

# Checklists for Improving Evaluation Practice

June 10, 2015

## Introductions

<b>Emma Perk</b>	<b>Lori Wingate</b>	<b>Goldie MacDonald</b>
		
		

 This material is based upon work supported by the National Science Foundation under grant number 1204683. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the presenters and do not necessarily reflect the views of NSF.

# Behind the Scenes

**Mike Lesiecki**



**Janet Pinhorn**



**NETWORKS**



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COMMUNITY  
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# Webinar Materials



June 10, 2015

Slides




Handout



Recording

[www.evalu-ate.org/webinars/2015-june/](http://www.evalu-ate.org/webinars/2015-june/)



**1. Checklist Form & Function**

**2. Using Checklists to Improve Evaluation Practice**

**Checklists help us remember what we need to do**



- Make AEA Summer Institute travel arrangements
- Update Symantec
- Follow-up thank you to NVC
- Review PD checklist
- Gather materials for MAE
- Review webinar checklist
- Send Step 6 to Foldre
- Review Step 5 + return
- Find copies of eval recs
- News article
- Prep for next webinar
- PRIME comment letter
- Review Cos article











## Checklist Form and Function


**Lori Wingate**



**Checklist Form & Function**

	Memory Aid	Task Completion	Decision Making	Evaluation
Laundry list	✓			
Procedural checklist	✓	✓		
Diagnostic checklist	✓	✓	✓	
Criteria of merit checklist	✓	✓	✓	✓

based on Scriven's (2007)  
"The Logic and Methodology of Checklists"  
[bit.ly/check-logic](http://bit.ly/check-logic)



**Checklist Form & Function**

## Laundry List

A nonordered list of items or tasks, sometimes grouped into categories





**bit.ly/fema-check**

**Recommended Items to Include in a Basic Emergency Supply Kit:**

- Water, one gallon of water per person per day for at least three days, for drinking and sanitation
- Food, at least a three-day supply of non-perishable food
- Battery-powered or hand crank radio and a NOAA Weather Radio with tone alert and extra batteries for both
- Flashlight and extra batteries
- First aid kit
- Whistle to signal for help
- Dust mask, to help filter contaminated air and plastic sheeting and duct tape to shelter-in-place
- Moist towelettes, garbage bags and plastic ties for personal sanitation
- Wrench or pliers to turn off utilities
- Can opener for food (if kit contains canned food)
- Local maps

Through its **Ready Campaign**, the U.S. Department of Homeland Security educates and empowers Americans to take some simple steps to prepare for and respond to potential emergencies, including natural disasters and terrorist attacks. **Ready** asks individuals to do three key things: get an emergency supply kit, make a family emergency plan, and be informed about the different types of emergencies that could occur and their appropriate responses.

All Americans should have some basic supplies on hand in order to survive for at least three days if an emergency occurs. Following is a listing of some basic items that every emergency supply kit should include. However, it is important that individuals review this list and consider where they live and the unique needs of their family in order to create an emergency supply kit that will meet these needs. Individuals should also consider having at least two emergency supply kits, one full kit at home and smaller portable kits in their workplace, vehicle or other places they spend time.

**Ready**  
Prepare. Plan. Stay Informed. ©

**FEMA**  
Federal Emergency Management Agency  
Washington, DC 20472

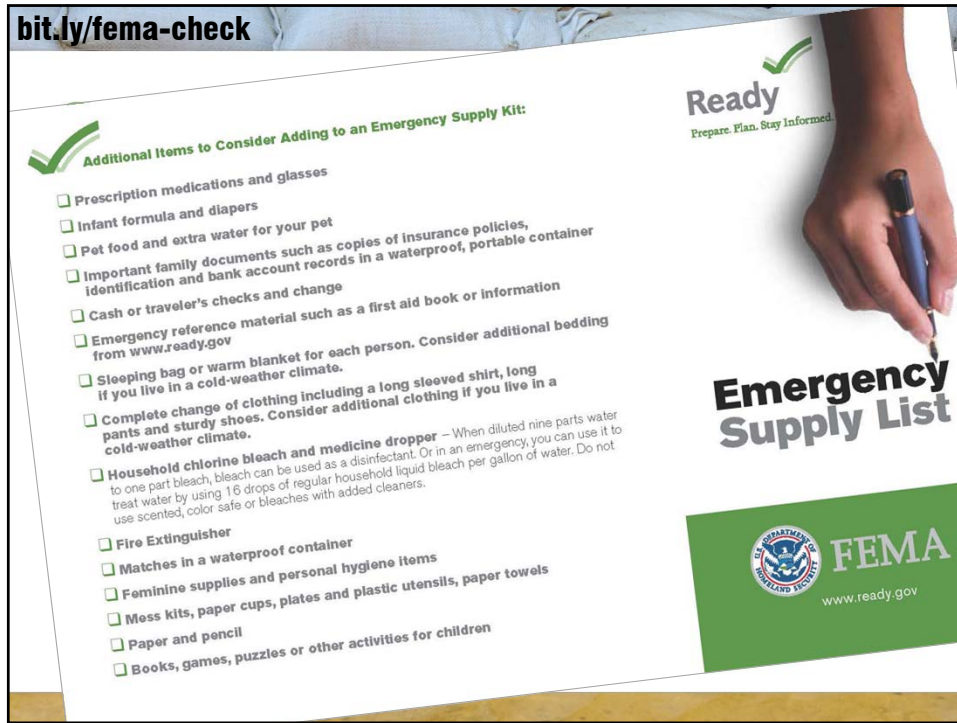
**bit.ly/fema-check**

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- Can opener for food (if kit contains canned food)
- Local maps

**Is there anything on this list you wouldn't have thought of on your own?**

*Get ready to use your markers...*




**Checklist Form & Function**

## Procedural Checklist

A list of tasks or issues that must be addressed in a particular order





Checklist Form & Function

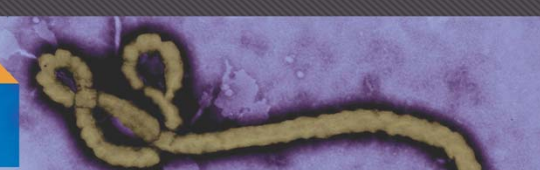
## Diagnostic Checklist





A series of questions or considerations that lead the user to a descriptive conclusion about the status of something

bit.ly/think-ebola


Think  
**EBOLA**

Early recognition is critical for infection control



<p style="font-weight: bold; margin: 0;">INITIATE</p> <p style="font-size: 0.8em; margin: 0;">Think Ebola when you approach a patient. Start the steps for basic infection control before assessing the patient for risks.</p> <ul style="list-style-type: none"> <li>■ Always use standard precautions</li> <li>■ If there are concerns that the patient could meet the criteria for Ebola, immediately separate the patient from others</li> </ul> 	<p style="font-weight: bold; margin: 0;">IDENTIFY</p> <p style="font-size: 0.8em; margin: 0;">Assess your patient for:</p> <ul style="list-style-type: none"> <li>■ Travel to a country with widespread transmission or uncertain control measures (Guinea, Liberia, or Sierra Leone) within the last 21 days</li> </ul> <p style="font-size: 0.8em; margin: 0;">OR</p> <ul style="list-style-type: none"> <li>■ Contact with someone with Ebola within the last 21 days</li> </ul> <p style="font-size: 0.8em; margin: 0;">AND</p> <ul style="list-style-type: none"> <li>■ Had a fever at home, or has a current temperature <math>\geq 100.4^{\circ}\text{F}</math> (<math>\geq 38^{\circ}\text{C}</math>)</li> <li>■ Other symptoms:                             <ul style="list-style-type: none"> <li>- Severe headache</li> <li>- Muscle pain</li> <li>- Weakness</li> <li>- Fatigue</li> <li>- Diarrhea</li> <li>- Vomiting</li> <li>- Abdominal (stomach) pain</li> <li>- Unexplained hemorrhage (bleeding or bruising)</li> </ul> </li> <li>■ If the patient has both exposure and symptoms, immediately isolate the patient and inform others (see INFORM)</li> </ul> 	<p style="font-weight: bold; margin: 0;">ISOLATE</p> <p style="font-size: 0.8em; margin: 0;">If assessment indicates possible Ebola virus infection, take action.</p> <ul style="list-style-type: none"> <li>■ Isolate the patient in a private room with a private bathroom or covered, bedside commode and close the door</li> <li>■ Wear appropriate personal protective equipment (PPE): <a href="http://go.usa.gov/szgB">http://go.usa.gov/szgB</a></li> <li>■ Limit the healthcare personnel who enter the room</li> <li>■ Keep a log of everyone who enters and leaves the patient's room</li> <li>■ Consider alternative diagnoses, and evaluate appropriately</li> <li>■ Only perform necessary tests and procedures</li> <li>■ Avoid aerosol-generating procedures</li> <li>■ Follow CDC guidelines for cleaning, disinfecting, and managing waste: <a href="http://go.usa.gov/szYA">http://go.usa.gov/szYA</a></li> </ul> 	<p style="font-weight: bold; margin: 0;">INFORM</p> <p style="font-size: 0.8em; margin: 0;">Alert others, including public health authorities.</p> <ul style="list-style-type: none"> <li>■ Notify your facility's infection control program and other appropriate staff</li> <li>■ Contact your state or local public health authorities</li> <li>■ Consult with state or local public health authorities about testing for Ebola</li> <li>■ For a list of state and local health department numbers, visit: <a href="http://go.usa.gov/174V">http://go.usa.gov/174V</a></li> </ul> 
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For more information, visit: [www.cdc.gov/vhf/ebola/hcp](http://www.cdc.gov/vhf/ebola/hcp)



**bit.ly/think-ebola**

## Think EBOLA

Early recognition is critical for infection

### INITIATE

Think Ebola when you approach a patient. Start the steps for basic infection control before assessing the patient for risks.

- Always use standard precautions
- If there are concerns that the patient could meet the criteria for Ebola, immediately separate the patient from others

### IDENTIFY

Assess your patient for:

- Travel to a country with transmission or uncertain control measures (Guinea, Liberia, or Sierra Leone)

OR


- Contact with someone with Ebola within the last 21 days

AND

- Had a fever at home, or  $\geq 100.4^{\circ}\text{F}$  ( $\geq 38^{\circ}\text{C}$ )
- Other symptoms:
  - Severe headache
  - Muscle pain
  - Weakness
  - Fatigue
  - Diarrhea
  - Vomiting
  - Abdominal (stomach) pain
  - Unexplained hemorrhage (bleeding or bruising)

If the patient has both exposure and symptoms, immediately isolate the patient and inform others (see INFORM)

For more information, visit: [www.cdc.gov](http://www.cdc.gov)



**Checklist Form & Function**

## Criteria of Merit Checklist

A list of characteristics that define quality for a particular product or phenomena to aid the user in reaching an evaluative judgment

This is a checklist to be utilized by authors, report developers, and other interested parties to aid in the development and maximization of readability of written documents.

### CLEAR WRITING CHECKLIST

Use the following checklist to create clear, organized, and effective documents.

**IN MY DOCUMENT**

- I identified a purpose and stuck to it.
- I wrote for my audience and purpose (and not for myself or the topic).
- I organized content to meet my readers' needs.
- I selected and focused on a limited number of key points (ideally 3 to 5).
- I selected a limited number of supporting details (ideally 1 to 3) for each key point.
- I used a lot of useful, meaningful headings.
- I considered using illustrations.
- I used emphasis (bold print or shading, for example) to highlight important concepts.
- I used terms consistently.
- I minimized my use of abbreviations and acronyms.
- I designed the layout and structure for easy reading.


**IN MY PARAGRAPHS**

- I included only one topic in each paragraph.
- I used a topic sentence at the beginning of each paragraph, where possible.
- I used transitions to get from one paragraph to the next.
- I wrote short paragraphs (no more than 5 sentences or 7 lines per paragraph).
- I used examples where appropriate.
- I used bulleted and numbered lists to break up dense information and add white space.
- I used tables to make complex material easier to understand.

**IN MY SENTENCES**

- I made sure that each sentence is about one thing or serves one purpose.
- I used pronouns like "you" and "we" where appropriate to speak directly to readers.
- I used active voice (not passive voice).
- I made sure the action of each sentence is clear (through use of a clear, strong verb).
- I use the simplest form of verbs (e.g., "use" not "utilize").
- I avoided using hidden verbs (e.g., "analyze" not "conduct an analysis").
- I used "must" to indicate requirements (not "shall").
- I used contractions when appropriate.
- I didn't use jargon or unnecessary technical terms.
- I used short, simple words.
- I didn't cluster a bunch of nouns together.
- I omitted unnecessary words.
- I didn't use slashes.
- I wrote short sentences (no more than 20 words per sentence).
- I kept the subject and verb close together in my sentences.
- I avoided double negatives and exceptions to exceptions in my sentences.
- I placed the main idea before exceptions and conditions in my sentences.
- I placed modifiers next to the words they modify.
- I placed the subject in the topic position at the beginning of my sentences.
- I paid attention to what I placed at the end of each sentence (because I understand that readers tend to remember that).

National Center for Environmental Health  
Division of Health Studies



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*(Will help you avoid writing terrible sentences like this one!)*

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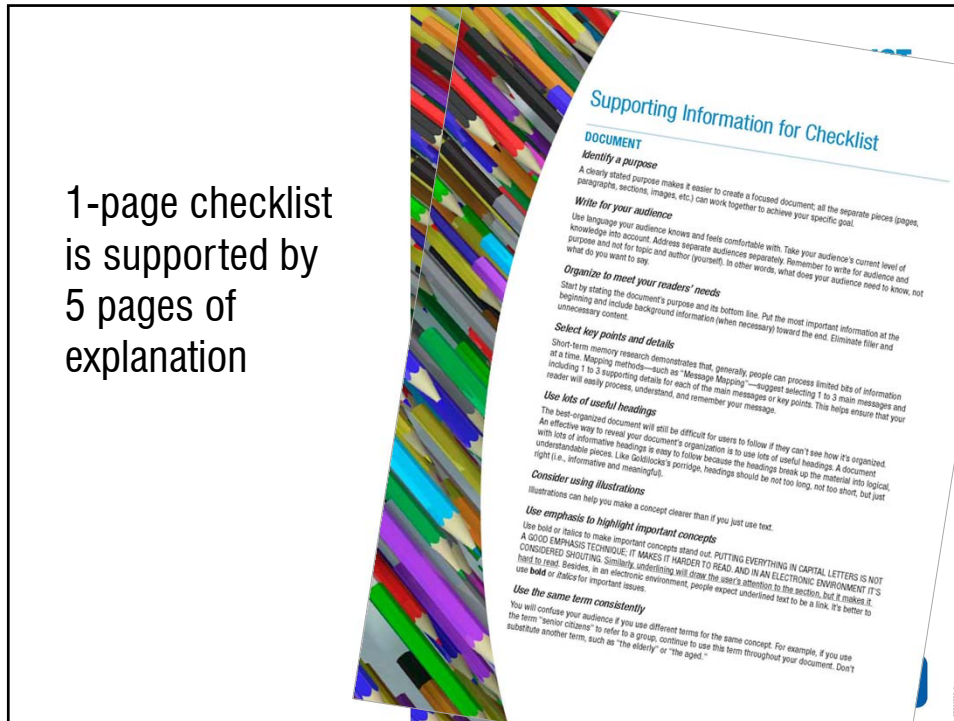
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**Checklist Form & Function**

**MAIN FUNCTIONS**

- Aid Memory
- Guide Task Completion
- Guide Decision Making
- Reach Evaluative Conclusions

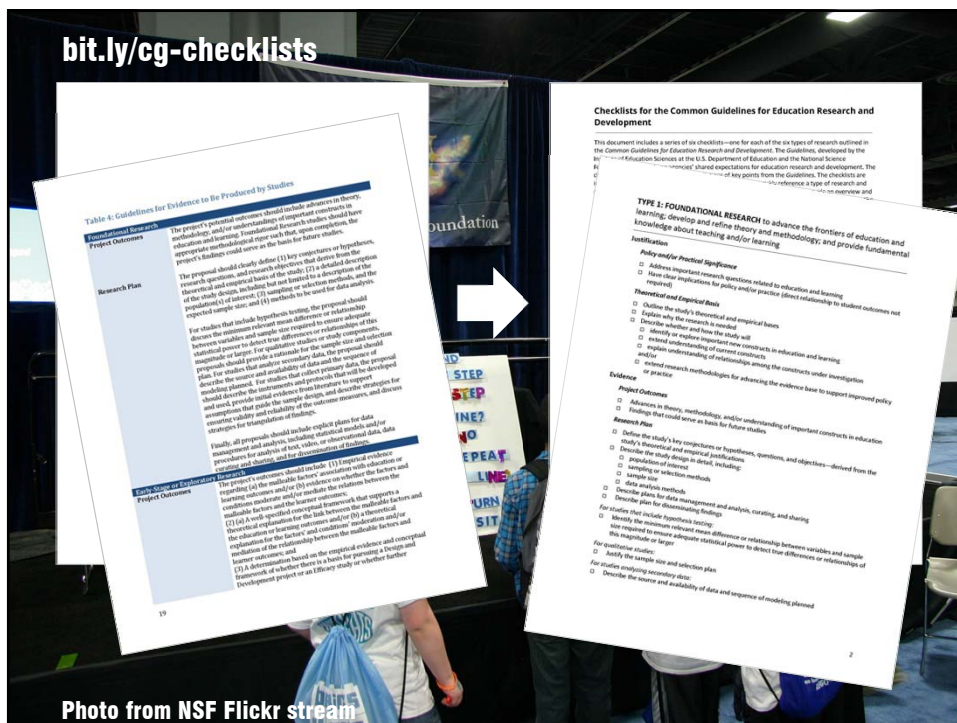
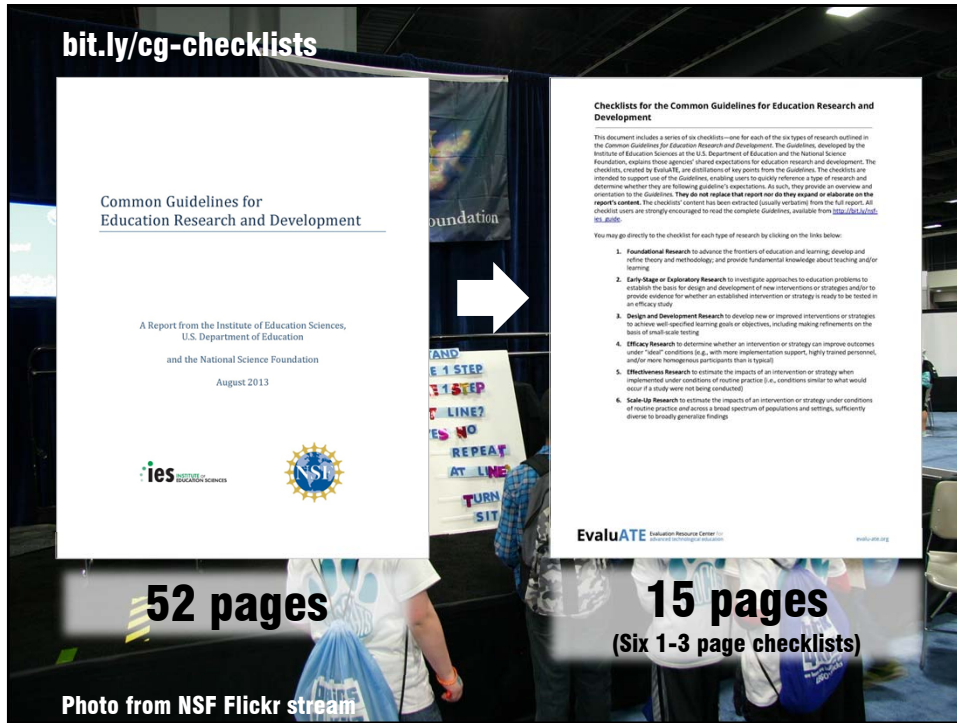
**MAIN BENEFITS**

- Distill Complex Content
- Transfer Knowledge
- Quality Control

**CHECKLISTS**







<b>Overview of the Common Guidelines for Education Research and Development*</b> See <a href="http://bit.ly/nsf-ies_guide">bit.ly/nsf-ies_guide</a> <b>EvaluATE</b> <a href="http://evalu-ate.org">evalu-ate.org</a>		<b>FOUNDATIONAL RESEARCH</b> advances the frontiers of education and learning; develops and refines theory and methodology; and provides fundamental knowledge about teaching and/or learning.	<b>EARLY-STAGE OR EXPLORATORY RESEARCH</b> investigates approaches to education problems to establish the basis for design and development of new interventions or to provide evidence for whether an established intervention is ready to be tested in an efficacy study.	<b>DESIGN &amp; DEVELOPMENT RESEARCH</b> develops new or improved interventions to achieve well-specified learning objectives.	<b>EFFICACY RESEARCH</b> determines whether an intervention or strategy can improve outcomes under "ideal" conditions.	<b>EFFECTIVENESS RESEARCH</b> estimates the impacts of an intervention when implemented under conditions of routine practice.	<b>SCALE-UP RESEARCH</b> estimates the impacts of an intervention under conditions of routine practice and across a broad spectrum of populations and settings.		
<b>JUSTIFICATION</b>	<b>Policy and/or Practical Significance</b>	Focus the study on important issues in education with implications for policy and practice and explain why the research is needed	Explain how the research will generate important new knowledge	Describe how the intervention differs from current practice	Identify implementation setting(s) and population(s)	Explain why and how intervention will improve education outcomes or system efficiencies	Explain why the intervention will be studied under ideal conditions	Explain why the intervention will be studied under typical conditions	Explain why the intervention will be studied under typical conditions with a broad sample
	<b>Theoretical and Empirical Basis</b>	Describe the theoretical and empirical rationale for the study	Explain how the study will advance knowledge and understanding about education and/or extend research methodologies	If researching existing interventions, explain why it should be studied through Early-Stage research rather than an Efficacy study	If justification rests on evidence related to individual components, explain how combining them will lead to outcomes	Describe theory of action	Include evidence from prior studies and/or evidence of wide use of the intervention and/or	If a replication study, include evidence of positive impacts and rationale for new study population	Impact estimates from either (a) one study that includes multiple sites or settings or (b) two studies that include one site or setting
<b>EVIDENCE</b>	<b>Project Outcomes</b>	Advances in knowledge, understanding, or methodology	Evidence about how to influence education outcomes	Theory of action	Complete documentation of intervention and the study	Description of treatment and comparison conditions	Estimates of impact, including for sample subgroups if possible	Implications for theory of action	
	<b>Research Plan</b>	Findings to inform future research	Determination of appropriate next steps for the research	Impact measures for use in future research	Pilot data				
<b>FEEDBACK</b>		Describe research questions, hypotheses, objectives, design, setting, data collection plan, instruments, sampling, analysis, and reporting	Describe plan for collecting pilot data	Describe plan for collecting data on feasibility of implementation		Identify outcomes of interest; minimum impact size for policy or practical relevance	Describe how validity and reliability will be assured	Data collection on implementation, context, and comparison conditions	Subject the study to a series of external, critical reviews of its design and activities via one or more of the following strategies: external review panels or advisory boards proposed by the project and/or the agency, a third-party evaluator, peer review of publications and conference presentations resulting from the project

\*The Guidelines were developed by the Institute of Education Science at the U.S. Department of Education and the National Science Foundation. This overview, created by EvaluATE, is a distillation of key points from the Guidelines.



## Checklists Support Quality Control

Checklist Form & Function



## EvaluATE's Webinar Checklist


**Day Before Webinar**

- Send email to presenters including:
  - Revised slides
  - Webinar timing schedule
  - Webinar reminder link (see below)
- Ensure the feedback survey is working
- Create PDF of slides (2 slides per build, question and answer)
- Upload webinar materials
  - Slide PDF
  - Webinar Handout
- Post webinar announcement

**Day of Webinar**


- Post on social media
- Log into webinar (1 hour prior to webinar start time)
- Remind presenters:
  - Get water
  - Mute and stow cell phone
  - Turn off computer speakers
  - Stay on mute whenever you aren't speaking, don't forget to unmute on your turn
  - Advance the slides with your own picture
  - End within a minute or two of your allotted time
  - If get lost in slides, moderator will reset the slides
  - Describe signal to wrap it up due to time constraints (e.g. "Time is running out, let's wrap up")


[bit.ly/webinar-check](http://bit.ly/webinar-check)




Checklist Form & Function

## Checklists Aid in Knowledge Transfer



Michael Scriven	Michael Quinn Patton	Daniel Stufflebeam
		
<ul style="list-style-type: none"> <li>✓ Key Evaluation Checklist</li> </ul>	<ul style="list-style-type: none"> <li>✓ Utilization-Focused Evaluation Checklist</li> <li>✓ Qualitative Evaluation Checklist</li> </ul>	<ul style="list-style-type: none"> <li>✓ Evaluation Plans and Operations Checklist</li> <li>✓ CIPP Evaluation Model Checklist</li> <li>✓ Evaluation Design Checklist</li> <li>✓ Evaluation Contracts Checklist</li> </ul>

Daniel Stufflebeam	
<p><b>“ Students began pressing me to explain what exactly I was doing in designing project evaluations. Answering their questions proved difficult. In retrospect, I was developing and exercising a kind of personal art of evaluation design rather than laying out and following any particular systematic approach. When the students persisted in pressuring me to give them an evaluation planning protocol, I decided to try to respond. Thus, I developed my first evaluation checklist. ”</b></p>	
<p>Daniel Stufflebeam (2000)          “Guidelines for Developing Evaluation Checklists: The Checklists Development Checklist”  <a href="http://www.wmich.edu/evalctr/checklists">www.wmich.edu/evalctr/checklists</a></p>	<ul style="list-style-type: none"> <li>✓ <b>Evaluation Plans and Operations Checklist</b></li> <li>✓ CIPP Evaluation Model Checklist</li> <li>✓ Evaluation Design Checklist</li> <li>✓ Evaluation Contracts Checklist</li> </ul>

**www.wmich.edu/evaluation/checklists**

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**The Evaluation Center**

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Directory

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### Evaluation Checklists

The Evaluation Center at Western Michigan University **improves the quality and consistency of evaluations** by providing high-quality checklists targeted to specific evaluation tasks and approaches that enhance evaluation capacity.

Before using the checklists, please review the [acceptable use policies](#).

Use the checklists on this site to facilitate your evaluation work. There is no restriction or charge for printing the checklists for personal or organizational use. **Use of the checklists for commercial purposes, including resale, is prohibited.**

You must rely on your own judgment in determining whether a checklist fits your particular need. No representation or warranties are made that the checklists are fit for the particular use contemplated by the user and any such warranties or representations are disclaimed.

**About checklists**

- [Guidelines for Checklist Development and Assessment](#) by Daniel Stufflebeam
- [The Evaluation Checklist Project: The Inside Scoop on Content, Process, Policies, Impact, and Challenges](#) by Lori Wingate
- [The Logic and Methodology of Checklists](#) by Michael Scriven
- [The Ten Commandments, Constitutional Amendments and Other Evaluation Checklists](#) by Daniel Stufflebeam
- [Usability Evaluation Report for the Evaluation Checklist Project Web Site](#) by Barbara Bichelmeyer

**Categories**

**Evaluation capacity building and institutionalization**

- [Evaluation Capacity Building](#) by Boris Volkov and Jean King
- [Institutionalizing Evaluation](#) by Daniel Stufflebeam

Interdisciplinary Ph.D.  
in Evaluation

**EvaluATE**  
Evaluation Resource Center

Evalu-ATE.org

Evaluation Cafe

**JMDE**  
Journal of MultiDisciplinary Evaluation

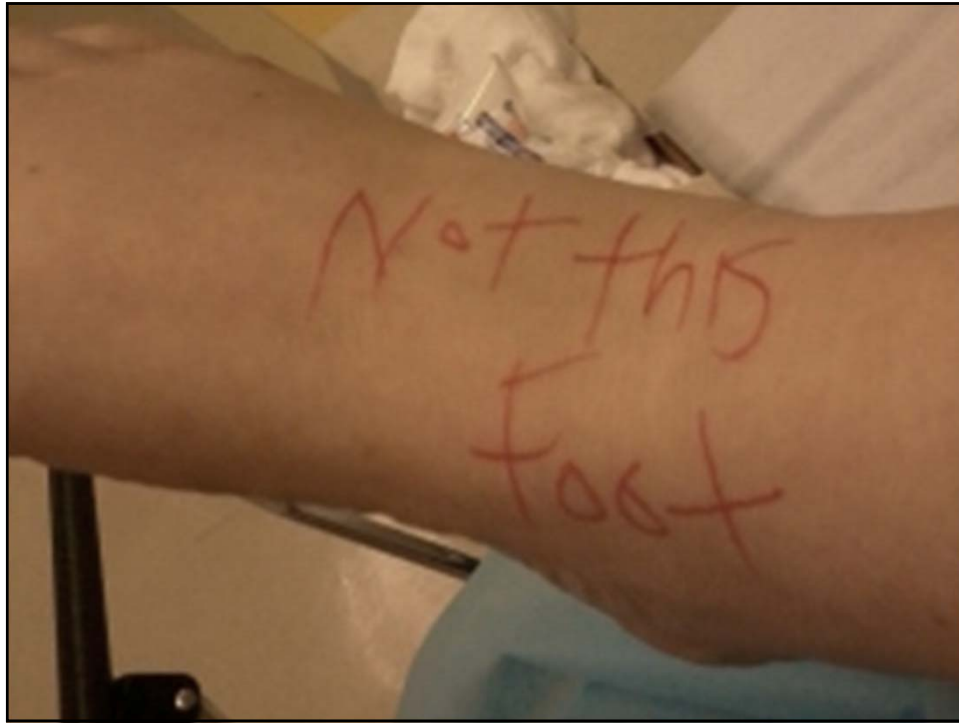
[f](#) [t](#)



Discussion



Goldie MacDonald





**Questions**

**Emma Perk**      **Lori Wingate**      **Goldie MacDonald**



 *Type them in the chat box now*

## Join us on Social Media



**EvaluATE**



**WMUEvaluATE**



**@EvaluATE\_WMU**

**#evalchecklists**



**EvaluATE Group**



**WE'RE HIRING!**  
Assistant Director of  
The Evaluation Center  
[bit.ly/wmu-ec-job](http://bit.ly/wmu-ec-job)

**THE EC**  
EVALUATION  
CENTER

**W**  
WESTERN MICHIGAN  
UNIVERSITY

**• Kalamazoo**

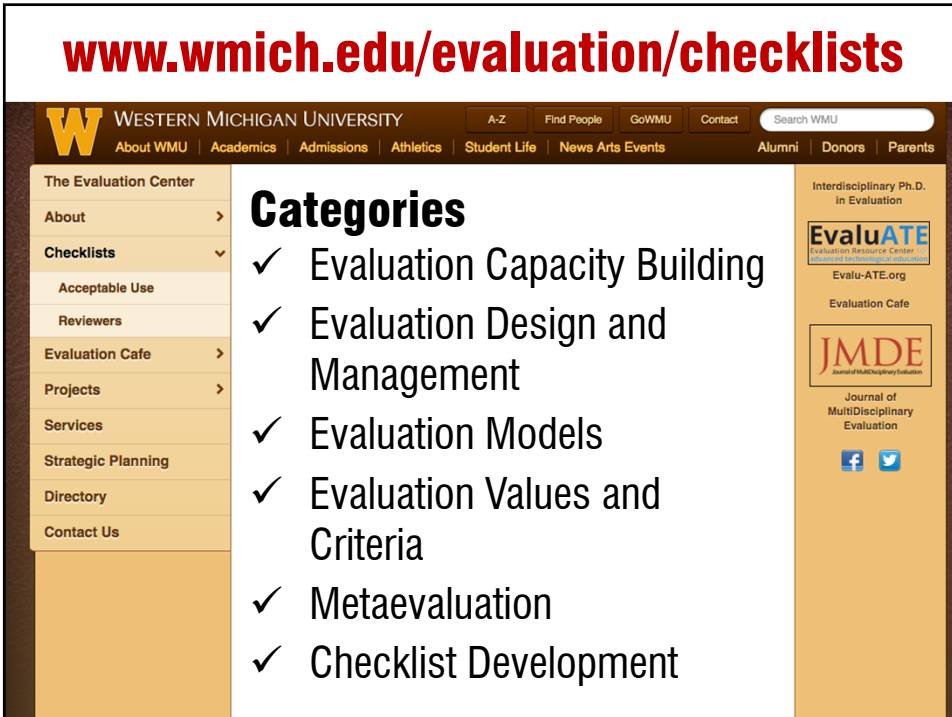




## Using Checklists to Improve Evaluation Practice

**Lori Wingate**

[www.wmich.edu/evaluation/checklists](http://www.wmich.edu/evaluation/checklists)



**Categories**

- ✓ Evaluation Capacity Building
- ✓ Evaluation Design and Management
- ✓ Evaluation Models
- ✓ Evaluation Values and Criteria
- ✓ Metaevaluation
- ✓ Checklist Development

The screenshot also shows a navigation menu on the left with 'Checklists' expanded, and a right sidebar with logos for 'EvaluATE' and 'JMDE'.



# Evaluation Contracts Checklist

**by Daniel Stufflebeam**  
[bit.ly/eval-contracts](http://bit.ly/eval-contracts)

### EVALUATION CONTRACTS CHECKLIST

Daniel L. Stufflebeam, 1999

*This checklist designed to help evaluators and clients to identify key contractual issues and make and record their agreements for conducting an evaluation. Advance agreements on these matters can mean the difference between an evaluation's success and failure. Without such agreements the evaluation process is constantly subject to misunderstanding, disputes, efforts to compromise the findings, attack, and/or withdrawal by the client—of cooperation and funds.*

Mark each item as important and incorporated   , or not applicable   na  , or leave it blank   , indicating not agreed to though important.

<p><b>Basic Considerations</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Object of the evaluation</li> <li><input type="checkbox"/> Purpose of the evaluation</li> <li><input type="checkbox"/> Client</li> <li><input type="checkbox"/> Other right-to-know audiences</li> <li><input type="checkbox"/> Authorized evaluator(s)</li> <li><input type="checkbox"/> Guiding values and criteria</li> <li><input type="checkbox"/> Standards for judging the evaluation</li> <li><input type="checkbox"/> Contractual questions</li> </ul> <p><b>Information</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Required information</li> <li><input type="checkbox"/> Data collection procedures</li> <li><input type="checkbox"/> Data collection instruments and protocols</li> <li><input type="checkbox"/> Information sources</li> <li><input type="checkbox"/> Participant selection</li> <li><input type="checkbox"/> Provisions to obtain needed permissions to collect data</li> <li><input type="checkbox"/> Follow-up procedures to assure adequate information</li> <li><input type="checkbox"/> Provisions for assuring the quality of obtained information</li> <li><input type="checkbox"/> Provisions to store and maintain security of collected information</li> </ul> <p><b>Analysis</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Procedures for analyzing quantitative information</li> <li><input type="checkbox"/> Procedures for analyzing qualitative information</li> </ul> <p><b>Reports</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Deliverables and due dates</li> <li><input type="checkbox"/> Interim report formats, contents, lengths, audiences, and methods of delivery</li> <li><input type="checkbox"/> Final report format, contents, length, audiences, and methods of delivery</li> <li><input type="checkbox"/> Restrictions/permissions to report via diskettes, web site, etc.</li> <li><input type="checkbox"/> Restrictions/permissions to publish information from or based on the evaluation</li> </ul>	<p><b>Reporting Safeguards</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Anonymity/confidentiality</li> <li><input type="checkbox"/> Pre-release review of reports</li> <li><input type="checkbox"/> Rebuttal by evaluatees</li> <li><input type="checkbox"/> Editorial authority</li> <li><input type="checkbox"/> Final authority to release reports</li> </ul> <p><b>Protocol</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Contact persons</li> <li><input type="checkbox"/> Rules for contacting program personnel</li> <li><input type="checkbox"/> Communication channels and assistance</li> </ul> <p><b>Evaluation Management</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Time line for evaluation work of both clients and evaluators</li> <li><input type="checkbox"/> Assignment of evaluation responsibilities</li> </ul> <p><b>Client Responsibilities</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Access to information</li> <li><input type="checkbox"/> Services</li> <li><input type="checkbox"/> Personnel</li> <li><input type="checkbox"/> Information</li> <li><input type="checkbox"/> Facilities</li> <li><input type="checkbox"/> Equipment</li> <li><input type="checkbox"/> Materials</li> <li><input type="checkbox"/> Transportation assistance</li> <li><input type="checkbox"/> Work space</li> </ul> <p><b>Evaluation Budget</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Payment amounts and dates</li> <li><input type="checkbox"/> Conditions for payment, including delivery of required reports</li> <li><input type="checkbox"/> Budget limits/restrictions</li> <li><input type="checkbox"/> Agreed-upon indirect/overhead rates</li> <li><input type="checkbox"/> Contracts for budgetary matters</li> </ul> <p><b>Review and Control of the Evaluation</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Contract amendment and cancellation provisions</li> <li><input type="checkbox"/> Provisions for periodic review, modification, and renegotiation of the evaluation design as needed</li> <li><input type="checkbox"/> Provision for evaluating the evaluation against professional standards of sound evaluation</li> </ul>
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Preparer \_\_\_\_\_ Date \_\_\_\_\_

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Evaluation Checklists Project  
www.wmich.edu/evalctr/checklists/

**EVALUATION CONTRACTS CHECKLIST**  
Daniel L. Stufflebeam, 1999

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**Reporting Safeguards**

- Anonymity/confidentiality
- Prerelease review of reports
- Rebuttal by evaluatees
- Editorial authority
- Final authority to release reports

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**Information**

- Required information
- Data collection procedures
- Data collection instruments and protocols
- Information sources
- Participant selection
- Provisions to obtain needed permissions to collect data
- Follow-up procedures to assure adequate information
- Provisions for assuring the quality of obtained information
- Provisions to store and maintain security of collected information

# Evaluation Contracts Checklist

by Daniel Stufflebeam

bit.ly/eval-contracts

**Evaluation Budget**

- Payment amounts and dates
- Conditions for payment, including delivery of required reports
- Budget limits/restrictions
- Agreed-upon indirect/overhead rates
- Contracts for budgetary matters

## Evaluation Budget Checklist

by Jerry Horn  
[bit.ly/eval-budget](http://bit.ly/eval-budget)

Photo courtesy of  
[www.seniorliving.org](http://www.seniorliving.org)

### A CHECKLIST FOR DEVELOPING AND EVALUATING EVALUATION BUDGETS

Jerry Horn  
December 2001

*This checklist is designed to assist evaluators and others think through the many issues that should be considered when developing an evaluation budget. This instrument is divided into several categories of typical cost items for conducting evaluations, and questions or statements are used as prompts for users to consider. In some cases, an item on the checklist may not be applicable. Full consideration should be given to the following two Program Evaluation Standards' in all cases:*

**F 3-Cost Effectiveness** The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified.

**P 8-Fiscal Responsibility** The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate.

**I. Basic Considerations.** In developing a budget, basic considerations or information will guide the form and nature of your work. Therefore, the issues should be known before attempting to construct either a preliminary or final budget.

<input type="checkbox"/> Type of agreement for the evaluation	Will this evaluation be funded by a grant, contract, or cooperative agreement?
<input type="checkbox"/> Condition of payment	Will payment be on the basis of cost reimbursement or a fixed price?
<input type="checkbox"/> Funding source	Is the funding source a government agency, private foundation, private sector business/industry, or nonprofit entity?
<input type="checkbox"/> Funding period	Over what period of time will the budget be applicable? Does this include more than one fiscal year?
<input type="checkbox"/> Budget contact	Who are the designated contacts for budget matters in the funding organization and in the proposer's organization?
<input type="checkbox"/> Budget limits	Has a limit for the evaluation budget been established, such as percentage of total budget or maximum amount?
<input type="checkbox"/> Condition of payment	Will monies from the funding agency be made available as a lump sum, periodically (e.g., monthly, quarterly, or on the basis of submission of deliverables), or reimbursable based on submission of invoices with required documentation?
<input type="checkbox"/> Preaward costs	Are costs allowable that are directly related to the evaluation activities but are incurred before the official effective date of the grant/contract?

Evaluations Checklist Project  
[www.wmich.edu/evalctr/checklists/](http://www.wmich.edu/evalctr/checklists/)

## Evaluation Budget Checklist

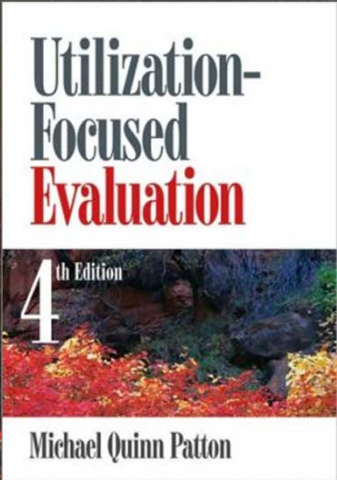
6 pages of checkpoints  
across 10 categories →

by Jerry Horn  
[bit.ly/eval-budget](http://bit.ly/eval-budget)

Photo courtesy of  
[www.seniorliving.org](http://www.seniorliving.org)


- ✓ Basic Considerations
- ✓ Travel
- ✓ Supplies and Materials
- ✓ Communications
- ✓ Copying Printing
- ✓ Equipment
- ✓ Consultants
- ✓ Subcontracts
- ✓ In-kind or Cost-sharing
- ✓ Indirect/Overhead

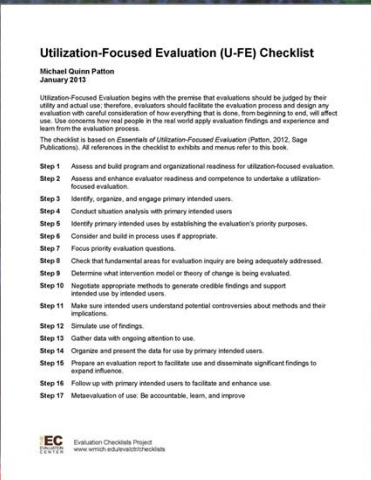
## Utilization-Focused Evaluation Checklist



**667 pages**

[bit.ly/ufe-check](http://bit.ly/ufe-check)





**19 pages**

## Utilization-Focused Evaluation Checklist

### Step 12. Simulate use of findings

- ✓ Fabricate findings based on the proposed design and measures of implementation and outcomes
- ✓ Guide primary intended users in interpreting the potential (fabricated) findings.
- ✓ Interpret the simulation experience to determine if any design changes, revisions, or additions to the data collection would likely increase utility.
- ✓ As a final step before data collection, have primary intended users make an explicit decision to proceed with the evaluation given likely costs and expected uses.



Photo from CDC Global Health Flickr stream

September 17, 1999 / Vol. 48 / No. 38-41

**MMWR**<sup>TM</sup>  
MORBIDITY AND MORTALITY  
WEEKLY REPORT

Recommendations  
and  
Reports

**Framework for Program Evaluation  
in Public Health**

U.S. DEPARTMENT OF HEALTH & HUMAN SERVICES  
Centers for Disease Control and Prevention (CDC)  
Atlanta, Georgia 30333

*bit.ly/cdc-eval*

**Framework for Program Evaluation in Public Health:  
A Checklist of Steps and Standards**

Orlinda MacDonald  
Centers for Disease Control and Prevention  
Atlanta, Georgia  
[www.cdc.gov](http://www.cdc.gov)

The U.S. Centers for Disease Control and Prevention (CDC) released the Framework for Program Evaluation in Public Health in 1999 to aid in evaluation planning, implementation, and use of findings. The Framework summarizes the basic elements of program evaluation via minimal steps and standards of practice (Figure 1). The checklist is a distillation of the content of the Framework with important clarifications or considerations for each of the steps. The purpose of the checklist is to: (1) assist the user in understanding the content of the Framework and present the information in a format usable at the front lines of public health, and (2) enhance users' understanding of the essential content of the original publication. The only way in which the content of this checklist deviates from the original publication is the inclusion of the most recent addition to the Program Evaluation Standards: Evaluation Accountability. Users of this checklist can read the original Framework in its entirety at [www.cdc.gov/eval/framework](http://www.cdc.gov/eval/framework) and access the Program Evaluation Standards at [www.cdc.gov](http://www.cdc.gov).

Steps

1. Organize evaluations
2. Describe the program
3. Focus the evaluation design
4. Gather credible evidence
5. Justify conclusions
6. Ensure use and share lessons learned

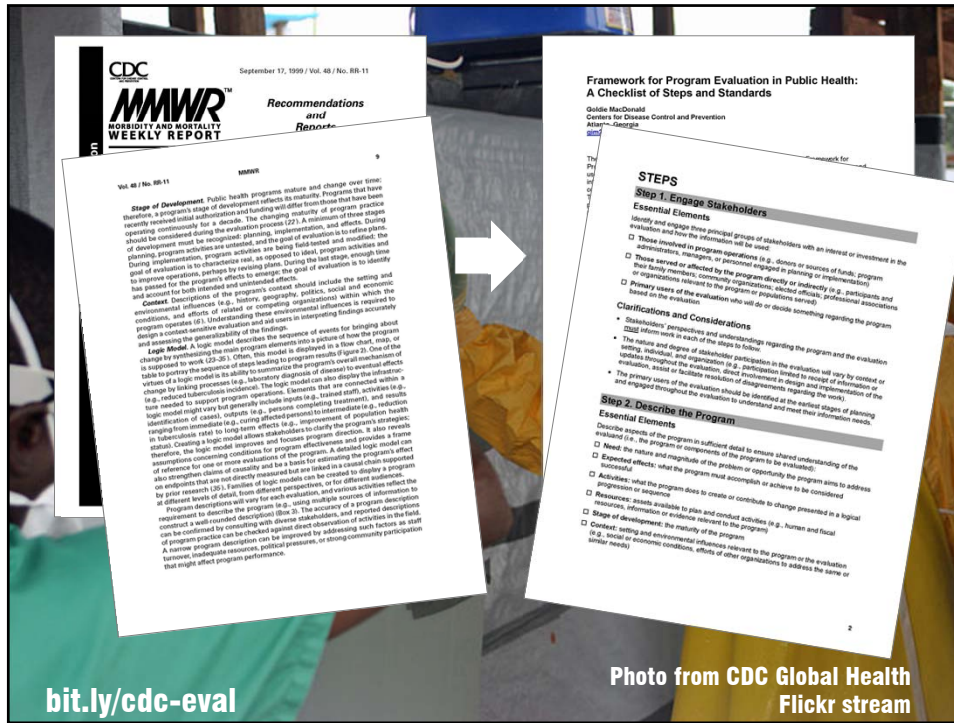
Standards  
Utility  
Feasibility  
Priority  
Accuracy  
Evaluation  
Accountability

Figure 1. Framework for Program Evaluation in Public Health

**EC**  
Source: [www.cdc.gov/eval/framework](http://www.cdc.gov/eval/framework)

58 pages                      8 pages

Photo from CDC Global Health Flickr stream



Framework for Program Evaluation in Public Health:  
A Checklist of Steps and Standards  
**Step 2. Describe the Program**

- Need
- Expected effects
- Activities
- Resources
- Stage of development
- Context
- Logic Model

Framework for Program Evaluation in Public Health:  
A Checklist of Steps and Standards

## Step 3. Focus the Evaluation Design

### What is the missing checkpoint?

- Purpose
- Users
- Uses
- Questions
- Methods
- Agreements

### Framework for Program Evaluation in Public Health: A Checklist of Steps and Standards

Goldie MacDonald  
Centers for Disease Control and Prevention  
Atlanta, Georgia  
[gim2@cdc.gov](mailto:gim2@cdc.gov)

The U.S. Centers for Disease Control and Prevention (CDC) released the Framework for Program Evaluation in Public Health in 1999 to aid in evaluation planning, implementation, and use of findings. The Framework summarizes the basic elements of program evaluation via interrelated steps and standards of practice (Figure 1).<sup>1</sup> This checklist is a distillation of the content of the Framework with important clarifications or considerations for each of the steps. The purpose of the checklist is two-fold: (1) extract the core content from a forty- page publication and present the information in a format usable at the front lines of public health; and (2) enhance users' understanding of the essential content of the original publication. The only way in which the content of this checklist deviates from the original publication is the inclusion of the most recent addition to the Program Evaluation Standards: Evaluation Accountability.<sup>2</sup> Users of this checklist can read the original Framework in its entirety at [www.cdc.gov/eval/framework](http://www.cdc.gov/eval/framework) and access the Program Evaluation Standards at [www.icsee.org](http://www.icsee.org).

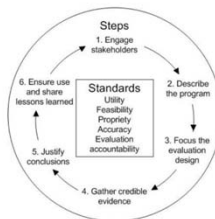
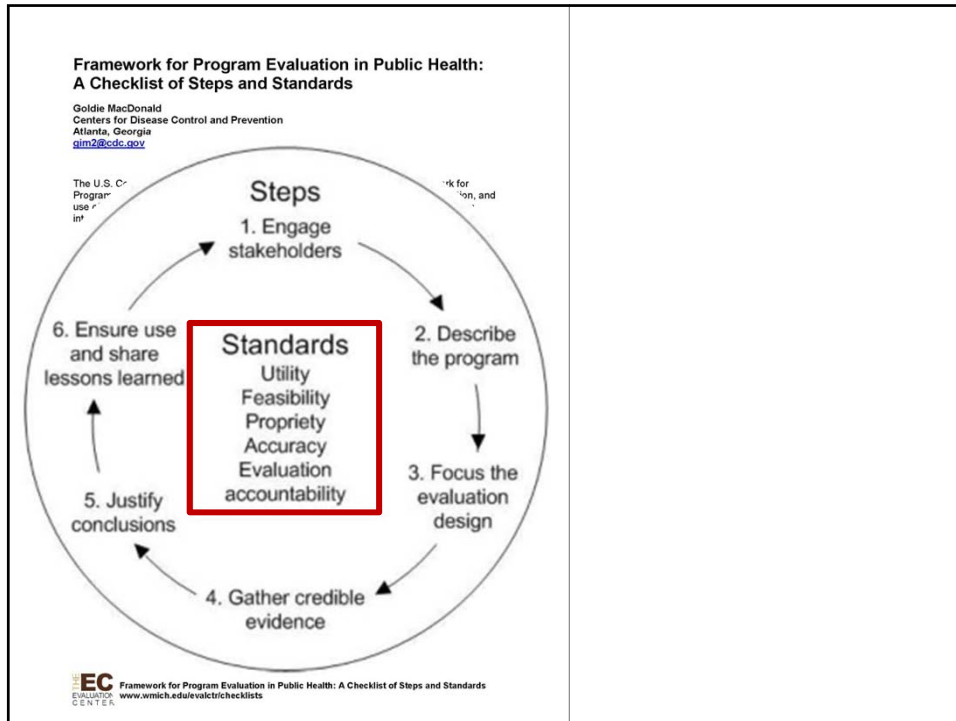


Figure 1. Framework for Program Evaluation in Public Health

**EC** Framework for Program Evaluation in Public Health: A Checklist of Steps and Standards  
EVALUATION CENTER  
[www.wmich.edu/evalctr/checklists](http://www.wmich.edu/evalctr/checklists)





**Framework for Program Evaluation in Public Health: A Checklist of Steps and Standards**

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The U.S. Centers for Disease Control and Prevention

EC EVALUATOR CENTER  
www.wmich.edu/evalctr/checklists

**STANDARDS**

The Program Evaluation Standards<sup>1</sup> include thirty statements in five categories: utility, feasibility, propriety, accuracy, and evaluation accountability. The standards names and statements are reproduced below with permission of the Joint Committee on Standards for Educational Evaluation. For more information, go to [jcsee.org](http://jcsee.org).

**Utility Standards**

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

**U1 Evaluator Credibility:** Evaluations should be conducted by qualified people who establish and maintain credibility in the evaluation context.

**U2 Attention to Stakeholders:** Evaluations should devote attention to the full range of individuals and groups invested in the program and affected by its evaluation.

**U3 Negotiated Purposes:** Evaluation purposes should be identified and continually negotiated based on the needs of stakeholders.

**U4 Explicit Values:** Evaluations should clarify and specify the individual and cultural values underpinning purposes, processes, and judgments.

**U5 Relevant Information:** Evaluation information should serve the identified and emergent needs of stakeholders.

**U6 Meaningful Processes and Products:** Evaluations should construct activities, descriptions, and judgments in ways that encourage participants to rediscover, reinterpret, or revise their understandings and behaviors.

**U7 Timely and Appropriate Communicating and Reporting:** Evaluations should attend to the continuing information needs of their multiple audiences.

**U8 Concern for Consequences and Influence:** Evaluations should promote responsible and adaptive use while guarding against unintended negative consequences and misuse.

**Feasibility Standards**

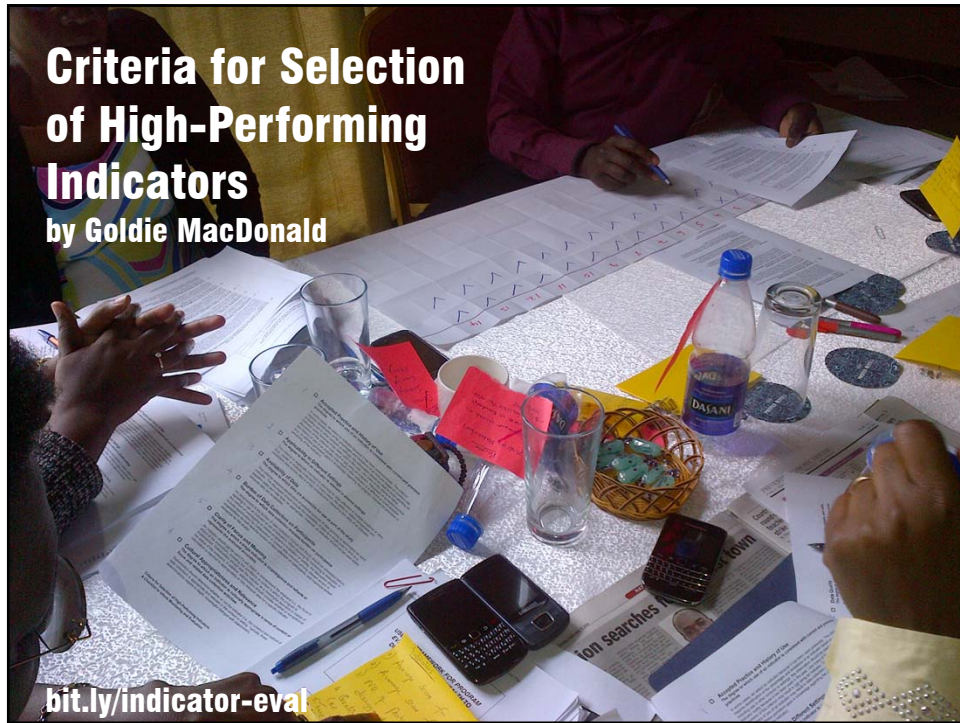
The feasibility standards are intended to increase evaluation effectiveness and efficiency.

**F1 Project Management:** Evaluations should use effective project management strategies.

**F2 Practical Procedures:** Evaluation procedures should be practical and responsive to the way the program operates.

**F3 Contextual Viability:** Evaluations should recognize, monitor, and balance the cultural and political interests and needs of individuals and groups.

**F4 Resource Use:** Evaluations should use resources effectively and efficiently.



**Criteria for Selection of High-Performing Indicators**  
by Goldie MacDonald

[bit.ly/indicator-eval](http://bit.ly/indicator-eval)

**Criteria for Selection of High-Performing Indicators**  
A Checklist to Inform Monitoring and Evaluation

Goldie MacDonald  
Centers for Disease Control and Prevention  
Atlanta, Georgia  
[gm2@cdc.gov](mailto:gm2@cdc.gov)

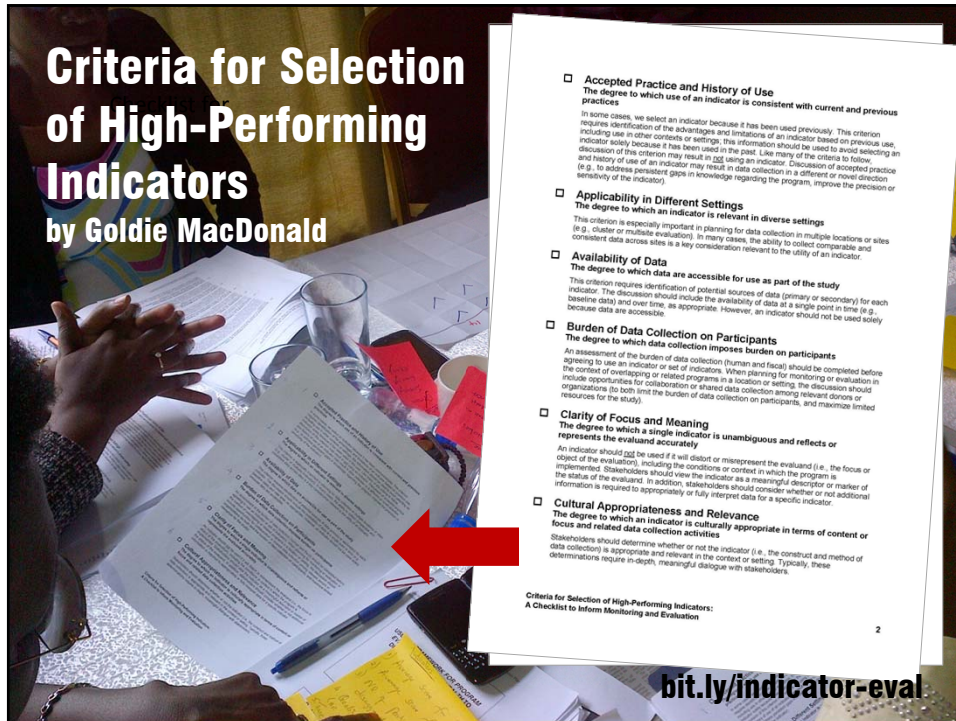
The checklist includes practice-based criteria to be considered in the selection of indicators for use in monitoring and evaluation. The selection of indicators can be a complex, time-consuming task. In some cases, this process is not made explicit for stakeholders. Moreover, those expected to participate in this work come to the discussion with varying levels of knowledge relevant to monitoring and evaluation. Therefore, how do we assess the quality of indicators proposed for use? And, how do we encourage full participation of stakeholders in this dialogue? The purpose of the checklist is three-fold: (1) aid in establishing a process and shared vocabulary for dialogue with stakeholders regarding the selection of indicators; (2) reinforce the necessary connection of indicators to the evaluation questions to be addressed by the study; and (3) contribute to design of data collection activities more clearly linked to intended uses of findings.

As a starting point, what is an indicator? The term is used widely with variation in meaning and application. For the purposes of this checklist, an indicator is a documentable or measurable piece of information regarding some aspect of the program in question (e.g., characteristics of the program, facets of implementation or service delivery, outcomes). In many cases, indicators provide a meaningful marker or approximation of the status of program implementation or outcomes. For the purposes of monitoring and evaluation, an indicator requires an operational definition and methodologically sound, rigorous data collection. An indicator may use qualitative or quantitative information.

The checklist is designed to help those responsible for monitoring and evaluation identify high-performing, resource-efficient indicators in collaboration with stakeholders, especially those in a position to make decisions regarding the program based on findings of the study. The checklist should be used at the earliest stages of planning the study to inform and stimulate dialogue regarding options for indicators, including the practical considerations relevant to data collection.

The criteria that follow are presented in alphabetical order, not in order of importance; the relevance and utility of each criterion will vary by setting and user. This tool does not include all criteria that could be considered when selecting indicators.

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CENTER [www.smwch.edu/evalchecklists](http://www.smwch.edu/evalchecklists)



## Indicator Selection Criterion

- Nondirectional Language**  
The indicator is written as neutral, not defined as positive or negative in advance of data collection

### Which indicator meets this criterion?

- A) Retention rate among first generation college students
- B) Increased retention among first generation college students

### **Indicator Selection Criterion**

**Nondirectional Language**

The indicator is written as neutral, not defined as positive or negative in advance of data collection

### **Which indicator meets this criterion?**

- A) Percentage of participants who attended 75% or more of program events
- B) Mean number of events attended by participants





**Data Quality**  
The degree to which information collected will be complete, reliable, and valid. Thresholds for data quality will vary by setting, based on stakeholder expectations and values. The relative importance of different dimensions or types of quality will also vary. Those responsible for the study should engage stakeholders in establishing explicit standards for data quality.

**Investment of Resources**  
The amount of resources (e.g., funds, personnel, time) needed for data collection, analysis, and use of data or findings.  
Selection of an indicator requires a precise understanding of the resources needed to collect and analyze the data. This criterion includes consideration of the knowledge or skills necessary to use an indicator. In many cases, discussion of investment of resources results in identification of hard choices to be made regarding feasibility, quality, and timeliness of the data.

**Nondirectional Language<sup>1</sup>**  
The indicator is written as neutral, not defined as positive or negative in advance of data collection.  
Indicators should not be written with a bias or preference in direction or value. In many cases, program outcomes are presented as statements of achievement or progress (e.g., increase or decrease). Indicators should be written as neutral and nondirectional: the interpretation or valuation of the data for the indicator should occur when data collection is complete. For example, the indicator should be written as "level of knowledge" versus "increase in knowledge" or "prevalence of tobacco use among young people" versus "decreased prevalence of tobacco use among young people".

**Opportunity to Detect Unexpected or Unintended Findings**  
The degree to which an indicator (or set of indicators) allows for documentation of unexpected or unintended aspects of the program.  
In many cases, we construct indicators to determine whether or not what we thought would happen actually occurs, both in terms of program implementation and outcomes. However, some of the indicators should be flexible enough to create an opportunity for unexpected or unintended findings to emerge.

**Pathway for Use of Data**  
The degree to which use and users of data are known and agreed upon.  
This criterion speaks to two issues: who will use data collected and how the information will be used. The criterion is intended to assure that dialogue regarding potential indicators includes explicit and purposeful links to intended use. Accordingly, it is critical that data to be collected are well-suited to the intended use (i.e., provide the types and quality of information needed to achieve the desired use).

Criteria for Selection of High-Performing Indicators:  
A Checklist to Inform Monitoring and Evaluation 3

**Relevance to Evaluation Questions**  
The degree to which an indicator helps to address predefined evaluation questions.  
This criterion should be used to assess the connectedness of indicators to the questions to be addressed by the study. If an indicator does not clearly contribute to answering these questions, stakeholders should carefully consider whether or not to use the indicator. In addition, stakeholders should consider whether or not there is sufficient diversity of indicators to adequately address the evaluation questions. The set of indicators may be too focused on a single aspect or dimension of the evaluated (e.g., use of fiscal resources, completion of activities, delivery of programs or services). For example, if stakeholders want to document progress toward intended outcomes over time, the indicators must not be limited to implementation or outputs of the program.

**Strength of Evidence or Substantive Merit<sup>2</sup>**  
The scope and quality of information supporting the indicator as an appropriate descriptor or measure of the evaluated.  
The degree to which an indicator is considered to be technically sound in a particular domain or field. The evidence for use of an indicator may include published or unpublished literature, stakeholders' experience or values, consultation with those most familiar with the program, or lessons from monitoring or evaluation of similar programs. Stakeholders should determine whether or not the evidence is sufficient to support use of the indicator.

**Value within a Set of Indicators**  
The degree to which a single indicator adds meaning to a set of indicators.  
In many cases, stakeholders consider an indicator as a single item or piece of information, as opposed to a component of a set of indicators intended to address predefined monitoring or evaluation questions in concert. In addition to assessing the individual merits of an indicator, stakeholders should assess the value of an indicator within a set of indicators to fully determine its utility. This criterion aids in identifying duplications or redundancies in data collection and may result in use of a more manageable, smaller number of high-performing indicators.

**References**  
<sup>1</sup> Bloom, S. S. (2008). Violence against women and girls: A compendium of monitoring and evaluation indicators. United States Agency for International Development. Retrieved April 16, 2012 from [www.pepfar.org/Violence-Against-Women-and-Girls-a-Compendium-of-Monitoring-and-Evaluation-Indicators](http://www.pepfar.org/Violence-Against-Women-and-Girls-a-Compendium-of-Monitoring-and-Evaluation-Indicators)  
<sup>2</sup> Indicators Technical Working Group of the UNAIDS Monitoring and Evaluation Reference Group. (2010). Indicator standards: Operational guidelines for selecting indicators for the HIV response. Joint United Nations Program on HIV/AIDS. Retrieved March 26, 2013 from [http://www.unaids.org/en/media/unaids/contentassets/documents/ducr/2010/3\\_MERG\\_Indicator\\_Standards.pdf](http://www.unaids.org/en/media/unaids/contentassets/documents/ducr/2010/3_MERG_Indicator_Standards.pdf)

**Acknowledgments**  
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Criteria for Selection of High-Performing Indicators:  
A Checklist to Inform Monitoring and Evaluation 4

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Questions

**Emma Perk**

**Lori Wingate**

**Goldie MacDonald**

Type them in the chat box now

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