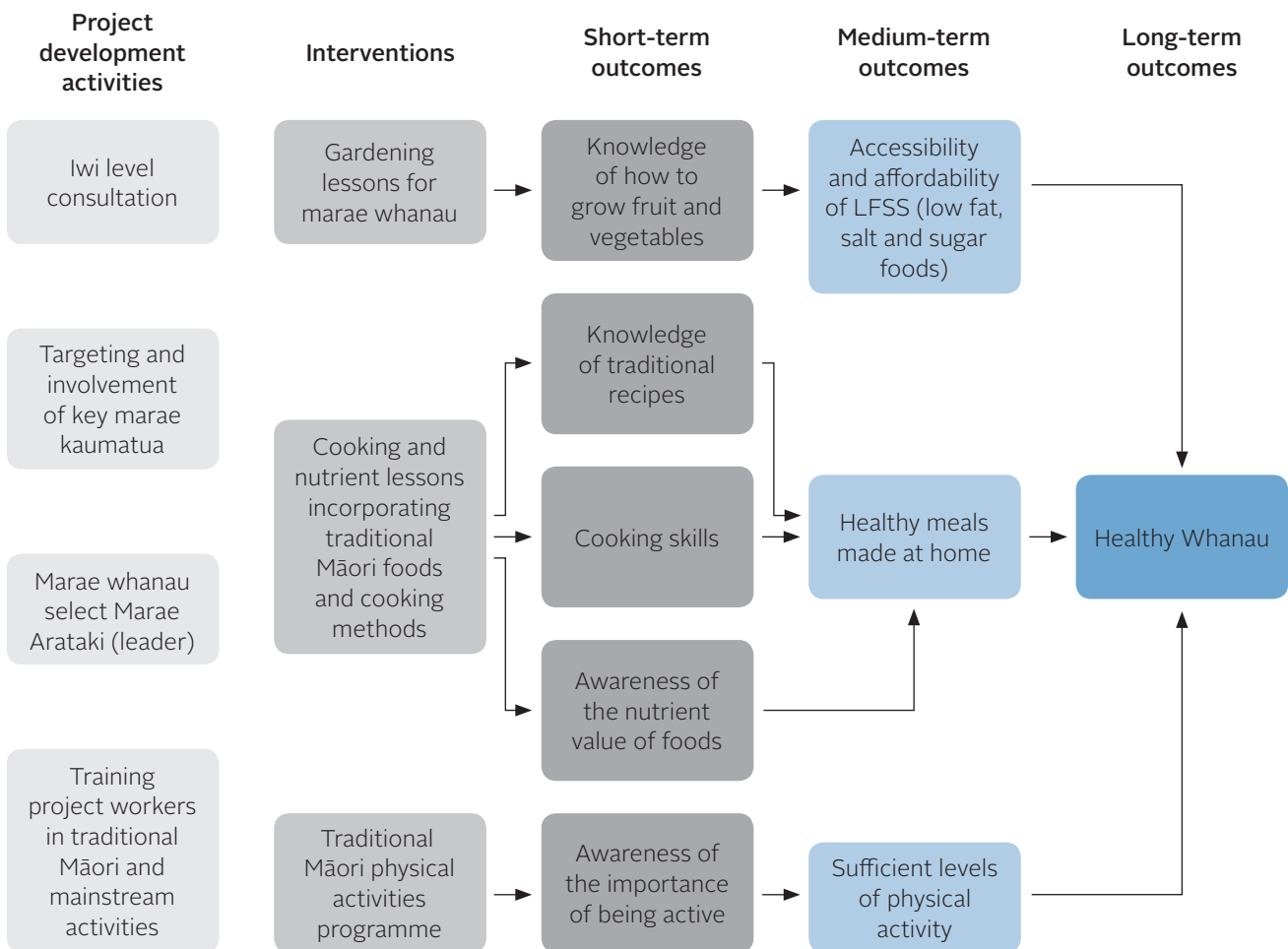
Developing a logic model

Reading from left to right, a logic model portrays a series of if-then relationships.

If this	Then this	If this	Then this

Starting at the left:

If there are certain resources, **then** interventions will be able to be provided for targeted individuals or groups. If those individuals or groups are reached then they will benefit in certain ways in the short-term.

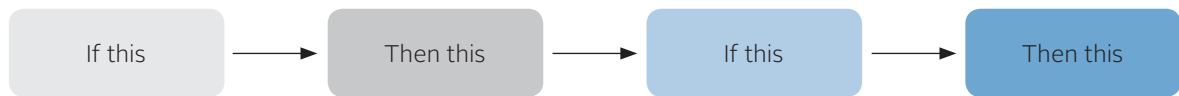**If** the short-term outcomes are achieved to the extent expected, **then** these will contribute to medium-term outcomes being accomplished.

If the medium-term outcomes for participants are achieved to the extent expected, **then** these will contribute to the achievement of longer-term changes.

Arrows in logic models

It is the linkages that give a logic model its power. Arrows show the theory of change. Drawing arrows is often messy and time-consuming, but necessary and doing so helps ensure all the logical connections have been addressed.

Basic logic model

At the most basic level it is useful for a logic model to show the key interventions or activities and the short-, medium- and long-term outcomes that the project is aiming to achieve. Some logic models also include the resources and project development activities that occurred as part of the project development phase.

There are no set rules about how many columns or rows should be in a logic model. Arrows can link any number of boxes. More complex, multi-component projects may require more complex models. Do whatever makes sense for the project. Just remember, simple models are easier for people to engage with especially if they don't know anything about the project. Below is a basic logic model (Figure 4). Process evaluation relates to the interventions and outcome evaluation relates to the different levels of outcomes.

Figure 4: Basic logic model
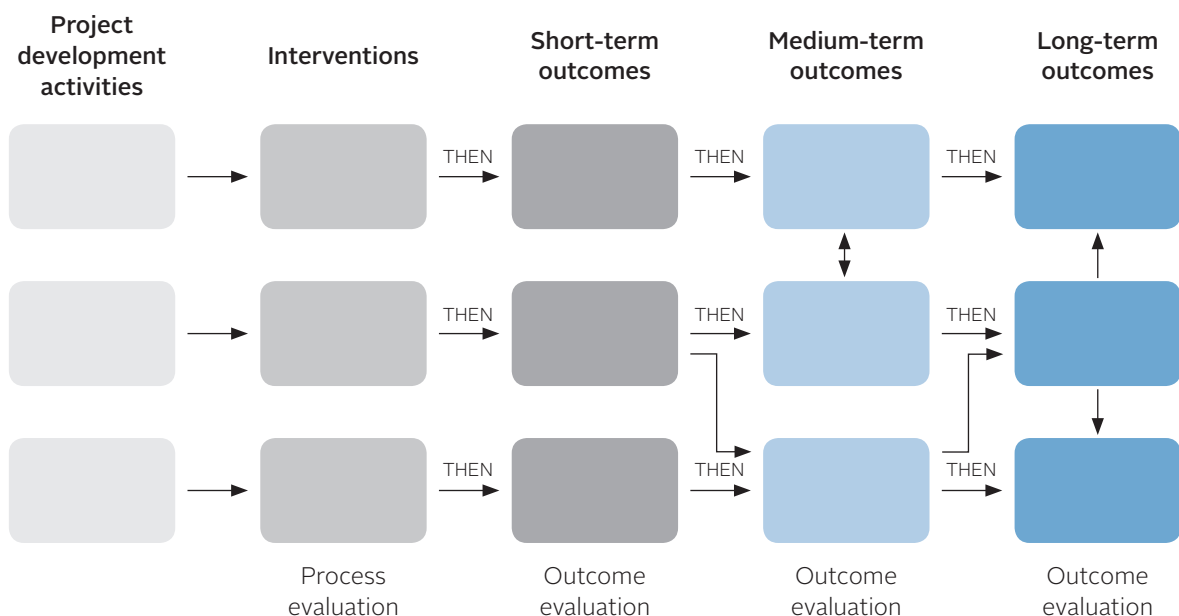
Helpful tips for developing a logic model

- Use a large sheet of paper and Post-it notes.
- Have a title for the logic model. This helps to clarify the focus of the logic model.
- Have one outcome per Post-it note.
- Focus on key elements – include all relevant outcomes, not just the ones the project is accountable for. But don't include things that do not add meaning.
- Ensure the model is readable and not too detailed.
- Make every arrow meaningful.
- Look at different examples of logic models – do an internet search.
- At the early stage don't worry about whether the logic model is right. Write the key ideas down on Post-it notes and sort them out as the logic model is developed.

Useful words to describe outcomes

suitable	better	raised	efficient	enhanced
extended	adequate	improved	greater	effective
optimal	more	sustainable	decreased	reduced
increased	less			

Uses for logic models

Logic models can be useful for a number of different things. They help to describe programmes and provide an easy-to-read model that connects activities/interventions with intended outcomes. A logic model can be useful to stakeholders as it provides:

- a description of the programme to enhance understanding of the processes, activities and outcomes
- an explanation of what is happening in the programme
- predictions – e.g. if something is done, what might happen?
- guidance about causation – e.g. is X the reason Y happens?

The actual process of developing a logic model, especially if you do this with project partners and stakeholders, can provide an opportunity to:

- clarify how a project fits with higher level or long-term strategic plans
- discuss the project in detail and develop shared understandings of what the project is hoping to achieve
- make explicit the theory of change that underpins the project and existing evidence that supports that approach
- examine alternative or innovative ways to implement the project
- clarify the differences between activities and outcomes.
  (Porteous, Sheldrick, & Stewart, 2002)

When the logic model is 'completed' it can be used:

- as a summary of the key components of a project
- as a communication tool with a range of audiences
- to show the cause and effect relationships between activities and outcomes, for example which activity is supposed to lead to particular short-term and longer-term outcomes
- to test new ideas
- to assist with funding decisions
- for negotiating accountability
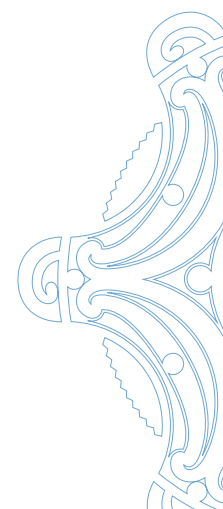
- to identify monitoring requirements
- as a framework to guide the development of an evaluation plan for a project.

Cautions

A logic model can look beautiful but if it is based on faulty assumptions (or logic) then a project is probably not going to achieve the desired changes. Logic models are only as good as the thinking, planning and evidence that underpin them.

- Programmes and projects involve dynamic complex relationships that rarely follow a sequential order.
- Logic models focus on intended and expected outcomes so it is important to watch out for unintended and surprising outcomes.
- Logic models only imply causation. In reality projects or programmes are just one of many factors that influence outcomes.
- Logic models are always a work in progress; a tool to help clarify thinking and present ideas and assumptions in a way that others can engage with and contribute to. (McKegg, 2006)

Be realistic about logic models. To get a high quality logic model requires:

- vision and patience – there may be conflicting ideas/theories which need to be resolved
- time and resources – typically 5 to 15 drafts are required
- involvement of others – a small, representative group is often best for development.

Questions to help you review logic models

- Is it reasonable to expect that the programme's interventions will actually lead to the project's outcomes?
- Are all interventions and outcomes included?
- Are all the outcomes really outcomes, not outputs or interventions?
- Do all the outcomes state an intended change?
- Are there enough resources to undertake the interventions?
- Do the interventions and outcomes address a demonstrated need in the communities you work with?
- Does your logic model show how your programme is aligned with higher level strategic goals or outcomes for your organisation and your sector?

Designing logic models in DoView

DoView (2014) is a specialised software package produced in New Zealand for drawing logic models. The software is fairly easy to learn and produces diagrams more quickly than word processing software can.
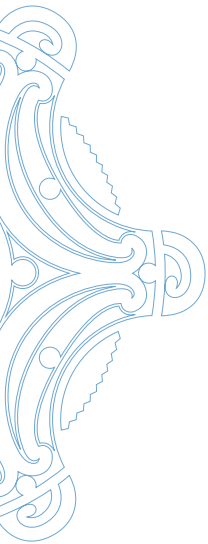
STEP 3: ESTABLISH EVALUATION PRIORITIES AND QUESTIONS

It is usually not practical or useful to evaluate everything. The most important interventions and outcomes of the project or programme need to be determined and prioritised for evaluation. Choices will need to be made about what is most useful (consider the key stakeholders) and practical (consider the resources available) to evaluate.

To prioritise consider the resources you have available and ask yourself:

- What will yield the most practical information for the cost?
- Will the results be easily understood and credible to stakeholders?
- How likely is it that the information will influence decision-making or lead to improvements to a programme?
- Do you have a sufficient amount of time to gather the information?
- Will it make or break the programme?
- Does it have particular local significance?
- Who and what is the evaluation for (e.g. funders' expectations)?
- What areas need improvement?
- Is there a strong existing evidence base?
- How important is it to the success of the programme to be strong on each of these interventions or outcomes?

Other ways to prioritise what to evaluate

The chart below (adapted from Davidson, 2005, pp.126-127) provides some suggestions as to ways in which evaluation priorities can be determined.

Strategy	Advantages	Challenges
1. Having stakeholders or consumers 'vote' on importance	• An inclusive process that relies on the opinions of stakeholders rather than those of the evaluator	• Can open a 'can of worms', assumes voters are equally informed • Minority opinions may be outweighed by more dominant stakeholders • Can be costly if too many opinions are sought
2. Drawing on the knowledge of selected stakeholders	• Targets specific stakeholder expertise with evaluation expertise • Gets buy-in from key stakeholders • Relatively cost effective compared with Strategy 1	• Need to justify choice of stakeholders • Stakeholders need sufficient justifiable knowledge of importance
3. Using evidence from the literature	• Avoids reinventing the wheel • Independent justification • Complements other methods	• Requires sufficient literature that addresses the issue • May not be available for very innovative projects • Can be seen as undervaluing local knowledge and/or as overly academic

4. Using specialist judgement	• Quicker than a literature search	• Can be seen as undervaluing local knowledge
	• Does not rely on stakeholder/ evaluator expertise	• May provide only one line of thought on the topic
	• Can help with credibility	
	• Complements other methods	

Evaluation questions

Evaluation questions also help with deciding what to focus on in the evaluation. The questions help focus the evaluation on specific interventions and outcomes, and are usually developed by project staff, evaluators, funders and other stakeholders. There are two broad evaluation questions that can apply to all evaluations. The first broad question is concerned with the quality of the intervention (i.e. a process evaluation question) and the second is concerned with how well the outcomes are achieved (i.e. an outcome evaluation question).

Broad process evaluation question:

- What is the quality (i.e. content, design and delivery) of the prioritised interventions?

Broad outcome evaluation question:

- How successfully were the prioritised outcomes achieved?

Based on these broad questions, more specific evaluation questions can be developed (see the sample questions below). While it is possible to develop more advanced questions, evaluation questions in these two areas will provide a lot of information about the programme and will keep the evaluation manageable. It is also generally a good idea not to have too many questions – somewhere in the range of 5-7 questions is often an appropriate number.

Remember these evaluation questions will guide the evaluation. They are not the questions used in data collection.

Example:

Marae-based Nutrition and Exercise Programme evaluation questions

Process evaluation question for the intervention (Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods):

- What is the quality of the content, design and delivery of the cooking lessons?

Outcome evaluation question for the outcome (Awareness of the nutrient value of foods):

- To what extent were participants aware of the nutrient value of foods?

STEP 4: DEVELOP EVALUATION CRITERIA AND PERFORMANCE STANDARDS

Evaluation criteria

Evaluation criteria are the aspects of the evaluation that define whether it is good or bad and whether it is valuable or not valuable (Davidson, 2005). When thinking about an everyday activity like buying muesli, criteria such as price, fat content, toasted/non-toasted, ingredients, packaging type, package size, company who makes it, country it is made in may be considered. These are examples of setting criteria for purchasing muesli.

It is important to be clear about the criteria to be used in your evaluation right at the beginning. This helps to:

- ensure that relevant data are collected
- ensure that stakeholders know how quality and worth will be determined
- provide clarity about what to get right.

Ways of determining appropriate criteria include:

- reviewing literature
- discussions with stakeholders
- using expert judgement.

Example:

Marae-based Nutrition and Exercise Programme outcome evaluation questions

Here are evaluation criteria for one of the short-term outcomes from the Marae-based Nutrition and Exercise Programme: Awareness of the nutrient value of foods.

Evaluation criteria	Data source	Method
Ability to identify the main food groups	Assessment of participants' knowledge by a dietician	Interview
Ability to state which foods are the best sources of key vitamins and minerals	Assessment of participants' knowledge by a dietician	Interview
Ability to design a balanced nutritious meal using fresh locally-sourced ingredients	Family self-assessment of nutritional knowledge	Interview

Evaluation performance standards

Once evaluation criteria have been decided it is necessary to set standards. Standards are definitions of what performance should constitute 'excellent', 'good' and so forth, and can be set out as a rubric for merit determination. Rubrics help people (especially participating stakeholders) clarify their thinking about 'how good is good' and provide a clear and transparent record of the reasoning that has contributed to making decisions about performance.

Example:

Marae-based Nutrition and Exercise Programme outcome evaluation performance standards

Here are some performance standards for the outcome: Awareness of the nutrient value of foods

Rating	Explanation (how you decide merit)
Excellent	All participants are able to identify the main food groups, explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients.
Very good	Most participants are able to identify the main food groups, explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients.
Good	At least half of the participants are able to identify the main food groups, and design a balanced, nutritious meal using fresh ingredients although they may not be able to explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C).
Poor	Fewer than half of the participants are able to identify the main food groups and design a balanced nutritious meal using fresh ingredients or explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C).

Different types of scales can be used for ratings such as:

- a grade such as 1-5, A-F, 0-100%
- excellent to poor or inadequate (3, 4 or 5 levels)
- highly effective to ineffective (4 or 5 levels)
- superior through average to inferior (4-6 levels)
- extremely valuable, valuable, marginally valuable, no noticeable value, unacceptable
- very substantial impact, substantial impact, just noticeable impact, no noticeable impact, noticeable detrimental impact
- all-round excellent performance, performance exceeded expectation, good performance, mediocre performance, totally unacceptable performance.

Example:

Marae-based Nutrition and Exercise Programme process evaluation criteria

The focus of process evaluation criteria is on quality (not outcomes). The following criteria determine what quality looks like for an activity from the Marae-based Nutrition and Exercise Programme. The focus is on the quality of the content, delivery and design of the cooking and nutrition lessons.

Intervention: Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods

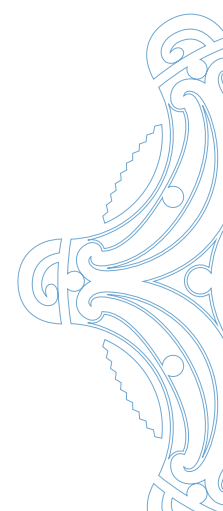| Evaluation Criteria	Data source	Method
The content covers skills required for cooking and accurate nutrition information.	Review of cooking class content by expert (dietician or nutritionist)	Document review
The delivery of lessons is engaging, interesting and at the appropriate level for participants.	Feedback from participants	Feedback form Interview
The design allows participants time to practise new skills and apply knowledge	Feedback from participants	Feedback form Interview

Developing process evaluation standards

Here is an example of a rubric using the process evaluation criteria. It is important to clarify what are the key components to get right and to weight these accordingly.

Example:

Marae-based Nutrition and Exercise Programme process evaluation performance standards

Intervention: Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods

Rating	Explanation (how you decide merit)
Excellent	All the participants found the lessons interesting and engaging and they had time to practise their new skills. The content provided accurate nutrition information.
Very Good	Most of the participants found the lessons interesting and engaging and there was enough time to practise their new skills. The content provided accurate nutrition information.
Good	Most of the participants found the lessons interesting and engaging but there was not enough time to practise. The content provided accurate nutrition information.
Poor	Most participants were bored with the lessons and quickly lost interest or the content did not provide accurate nutrition information.

STEP 5: COLLECT, ANALYSE AND INTERPRET DATA

Data collection is driven by the needs of the evaluation – only data that will be analysed should be collected. Any data collection method can be used and an appropriate method of data analysis should be employed. Each criteria that has been developed should have at least one data collection method allocated to it. One data collection method can provide information for more than one criteria.

There are a wide range of quantitative and qualitative methods that can be used to gather information for your evaluation. Examples include: observation, focus groups, interviews, telephone surveys, self-complete questionnaires, face-to-face surveys, online surveys, media and document review, environmental audit, photographs and videotaping; some of which have been described in Part One.

Knowing the sorts of information needed helps when deciding what data collection methods will be used. When planning an evaluation consider the following questions:

• What questions need answering?
• Time available to gather information?
• Who will gather this information, analyse and report it?
• What information already exists?
• What information is needed?
• What information gathering techniques would best suit the target audience (ethically and culturally)?

There are many different ways that evaluation information can be gathered. Each approach has advantages and disadvantages and some are more appropriate for some situations than others. When selecting evaluation methods think about the evaluation participants and what their needs may be.

STEP 6: DRAW EVALUATIVE CONCLUSIONS

Once relevant data have been collected, the next step is to draw evaluative conclusions about the quality and success of a programme/project. A good way to go about doing this is to make a table with a list of evaluation criteria and a summary of the relevant data or evidence collected.
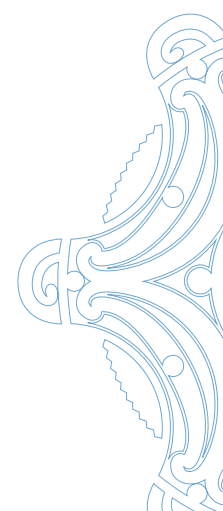
Example: Marae-based Nutrition and Exercise Programme evaluation data for drawing evaluative conclusions

Here is an example relating to the outcome: Awareness of the nutrient value of foods. The criteria and data/evidence are summarised.

Evaluation criteria	Data/evidence
Identify the main food groups	15 out of 20 participants identified the main food groups
Explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C)	10 out of 20 could explain the best sources of certain key vitamins and minerals
Design a balanced nutritious meal using fresh ingredients	18 out of 20 could design a balanced, nutritious meal using fresh ingredients

Once all the data/evidence has been matched up against the criteria, look at the performance standards and make a decision about how the outcome 'Awareness of the nutrient value of foods' will be rated. Performance on this outcome was rated between good and very good as most participants (18 out of 20) could design a balanced, nutritious meal using fresh ingredients (very good) (18 out of 20), most (15 out of 20) could identify the main food groups (very good) and half (10 out of 20) could identify the main food groups and explain which foods were the best sources of certain key vitamins and minerals (good).

Rating	Explanation (how you decide merit)
Excellent	All the participants found the lessons interesting and engaging and they had time to practise their new skills. The content provided accurate nutrition information.
Very Good	Most participants are able to identify the main food groups, explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Good	At least half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients although they may not be able to explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)
Poor	Fewer than half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients or explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)

STEP 7: SHARE LESSONS LEARNED (REPORTING)

Sharing learning that occurs during an evaluation, as well as the key findings, is an important part of all evaluations (regardless of the evaluation approach being followed). Evaluation reports are often lengthy and there is a criticism that they don't get read. This makes it all the more important to think about writing reports that are concise and thinking of creative ways to report. Although a formal report is usually required there are a variety of ways to share lessons learnt; these include: PowerPoint presentation, oral report at a hui or meeting, various media (print, radio, facebook, webpage), or an exhibition.

A key point to consider is who needs to find out about the evaluation findings and design the reporting to meet their needs. Often the audiences identified to share findings with may be similar to those included in the stakeholder group.

A sample report is included in Appendix 4, p.64.

This sample report is very brief – but the layout provides a template which could be used in other programmes.

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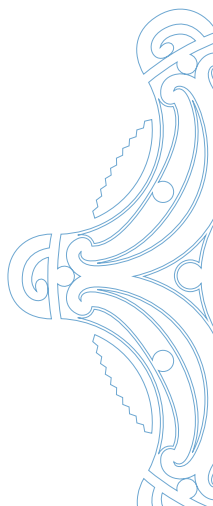
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ELECTRONIC LINKS TO EVALUATION RESOURCES

http://bradroseconsulting.com/index.php/resources/

Definitions of evaluation terms and introductory information about evaluation. Information on different research methods and analysis.

http://www.scu.edu.au/schools/gcm/ar/arp/arphome.html

Information on action research; rationale and methods.

http://www.cdc.gov/eval/resources/index.htm

US government site but has links to a large number of evaluation centres and foundations. Links to about 15 papers on logic models. Good guide on evaluating public health programmes.

http://www.eval.org/p/cm/ld/fid=53

American Evaluation Association link to online resources for evaluators.

http://www.community.net.nz/resources/community-resource-kit/monitoring-and-evaluation/

Lots of evaluation resources and relevant to New Zealand context.

www.outcomescentral.org

Dr Paul Duignan's website with links to Doview and information about evaluation in NZ.

http://www.davidfetterman.com/

David Fetterman's website with free evaluation tools and information about how to do empowerment evaluation.

http://betterevaluation.org/

An international collaboration to improve evaluation practice and theory by sharing information about options (methods or tools) and approaches.

http://learningstore.uwex.edu/assets/pdfs/G3658-4.pdf

http://www.uic.edu/depts/crwg/cwitguide/04_EvalGuide_STAGE2.pdf

http://www.mass.māori.nz/sites/mass.local/files/publications/Māori-Evaluation-Manual-2009.pdf

Appendices

APPENDIX ONE: SAMPLE EVALUATION PLAN

Title: Marae-based Nutrition and Exercise Programme

1. Introduction – Who asked for this evaluation? Why? Who is/are the main audiences
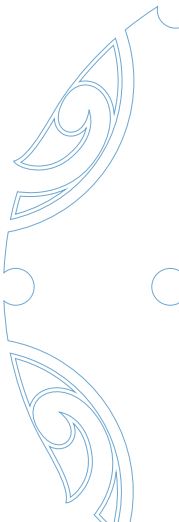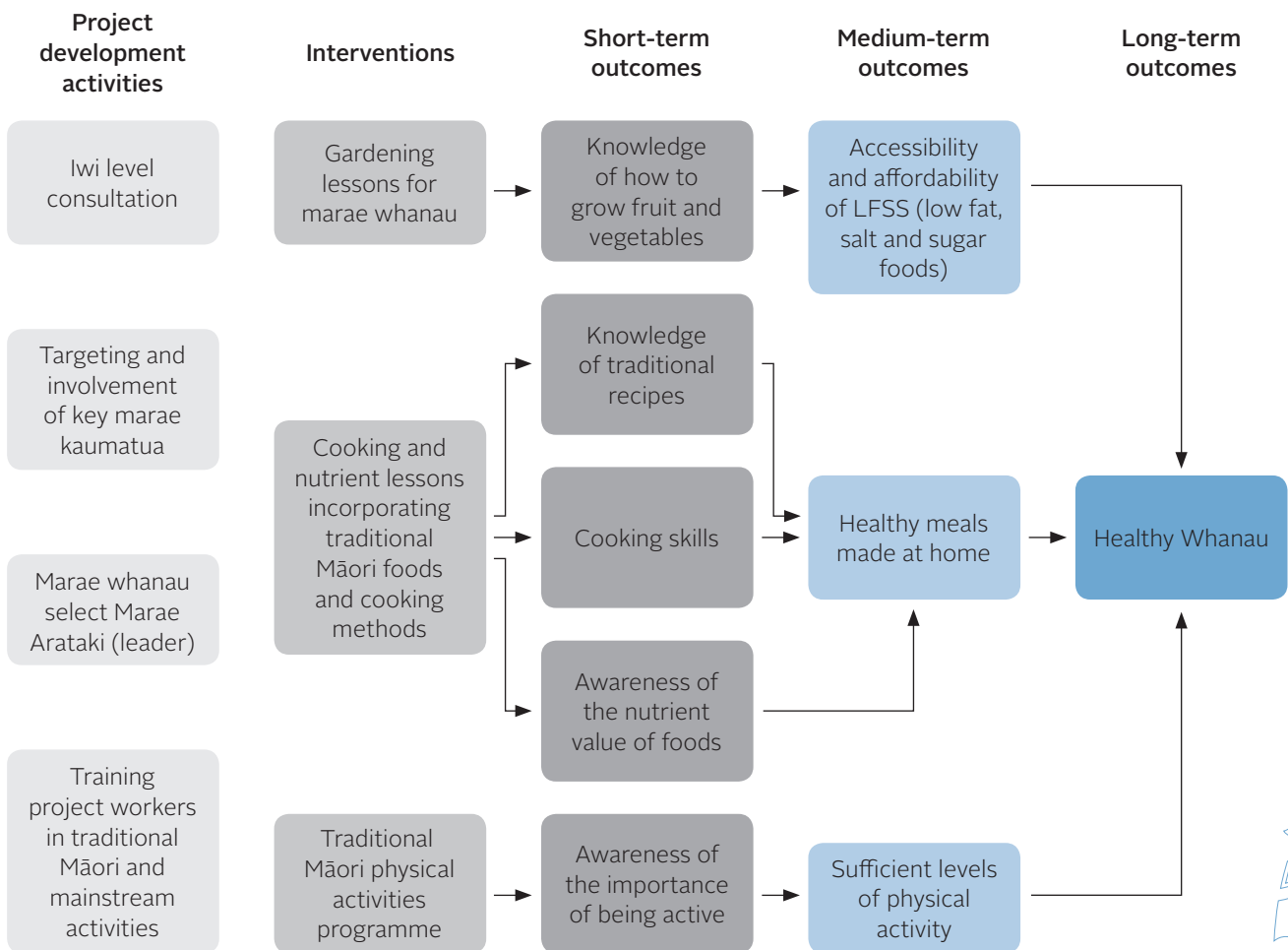
This evaluation was commissioned by the Ministry of Health to determine the quality of the interventions and how successfully the outcomes are being achieved. The information from the evaluation will help determine future funding of the project. The evaluation audiences are the programme providers, marae whanau and the funder.

2. Project description:

In New Zealand there are significant health inequalities between Māori and Pakeha, especially in relation to cardiovascular disease and diabetes. This marae-based project will be looking at influencing lifestyle factors in a small rural Māori community. The project activities will include gardening and cooking lessons and a physical activity programme. As a result of the project we expect whanau will have increased levels of physical activity and improved nutrition, which will contribute to the overall health and wellbeing of the marae community.

3. Programme Logic:

Marae-based Nutrition and Excercise Programme

Project development activities	Interventions	Short-term outcomes	Medium-term outcomes	Long-term outcomes
Iwi level consultation	Gardening lessons for marae whanau	Knowledge of how to grow fruit and vegetables	Accessibility and affordability of LFSS (low fat, salt and sugar foods)	
Targeting and involvement of key marae kaumatua	Cooking and nutrient lessons incorporating traditional Māori foods and cooking methods	Knowledge of traditional recipes	Healthy meals made at home	Healthy Whanau
Marae whanau select Marae Arataki (leader)		Cooking skills		
		Awareness of the nutrient value of foods		
Training project workers in traditional Māori and mainstream activities	Traditional Māori physical activities programme	Awareness of the importance of being active	Sufficient levels of physical activity	

4. Programme evaluation stakeholders

Marae whanau

Programme participants

Funders

5. Evaluation approach and purpose

The evaluation approach is programme theory-driven evaluation with an emphasis on valuing – making value judgements as to the quality and success of initiatives. Programme theory-driven evaluation involves constructing models of the way in which an initiative works (Donaldson, 2007).

Valuing is based on Scriven's (1991) general logic of evaluation which involves determining the merit or worth of an evaluand (project, programme, policy to be evaluated). Four steps comprise this general logic: (1) establish criteria of merit (aspects of an evaluation that define whether it is good or bad and whether or not it is valuable or not valuable); (2) construct standards; (3) measure performance and compare with standards; and (4) synthesise and integrate data on performance into a judgment of merit or worth (Fournier, 1995). The evaluation approach also involves active collaboration with key stakeholders in the design, implementation and interpretation of the evaluation (Cousins & Whitmore, 1998).

The purpose of the evaluation is to determine quality of the programme (process evaluation) and how successfully outcomes have been achieved (outcome evaluation).

This is a process and outcome evaluation.

6. Evaluation priorities

Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods (Process evaluation).

Awareness of the nutrient value of foods (Outcome evaluation).

7. Evaluation questions

What is the quality (i.e. content, design and delivery) of the activities/interventions?

How successfully were the prioritised outcomes achieved?

Process evaluation criteria		
Evaluation Criteria	Data source	Method
The content covers skills required for cooking and accurate nutrition information.	Review of cooking class content by expert (dietician or nutritionist)	Document review
The delivery of lessons is engaging, interesting and at the appropriate level for participants.	Feedback from participants	Feedback form Interview
The design allows participants time to practise new skills and apply knowledge	Feedback from participants	Feedback form Interview

9. Process evaluation performance standards

Intervention: Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods

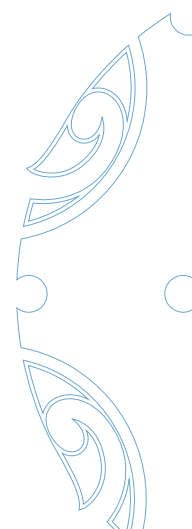| Rating	Explanation (how you decide merit)
Excellent	All the participants found the lessons interesting and engaging and they had time to practise their new skills. The content provided accurate nutrition information.
Very Good	Most of the participants found the lessons interesting and engaging and there was enough time to practise their new skills. The content provided accurate nutrition information.
Good	Most of the participants found the lessons interesting and engaging but there was not enough time to practise. The content provided accurate nutrition information.
Poor	Most participants were bored with the lessons and quickly lost interest or the content did not provide accurate nutrition information.

10. Outcome evaluation criteria

	Sources of data	Methods
Ability to identify the main food groups	Programme participants	Informal assessment of knowledge (interview with dietician)
Ability to state which foods are the best sources of key vitamins and minerals	Family self-assessment of nutritional knowledge (based on listed criteria)	Feedback form Interview
Ability to design a balanced nutritious meal using fresh locally-sourced ingredients	Family self-assessment of nutritional knowledge (based on listed criteria)	Feedback form Interview

11. Outcome evaluation performance standards

Outcome: Increased awareness of the nutrient value of foods

Rating	Explanation (how you decide merit)
Excellent	All participants are able to identify the main food groups, explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Very Good	Most participants are able to identify the main food groups, explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Good	At least half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients although they may not be able to explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)
Poor	Fewer than half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients or explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)

12. Data analysis and drawing evaluative conclusions

Qualitative data will be analysed thematically. Data will be synthesised to enable evaluative conclusions to be drawn with regard to the quality and success of the prioritised activities and outcomes.

13. Evaluation ethics and standards

The evaluation will adhere to the ethical guidelines of the Health and Disability Ethics Committee.

The AEA Evaluation Standards will also guide the conduct of the evaluation: utility, accuracy, feasibility and propriety.

Ethical considerations will be:

• Confidentiality – small community

• Respectful communication

14. Risk assessment

There are no anticipated risks for the evaluation

15. Reporting and planning for use

Verbal feedback to stakeholders at marae

Written report

Photographic display of outcomes achieved

16. Evaluation management and timeline

• Cooking facilities – marae kitchen

• Food supplies – marae garden, local producers

• Trainers

Timeline	Sept	Oct	Nov	Dec
Meet stakeholders	x			
Baseline data collection	x			
Review programme documents		x		
Conduct interviews			x	
Data analysis			x	
Reporting				x

16. Evaluation resourcing and budget

Stakeholder meetings

External evaluator

Evaluation budget = $5000

Title: _____

1. Introduction – Who asked for this evaluation? Why? Who is/are the main audiences?

_____

2. Programme background, context and description including: – History, needs assessment, target population, activities, resources, vision and key objectives (if known).

_____

3. Programme logic: Logic model, plus description including theory of change and key assumptions.
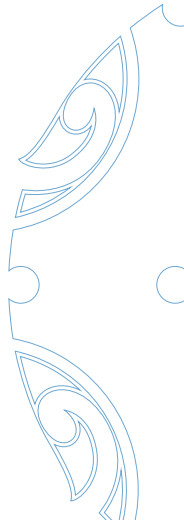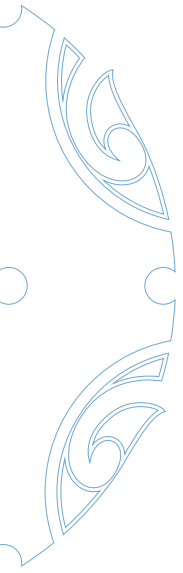
4. Programme and evaluation stakeholders

_____

5. Evaluation approach and purpose

_____

6. Evaluation priorities

_____

7. Evaluation questions

8. Process evaluation criteria

	Sources of data	Methods

9. Process evaluation performance standards

Rating	Performance (how you describe merit)
Excellent	
Very good	
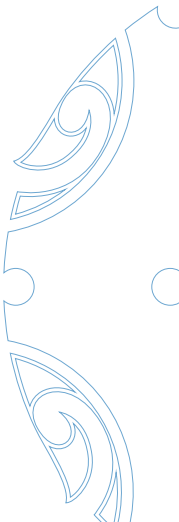
Good	
Poor	

10. Outcome evaluation criteria
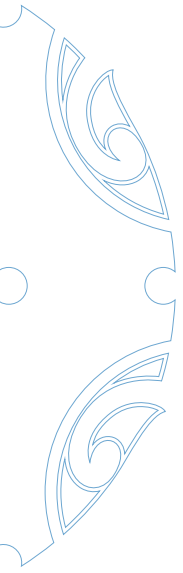
	Sources of data	Methods

11. Outcome evaluation performance standards

Rating	Performance (how you describe merit)
Excellent	
Very good	
Good	
Poor	

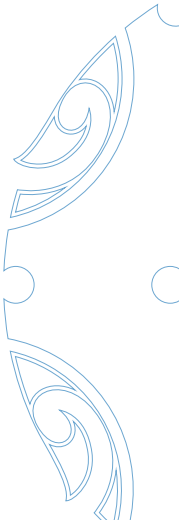**12. Data analysis and drawing evaluative conclusions**
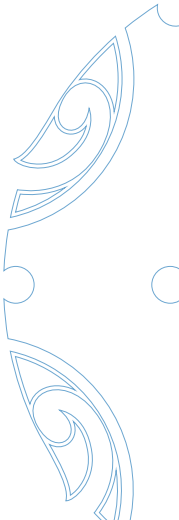
13. Evaluation ethics and standards

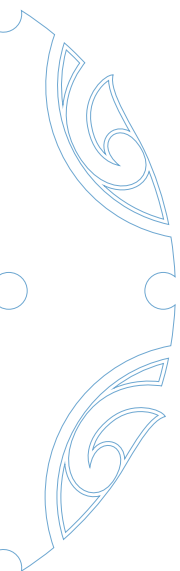## 14. Evaluation risk assessment
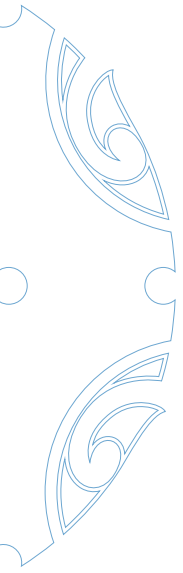
15. Reporting and planning for use

16. Evaluation management and timelines

17. Evaluation resourcing and budget

APPENDIX THREE: CHANGE STORIES

The stories that follow are fictional examples relating to the changes experienced by participants in our teaching example – the Marae-based Nutrition and Exercise Programme.

How the stories were collected

Project staff conducted interviews with community participants around the following question:

Looking back over the last few months, in your opinion, what do you think was the most significant change that took place as a result of the training/support provided by the project?

The stories were reviewed and selected by the project staff and stakeholders (every three months) using the following questions:

From among these significant changes, what do you think was the most significant change of all?

Three stories were selected.

#1 Change Story: The Marae-based Nutrition and Exercise Programme

Does the storyteller consent to us using your story for publication (circle one).

Yes   No

Contact details

Name of person recording story: Project staff member
Name of storyteller: PD
Date of recording: 24 April
Title of story: Eating Well

Tell me how you (the storyteller) first became involved with the Marae-based Nutrition and Exercise Programme and what your current involvement is:

I heard about this programme and wanted to be part of something in our community that would benefit our wellbeing. I was also keen to learn how to plant a vegetable garden.

From your point of view, describe the most significant change that has resulted from your involvement with the Marae-based Nutrition and Exercise Programme.

After the gardening workshops I went home and encouraged my family members to venture into organic gardening. I decided to set up my own family project on organic gardening. Despite not having much money I set up this small project with only the knowledge I got from the gardening workshops. We set up our garden to grow cabbages, capsicums, silver beet, spinach, potatoes, chillies, tomatoes and other things.

I am really grateful for what I learned from the gardening lessons and am using it. Today my garden is doing really well. We are planting our next lot of crops. We have been able to share our produce with our wider whanau and they are now making meals with healthy organic vegetables.

Why is this significant to you?

It is significant for me because at first I had no gardening knowledge. Today I have a good garden running and the crops we have produced are being used to sustain the livelihood of my family and wider whanau.
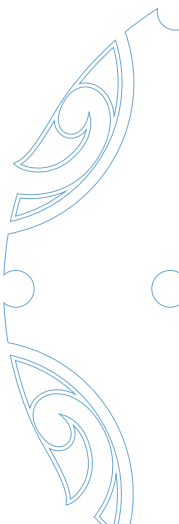
#2 Change Story: The Marae-based Nutrition and Exercise Programme

Does the storyteller consent to us using your story for publication (circle one).

Yes   No

Contact details

Name of person recording story: Project staff member

Name of storyteller: PD

Date of recording: 24 April

Title of story: Eating Well

Tell me how you (the storyteller) first became involved with the Marae-based Nutrition and Exercise Programme and what your current involvement is:

I was overweight and really unfit and needed some motivation to improve my wellbeing. Others in my whanau decided to do the programme and encouraged me to as well.

From your point of view, describe the most significant change that has resulted from your involvement with the Marae-based Nutrition and Exercise Programme.

There have been very big changes – we are fitter now.

The Marae-based Gardening, Nutrition and Exercise Programme has been operating for two years now. We now have four Marae committee members trained to deliver the programme.

The nutrition and cooking lessons really helped. Some of my whanau had grown vegetable gardens and we used some of that produce in the cooking lessons. I have learnt to make healthy nutritious meals and I have a lot more knowledge about the nutrient value of different foods.

I now cook at least four main meals every week and the rest of my family love it when it is my turn to cook. They have tried lots of different recipes and the young ones are starting to help with the cooking.

I noticed that I was feeling better as a result of eating healthier food – no more takeaways or fried food. I also started doing more exercise – just walking to the shops instead of driving and I managed to build up to an hour's walk every day.

Why is this significant to you?

After nearly two years I have lost 20 kilos, my cholesterol levels are normal and my diabetes is under control.

#3 Change Story: The Marae-based Nutrition and Exercise Programme

Does the storyteller consent to us using your story for publication (circle one).

Yes   No

Contact details

Name of person recording story: Project staff member

Name of storyteller: PD

Date of recording: 24th April

Title of story: Feeling Fit

Tell me how you (the storyteller) first became involved with the Marae-based Nutrition and Exercise Programme and what your current involvement is:

I began to be involved in the Marae-based Nutrition and Exercise Programme in 2010 after it had been running for about a year. I had seen members of my whanau working together, growing gardens and sharing produce as well as doing more exercise. The meals we shared on our marae were really delicious – lots of food I had never tried before. I decided I wanted to learn gardening and cooking skills so that I could help set up a garden in our local primary school and a kitchen so that our children could learn the same skills.

From your point of view, describe the most significant change that has resulted from your involvement with the Marae-based Nutrition and Exercise Programme.

After I completed the gardening and cooking programme I got together with three other members of my whanau and we approached our local primary school to see if we could establish a garden at the school. We were also given space to establish a kitchen and dining room in an unused classroom.

We worked with a teacher and a garden specialist to establish the garden. The kids got involved and each class had time once a week to help with the garden. After a year, the garden was flourishing – and it was time to start preparing and cooking the produce. We found recipes that contained the crops we had grown and the children prepared the meals.

Growing, preparing and eating our food together helped create a strong sense of community and the kids really enjoyed the experience. The programme is part of the school curriculum now and it is a highlight of the day for those involved.

Why is this significant to you?

I see this project as having created connections with our kids, the school and the community. The project has been a tool that has assisted to pave the way for a healthier marae community. We are all working together now.
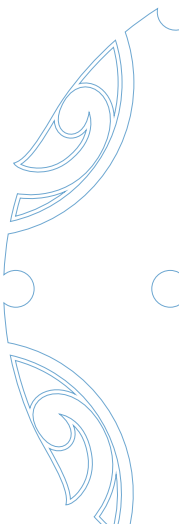
Marae-based Nutrition and Exercise Project Evaluation

A report example

Description of the project

In New Zealand there are significant health inequalities between Māori and Pakeha, especially in relation to cardiovascular disease and diabetes. This marae-based project examined influencing lifestyle factors in a small rural Māori community. The project activities included gardening and cooking lessons and a physical activity programme. As a result of the project whanau were expected to have increased levels of physical activity and improved nutrition, both of which would contribute to the overall health and wellbeing of the marae community.

Marae-based nutrition and exercise project logic model

The diagram below illustrates the thinking behind the project and the expected outcomes.

The first column: *Project development activities*, lists the preparation activities undertaken to get the project started, including the conceptualisation stage.

The second column: *Interventions*, outlines the proposed interventions.

The third column shows the expected *Short-term* outcomes.

The last two columns: *Medium-term outcomes* and *Long-term outcomes* refer to what is expected to happen in years to come as a result of the project.

Marae-based Nutrition and Exercise Programme
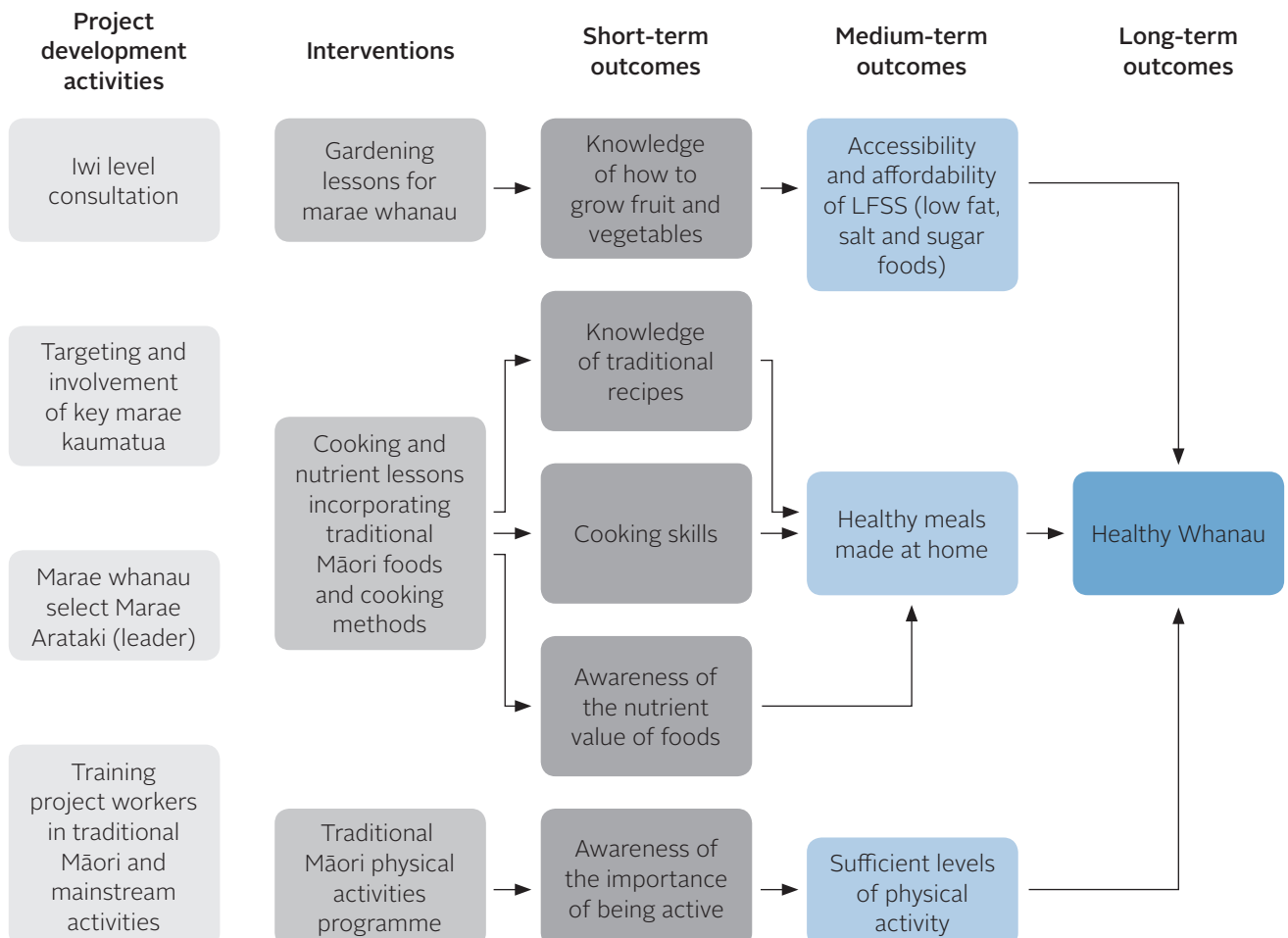
The Intervention: *Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods*, and the outcome: *Awareness of the nutrient value of foods* are the focus of the evaluation and are discussed below under evaluation priorities.

Project implementation

The project began in March with gardening lessons and preparation of the marae garden for winter planting. The cooking lessons did not start until Spring (September) as the two trainers were not available until then. The cooking lessons took place in the marae kitchen and used produce from the marae garden or from local producers.

Stakeholders

The stakeholders in the project included marae whanau, programme participants and the funders.

Evaluation participants

Programme participants (n=20)

Programme facilitators/leaders (n=3)

Evaluation priorities

After consultation with stakeholders there was agreement that the evaluation would focus on a process evaluation to assess the quality of the cooking and nutrition lessons incorporating traditional Māori foods and cooking methods. As well, the funder was particularly keen to have an outcome evaluation to see if the project had been successful in achieving participant awareness of the nutrient value of foods. All stakeholders also wanted the evaluation activities to be feeding information back into the programme so that the programme could be improved where necessary.
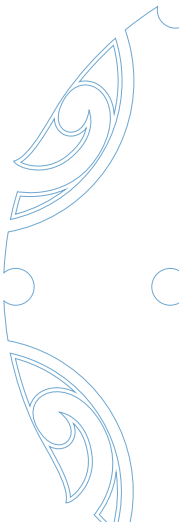
Process evaluation

The process evaluation assessed the quality of the content, design and delivery of the cooking and nutrition lessons. The key questions were:

- To what extent did the content of the lessons cover the required skills for cooking and give participants accurate nutrition information?
- How engaged and interested were the participants in the lessons?
- Was the information pitched at the appropriate level?
- Did participants have enough time to practise and apply their new knowledge?

Evaluation criteria and performance standards

Intervention: Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods

Evaluation Criteria	Data source	Method
The content covers skills required for cooking and accurate nutrition information.	Review of cooking class content by expert (dietician or nutritionist)	Document review
The delivery of lessons is engaging, interesting and at the appropriate level for participants.	Feedback from participants	Feedback form Interview
The design allows participants time to practise new skills and apply knowledge	Feedback from participants	Feedback form Interview

Process evaluation performance standards

Intervention: Cooking and nutrition lessons incorporating traditional Māori foods and cooking methods

Rating	Explanation (how you decide merit)
Excellent	All the participants found the lessons interesting and engaging and they had time to practise their new skills. The content provided accurate nutrition information.
Very Good	Most of the participants found the lessons interesting and engaging and there was enough time to practise their new skills. The content provided accurate nutrition information.
Good	Most of the participants found the lessons interesting and engaging but there was not enough time to practise. The content provided accurate nutrition information.
Poor	Most participants were bored with the lessons and quickly lost interest or the content did not provide accurate nutrition information.

What is the quality (i.e. content, design and delivery) of the prioritised interventions?

To what extent did the content of the lessons cover the required skills for cooking and give participants accurate nutrition information?

A dietician from the local DHB provided up-to-date resources on nutrition and she reviewed the lesson content and structure. She also ran a session with the trainers on nutrition and appropriate cooking methods. This was particularly useful for the trainers when they were incorporating traditional foods and methods.

We learnt some cool stuff about different ways of cooking and especially about the old ways of doing things. Our kaumatua took us through everything explaining it all. Then we got to go on a field trip to _____ Marae where they steam their food from the hot steam coming out of the ground. It was awesome!

How engaged and interested were participants in the lessons?

Observation of participants showed them all actively engaged in the lessons. Feedback from all participants also reflected this:

I found the whole thing really interesting. I wanted to learn more and more.

I didn't think I was going to be so interested so yeah really surprised at how good it was.

What I liked was that I was busy the whole time. They'd show us something then we'd have a go.

Was the information pitched at the appropriate level?

Participants reported gaining new knowledge and realisation of how valuable certain foods were nutritionally:

The tutors had a lot of different ways of showing us stuff – you know there were posters and videos and then they would show us how to do stuff and then we would try so really hands on.

It was awesome. I learnt such a lot I didn't want it to finish.

Did participants have enough time to practise and apply their new knowledge?

Most participants reported having enough time to practise but some also wanted follow-up sessions so they could be kept updated.

I loved it when we got to try things. Sometimes things looked easy but when you did it, it didn't look quite the same.

I learnt a lot eh but it makes you realise how much you don't know. I'm on a bit of a buzz at the moment but I want to keep this knowledge up you know. My family thinks I'm the best cook in the world now.

Yeah it was great. I just want to learn more about cooking but the nutrition stuff was really interesting. I went home and tried everything out and the kids just loved it.

Quality rubric: Cooking lessons for marae whanau

The rubric below was developed with stakeholders to decide how to assess the quality of the programme:

Rating	Explanation (how you decide merit)
Excellent	All the participants found the lessons interesting and engaging and they had time to practise their new skills. The content provided accurate nutrition information.
Very Good	Most participants are able to identify the main food groups, explain which foods are the best sources of key vitamins and minerals (e.g., iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients.
Good	Over half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients although they may not be able to explain which foods are the best sources of key vitamins and minerals (e.g., iron, Vitamin C)
Poor	Most participants were bored with the lessons and quickly lost interest **or** the content did not provide accurate nutrition information.

The quality of the programme fell between good and very good as not all participants felt there was enough time to practise their new skills.
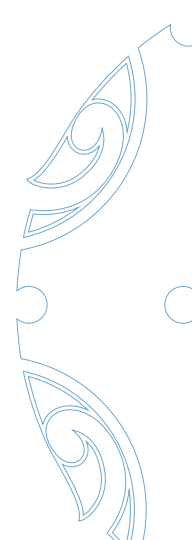
Outcome evaluation

The outcome evaluation assessed whether participants were aware of the nutrient value of foods. The key questions were:

- To what extent were participants able to identify the main food groups?
- To what extent were participants able to identify foods that were the best sources of key vitamins and minerals?
- To what extent were participants able to design a balanced nutritious meal using fresh locally-sourced ingredients?

Outcome: Awareness of the nutrient value of foods

Evaluation criteria	Data source	Method
Ability to identify the main food groups	Assessment of participant's knowledge by a dietician	Interview
Ability to state which foods are the best sources of key vitamins and minerals	Assessment of participant's knowledge by a dietician	Interview

Ability to design a balanced nutritious meal using fresh locally-sourced ingredients	Family self-assessment of nutritional knowledge	Interview

Outcome evaluation performance standards

Outcome: Awareness of the nutrient value of foods

Rating	Explanation (how you decide merit)
Excellent	All participants are able to identify the main food groups, explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Very Good	Most participants are able to identify the main food groups, explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Good	At least half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients although they may not be able to explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)
Poor	Fewer than half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients or explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)

How successfully were the prioritised outcomes achieved?

To what extent were participants able to identify the main food groups?

The dietician interviewed course participants and found all could identify the main food groups.

To what extent were participants able to identify foods that were the best sources of key vitamins and minerals?

All but two of the participants were able to identify foods that were the best sources of key vitamins and minerals.

To what extent were participants able to design a balanced nutritious meal using fresh locally-sourced ingredients?

As well as the dietician interviewing participants, families were asked about the meals they had at home and whether there had been any change in their diet since the programme. All families reported an increase in fruit and vegetable consumption and a marked increase in raw vegetables as in salads. The programme started in Spring so the arrival of Summer has probably influenced the salad intake.

Yeah we eat far more veges and fruit now. The kids take fruit to school every day and just lately we've been having salad every night and it's a different salad every day, never the same, so you can't get bored.

I take salad sandwiches to school and it's okay because the other kids do too.

We planted our tomatoes and courgettes early and we've had a bumper crop. I've never been a vege person but I tell you the different meals we've had with those tomatoes and courgettes has been amazing. It's the talk of the marae.

Success rubric: Awareness of the nutrient value of foods

Rating	Explanation (how you decide merit)
Excellent	All participants are able to identify the main food groups, explain which foods are the best sources of certain key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Very Good	Most participants are able to identify the main food groups, explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C), and design a balanced, nutritious meal using fresh ingredients
Good	Over half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients although they may not be able to explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)
Poor	Fewer than half of the participants are able to identify the main food groups, and design a balanced nutritious meal using fresh ingredients or explain which foods are the best sources of key vitamins and minerals (e.g. iron, Vitamin C)

Performance on this outcome was rated between good and very good as most participants (18 out of 20) could design a balanced, nutritious meal using fresh ingredients (very good) (18 out of 20), most (15 out of 20) could identify the main food groups (very good) and half (10 out of 20) could identify the main food groups and explain which foods were the best sources of certain key vitamins and minerals (good).

Improvements to the programme

As previously mentioned, stakeholders wanted the evaluation to inform any programme improvements. Most of the course participants had large families and were busy people so they needed to be able to make simple nutritious meals that could be prepared quickly. The course added a new session about foods that could be prepared the day before if stored properly, for example, marinated meats. Course participants also requested a session on food for toddlers. The trainers consulted with the dietician because they found the structure of the course needed some reworking to make it flow more logically.

Summary

The Marae-based Nutrition and Exercise Programme runs cooking and nutrition lessons of good to very good quality. The lessons have contributed to participants' awareness of the nutrient value of foods.

Conclusion

Process evaluation findings indicate that the marae-based nutrition and exercise programme was delivered in a way that enabled participants to be actively engaged, gain new knowledge about the nutrient value of foods and how to prepare nutritious meals. Participants also had time to practise skills. Some participants suggested that follow-up sessions would be useful in helping them continue to implement what they had learnt. Outcome evaluation findings indicate an increase in fruit and vegetable consumption and a marked increase in raw vegetables as in salads.

Overall, the marae-based nutrition and exercise programme was well implemented and achieved positive outcomes suggesting that there is value in continuing to fund such projects.
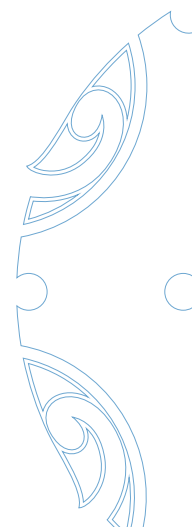
Glossary of terms

Evaluand

The programme, project, policy that is being evaluated.

Project

A project comprises a set of coordinated activities with a prescribed start and finish date in which resources are organised to achieve an objective/unique scope of work.

Programme

A programme is an intervention (or a planned set of activities) at any level of scale, including programmes, projects, policies, strategies and events. It is a set of related projects that together achieve change. Programmes generally have longer time frames than projects.

Programme theory

Programme theory refers to any sort of causal model that links the intervention with particular outcomes. The theory can be based on formal, research-based theory or informal, unspoken assumptions. It is important that the theory includes an explanation of how the programme's activities contribute to the results.
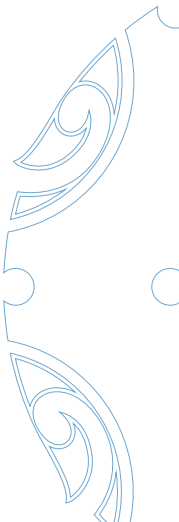
Policy

A policy outlines what an organisation hopes to achieve and the methods and principles it will use to achieve them.

Health policy

Health policy can be defined as the decisions, plans, and actions that are undertaken to achieve specific health goals within a society.

Notes

Notes