The Tribal Maternal, Infant, and Early Childhood Home Visiting Program

Evaluation Capacity Readiness Assessment Checklist

For Tribal Home Visiting Grantees

July 2017
Evaluation Capacity Readiness Assessment Overview

The Evaluation Capacity Readiness Assessment (ECR) is a tool for Tribal MIECHV grantees to facilitate a self-assessment of your readiness to engage in evaluation activities. As noted in the Implementation Plan Guidance, grantees are required to conduct rigorous formative evaluations to answer locally relevant questions that surface from your needs and readiness assessment. An important first step in preparing for evaluation planning, is to examine your organizational readiness to plan and conduct an evaluation.

This assessment process can help you determine the areas of your program and organization that may need to be strengthened to ensure you are fully prepared to plan, launch, and implement a formative evaluation. It is common for grantees to identify multiple areas to strengthen before they are ready to successfully implement an evaluation study. Taking time to first identify and address areas of improvement is an important first step to being proactive and prepared to implement a successful evaluation. Your Tribal Home Visiting Evaluation Institute (TEI) liaison will support you throughout the ECR, and the evaluation planning and evaluation implementation processes over the next several years.

The ECR will happen in four steps, outlined in the timeline below and the ECR Flow Chart. Step 1 of this process begins with completing the ECR Checklist. The ECR checklist is intended to be completed by grantee program leadership in consultation with their program teams. In Step 2, you will review your ECR results, identify areas to strengthen over the coming year, and develop strategies for strengthening these targeted areas. In Step 3, you will take the necessary actions to implement your identified strategies for improvement. Taking action in Step 3 is critical to improving your evaluation capacity and readiness and may involve multiple activities and take several months to complete. Finally, after reviewing changes to the targeted areas and determining that improvements have been achieved, you will be ready move to Step 4, which will involve identifying feasible evaluation questions for your formative evaluation. All four steps will lead to the development of your formative evaluation plan.

Here is a timeline of the whole process:
### Evaluation Capacity Readiness Assessment Checklist

<table>
<thead>
<tr>
<th>TASK</th>
<th>RATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Support for evaluation</td>
<td></td>
</tr>
<tr>
<td>1. My organization has existing evaluation data collection processes in place that we can adapt for subsequent evaluations.</td>
<td>Not Started Yet, Partially in Place, In Place</td>
</tr>
<tr>
<td>2. My organization has structures and systems in place to gather, store, analyze and use data.</td>
<td></td>
</tr>
<tr>
<td>3. My organization sees evaluation as a tool that is central to our program work.</td>
<td>Disagree, Agree, Strongly Agree</td>
</tr>
<tr>
<td>4. Key leaders in my organization support evaluation.</td>
<td></td>
</tr>
<tr>
<td>5. My organization uses evaluation findings to make policy decisions.</td>
<td></td>
</tr>
</tbody>
</table>

For items that you have in place or with which you agree, please describe your strengths in this area:

For items that you have not started/partially in place or with which you disagree, please describe the challenges and next steps you will be taking in this area:

<table>
<thead>
<tr>
<th>II. Evaluation contracts &amp; costs</th>
<th>Disagree, Agree, Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>My organization has...</td>
<td></td>
</tr>
<tr>
<td>6. an understanding of different possible evaluation contract structures (e.g., fixed price, hourly work).</td>
<td>Disagree, Agree, Strongly Agree</td>
</tr>
<tr>
<td>7. experience negotiating evaluation contracts.</td>
<td></td>
</tr>
<tr>
<td>8. an understanding of the potential costs associated with specific evaluation tasks.</td>
<td>Disagree, Agree, Strongly Agree</td>
</tr>
<tr>
<td>9. experience matching evaluation objectives and tasks with an evaluation budget.</td>
<td></td>
</tr>
</tbody>
</table>

For items where you agree or strongly agree, please describe your strengths in this area:

For items that you disagree, please describe the challenges and next steps you will be taking in this area:
Evaluation Staffing

There are many different ways Tribal MIECHV grantees have staffed their evaluation teams, including:

1) Hiring a private evaluation consultant or company as an external evaluator
2) Contracting with a university evaluator or team as an external evaluator
3) Using an internal evaluator/data analysis specialist
4) A combination of an external evaluator and internal evaluator/data analysis specialist

Each program is encouraged to determine which type of evaluation staffing configuration will best meet the needs of their program. If needed, your TEI liaison and Federal Project Officer (FPO) may be consulted as you consider various evaluation staffing configurations.

Tribal MIECHV grantees have noted that data and evaluation activities can be completed most effectively by using a team approach. Here we list potential responsibilities of an evaluator and areas where evaluators will need to work closely with program staff:

- Collaborate with program staff to complete the Evaluation Capacity and Readiness Assessment (ECR)
- Work with TEI Specialist to plan improvement activities based on ECR results
- Work with program staff and community to identify evaluation priorities
- In collaboration with program staff, take the lead on drafting the formative evaluation plan
- Engage in TA with TEI Specialist to develop formative evaluation
- Research and select evaluation measures
- Develop an IRB application
- Assist with training and monitoring data collection for evaluation
- Analyze evaluation data
- Collaborate with program staff and community on evaluation reporting and dissemination

Consider these responsibilities and the role of an evaluator for Tribal MIECHV when completing Sections III, IV, and V.

### III. Selecting an evaluator

<table>
<thead>
<tr>
<th>My organization has...</th>
<th>Disagree</th>
<th>Agree</th>
<th>Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. a detailed evaluator job description.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>11. a set of clearly defined expectations for an evaluator role in our home visiting program.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>12. experience gathering relevant details on evaluation requirements from funders.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>13. an understanding of the pros/cons of selecting an internal vs. external evaluator.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>14. developed a list of preferred or required technical skills for different types of evaluations.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

For items where you agree or strongly agree, please describe your strengths in this area:
For items that where you disagree, please describe the challenges and next steps you will be taking in this area:

IV. Working with an evaluator

<table>
<thead>
<tr>
<th>My organization has...</th>
<th>Disagree</th>
<th>Agree</th>
<th>Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>15. internal policies that inform the development and implementation of our evaluation plan.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. a clearly defined plan for communication with our evaluator.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. defined who will have direct oversight of our evaluator.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. clarified the extent to which our evaluator will take the lead on drafting our evaluation plan.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19. laid out exactly how and how often evaluation progress reports will be submitted, and to whom.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. defined how the review of the evaluation plan will occur, and who will be completing the review.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21. clarified how our evaluator will participate in monthly calls to provide updates to ACF.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For items where you agree or strongly agree, please describe your strengths in this area:

For items that where you disagree, please describe the challenges and next steps you will be taking in this area:

V. Roles and responsibilities

<table>
<thead>
<tr>
<th>My organization has...</th>
<th>Not Started Yet</th>
<th>Partially in place</th>
<th>In Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>22. determined the individuals responsible for data collection training for our evaluation.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23. defined if our evaluator will have direct contact with clients.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24. defined the extent to which our evaluator will engage with and gather feedback from our community about the evaluation.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>25. clarified our evaluator’s responsibility for researching or selecting and/or developing evaluation measures.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>26. determined the extent to which our evaluator will be responsible for data analysis.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>27. determined whether our evaluator will develop and submit our IRB application (if applicable).</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
28. defined our evaluator’s role in relation to:
   a) Developing a logic model
   b) Defining evaluation questions
   c) Identifying indicators/outcomes
   d) Developing data quality tracking processes
   e) Monitoring data quality
   f) Conducting CQI activities

For items that you have in place, please describe your strengths in this area:

For items that you have not started or have partially in place, please describe the challenges and next steps you will be taking in this area:

---

### Data Collection

Sufficiently supporting program staff to collect high quality data is imperative. TEI has developed a Data Collection Toolkit, which is available [here](#). The Data Collection Toolkit was designed to help programs understand the value of data collection, prepare for data collection, collect high-quality data, and use tools to develop data collection processes, collect program data, and implement quality assurance. It is highly recommended that your program take time to read and review each of the modules in the toolkit prior to engaging in evaluation activities.

<table>
<thead>
<tr>
<th>VI. Program Staff Support for Evaluation</th>
<th>Not started yet</th>
<th>Partially in place</th>
<th>In Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>My organization has…</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>29. reviewed TEI’s Data Collection Toolkit.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>30. determined the experience level and capacity of program staff to collect data.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>31. created buy-in with program staff about the importance of participation in evaluation activities.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>32. clearly defined the expected roles and responsibilities of program staff with the evaluation.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

For items that you have in place, please describe your strengths in this area:

For items that you have not started or have partially in place, please describe the challenges and next steps you will be taking in this area:
Developing and Using your Program Logic Model

Your program logic model is an important tool to provide a simple but comprehensive picture of your entire program. You can use your logic model to show the relationships between the resources you’ve invested, the activities you plan to conduct, and the changes you expect to see as a result of your program. These connections collectively are your program’s Theory of Change (ToC), and a logic model can help you to articulate this to your staff, your community, your stakeholders, and to the broader field. Importantly, your logic model can be a great tool for your program planning, by helping you to see how all the parts of your program work together. It is also a fundamental step in preparing for your formative evaluation, as clearly articulating your program processes will prepare you to select a specific component or aspect of your program as the target of your evaluation.

<table>
<thead>
<tr>
<th>VII. Program logic model</th>
<th>Not Started Yet</th>
<th>Partially in place</th>
<th>In Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Our program staff has...</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>33. created our draft program logic model.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>34. assessed the experience level of program staff with logic models.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>35. discussed the program theory of change illustrated in our logic model.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>36. utilized our logic model to communicate with our advisory or community groups about how our program will lead to the intended outcomes.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

For items that you have in place, please describe your strengths in this area:

For items that you have not started or have partially in place, please describe the challenges and next steps you will be taking in this area:

Dissemination

Disseminating your evaluation findings is one of the key strategies for increasing awareness about your program; sharing relevant information with stakeholders; increasing the evidence-base for implementing and adapting home visiting models in American Indian/Alaska Native communities; and sharing your evaluation successes, challenges, and lessons learned. Thoughtful and strategic efforts to plan for dissemination at the beginning of an evaluation can help to ensure findings and lessons learned are appropriately shared with your program/organization internally and with external audiences.
### VIII. Using Evaluation Findings

<table>
<thead>
<tr>
<th>My organization has...</th>
<th>Not Started Yet</th>
<th>Partially in place</th>
<th>In Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>37. clarified with our evaluator the extent to which data from our evaluation may be used for outside publications or research articles.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>38. clarified the tribal/organizational permissions needed for use of our evaluation data and/or findings.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>39. defined how the evaluation data and/or findings can be used.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>40. defined how evaluation results will be disseminated to outside audiences and to what audiences.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>41. defined who will have the responsibility of sharing evaluation reports both internally and externally.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**For items that you have in place, please describe your strengths in this area:**

**For items that you have not started or have partially in place, please describe the challenges and next steps you will be taking in this area:**
Tribal Maternal, Infant, and Early Childhood Home Visiting Program: Evaluation Capacity Readiness Assessment

July 2017

Submitted to:
Nicole Denmark, PhD, Project Officer
Office of Planning, Research and Evaluation
Administration for Children and Families
U.S. Department of Health and Human Services

Contract Number: HHSP233201500114G

Project Director: Julie Morales
James Bell Associates
3033 Wilson Blvd, Suite 650
Arlington, VA 22201


Disclaimer
The views expressed in this publication do not necessarily reflect the views or policies of the Office of Planning, Research and Evaluation, the Administration for Children and Families, or the U.S. Department of Health and Human Services.