Checklists for Improving Evaluation Practice

June 10, 2015

Introductions

Emma Perk  Lori Wingate  Goldie MacDonald

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

Webinar Materials

Checklists for Improving Evaluation Practice
June 10, 2015

Slides  Handout

Recording

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
We need a different strategy for overcoming failure…

Photo courtesy of the MacArthur Foundation
www.macfound.org
Checklists Save Lives

**SURGICAL SAFETY CHECKLIST (First Estonia)**

<table>
<thead>
<tr>
<th>TIME OUT</th>
<th>CHECKS</th>
<th>CHECKS</th>
<th>CHECKS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Before induction of anesthesia</strong></td>
<td>- Confirm that patient history has been reviewed</td>
<td>- Confirm that patient history has been reviewed</td>
<td>- Confirm that patient history has been reviewed</td>
</tr>
<tr>
<td><strong>Before skin incision</strong></td>
<td>- Confirm that patient history has been reviewed</td>
<td>- Confirm that patient history has been reviewed</td>
<td>- Confirm that patient history has been reviewed</td>
</tr>
<tr>
<td><strong>Before patient leaves operating room</strong></td>
<td>- Confirm that patient history has been reviewed</td>
<td>- Confirm that patient history has been reviewed</td>
<td>- Confirm that patient history has been reviewed</td>
</tr>
</tbody>
</table>

**It is a checklist.**
Checklist Form and Function

<table>
<thead>
<tr>
<th></th>
<th>Memory Aid</th>
<th>Task Completion</th>
<th>Decision Making</th>
<th>Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laundry list</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procedural checklist</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Diagnostic checklist</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Criteria of merit</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

Based on Scriven's (2007) "The Logic and Methodology of Checklists"
[bit.ly/check-logic]
Laundry List

A nonordered list of items or tasks, sometimes grouped into categories
Is there anything on this list you wouldn’t have thought of on your own?

Get ready to use your markers…
Procedural Checklist

A list of tasks or issues that must be addressed in a particular order
### Surgical Safety Checklist (First Edition)

#### Before induction of anaesthesia

- **SIGN IN**
  - **Patient has confirmed ID?**
  - **Procedure consent?**
  - **Site marked/not applicable?**
  - **Anesthesia safety check completed?**
  - **Pulse defibrillator on patient and functioning?**
  - **Known allergy?**
  - **Difficult airway/aspiration risk?**
  - **Yes, and equipment/assistance available?**
  - **Recovery advice/informed consent?**
  - **Yes, and adequate intravenous access and fluids planned?**

#### Before skin incision

- **TIME OUT**
  - **Confirm all team members have introduced themselves by name and role?**
  - **Surgeon, anesthesiologist, professional, and nurse verbally confirm?**
  - **Site, procedure?**
  - **Anticipated critical events?**
  - **Surgical team reviews: What are the critical, and unexpected steps, operating duration, anticipated blood loss?**
  - **Anesthesia team reviews: Are there any patient-specific concerns?**
  - **Nursing team reviews: Has sterile field been maintained?**
  - **All antibiotic prophylaxis been given within the last 30 minutes?**
  - **Yes, not applicable?**
  - **Is essential imaging displayed?**

#### Before patient leaves operating room

- **SIGN OUT**
  - **Nurse verbally confirms with the team?**
  - **The name of the procedure recorded?**
  - **That instruments, sponges and needles counts are correct (or not applicable)?**
  - **How the specimen is labeled (excluding patient name)?**
  - **Whether there are any equipment problems to be addressed?**
  - **Surgical anesthesiologist, professional, and nurse review the key concerns for recovery and management of this patient?**

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Diagnostic Checklist

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

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**Think EBOLA**

**Early recognition is critical for infection control**

**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 communicate to the patient and others.

**IDENTIFY**

- Assess your patient for:
  - Travel or a history of recent travel to an area known to be affected (Zaire, Democratic Republic of Congo, Sierra Leone, or Guinea) within the last 21 days.
  - Emergency medical services or healthcare personnel who entered the room.
  - History of contact with known or suspected Ebola patients.
  - Illness or symptoms, such as:
    - Fever or chills
    - Headache
    - Muscle pain
    - Fatigue
    - Nausea
    - Vomiting
    - Diarrhea
    - Abnormal bleeding or bruising
    - Unexplained weakness

**ISOLATE**

- If assessment indicates possible Ebola virus infection, take action:
  - Isolate the patient in a private room with a private bathroom or shower.
  - Initiate contact and close the door.
  - Wear appropriate personal protective equipment (PPE): http://www.cdc.gov/ebola
  - Limit the healthcare personnel who enter the room.
  - Keep a log of everyone who enters and leaves the patient’s room.
  - Disinfect all surfaces and implements.
  - Follow CDC guidelines for cleaning, disinfecting, and managing waste: http://www.cdc.gov/ebola

**INFORM**

- Alert health authorities.
- Notify your facility, infection control programs, and other local authorities.
- Contact your state or local public health authorities.
- Contact the state or local public health authorities about testing for Ebola.
- For a list of Ebola and local health department numbers, visit: http://www.cdc.gov/ebola

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For more information, visit: www.cdc.gov/nhf/ebola/hsp

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Think EBOLA

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

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

IDENTIFY

Assess your patient for:

- Travel to a country with widespread transmission or uncertain control measures (Guinea, Liberia, or Sierra Leone) within the last 21 days
- Contact with someone with Ebola within the last 21 days
- Had a fever at home, or has a current temperature ≥100.4°F (≥38°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

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

evalu-ate.org
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.

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

<table>
<thead>
<tr>
<th><strong>IN MY DOCUMENT</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Identify purpose and discuss in title.</td>
</tr>
<tr>
<td>2. Keep your audience in mind and be clear in the title.</td>
</tr>
<tr>
<td>3. Organize content to meet my reader needs.</td>
</tr>
<tr>
<td>4. Look for a limited number of key points clearly in line.</td>
</tr>
<tr>
<td>5. Present a limited number of supporting details briefly in the first few paragraphs.</td>
</tr>
<tr>
<td>6. Use sets of parallel, contrasting headings.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>IN MY PARAGRAPHS</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Include only one topic in each paragraph.</td>
</tr>
<tr>
<td>8. Start each sentence at the beginning of each paragraph, where possible.</td>
</tr>
<tr>
<td>9. Use short sentences and avoid long, complex ones.</td>
</tr>
<tr>
<td>10. Break up text into paragraphs of no more than 6 lines.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>IN MY SENTENCES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>11. Make sure that each sentence is about one thing or serves one purpose.</td>
</tr>
<tr>
<td>12. Make sure the action of each sentence is clear (through use of a clear, strong verb).</td>
</tr>
<tr>
<td>13. Use the simplest form of verbs (e.g., “use” not “utilize”).</td>
</tr>
<tr>
<td>14. Avoid passive voice (e.g., “subject is studied” not “the subject is studied”).</td>
</tr>
<tr>
<td>15. Avoid using hidden verbs (e.g., “analyze” not “conducted an analysis”).</td>
</tr>
<tr>
<td>16. Use “must” to indicate requirements (not “shall”).</td>
</tr>
<tr>
<td>17. Use contractions when appropriate.</td>
</tr>
<tr>
<td>18. Use short, simple words.</td>
</tr>
<tr>
<td>19. Avoid jargon or unnecessary technical terms.</td>
</tr>
</tbody>
</table>

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.
1-page checklist is supported by 5 pages of explanation

CHECKLISTS

MAIN FUNCTIONS

Aid Memory
Guide Task Completion
Guide Decision Making
Reach Evaluative Conclusions

MAIN BENEFITS

Distill Complex Content
Transfer Knowledge
Quality Control
Checklists Distill Complex Content

Checklist Form & Function

Photo from NSF Flickr stream
Common Guidelines for Education Research and Development

A Report from the Institute of Education Sciences, U.S. Department of Education and the National Science Foundation
August 2013

52 pages

Photo from NSF Flickr stream

15 pages
(Six 1-3 page checklists)

Photo from NSF Flickr stream
Checklists Support Quality Control

Checklist Form & Function

EvaluATE Webinar: Checklists for Improving Evaluation Practice
6/10/2015
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 page)
☐ 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., “We will wrap up due to time constraints.”)

Checklists Aid in Knowledge Transfer
Michael Scriven  Michael Quinn Patton  Daniel Stufflebeam


“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.”
www.wmich.edu/evaluation/checklists

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 on 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 for Jim Wright
- 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 Bihlmeier

Categories

Evaluation capacity building and institutionalization
- Evaluation Capacity Building by Boris Volkov and Jean King
- Institutionalizing Evaluation by Daniel Stufflebeam

Discussion

Goldie MacDonald
Type them in the chat box now

Emma Perk  Lori Wingate  Goldie MacDonald
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

WE’RE HIRING!
Assistant Director of The Evaluation Center
bit.ly/wmu-ec-job

Kalamazoo
Using Checklists to Improve Evaluation Practice

Lori Wingate

www.wmich.edu/evaluation/checklists

Categories
✔ Evaluation Capacity Building
✔ Evaluation Design and Management
✔ Evaluation Models
✔ Evaluation Values and Criteria
✔ Metaevaluation
✔ Checklist Development
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6/10/2015

Evaluation Contracts Checklist

by Daniel Stufflebeam

bit.ly/eval-contracts

Evaluation Contracts Checklist

by Daniel Stufflebeam

bit.ly/eval-contracts
## Evaluation Budget Checklist

**by Jerry Horn**


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

### Checklist for Developing and Evaluating Evaluation Budgets

**Jerry Horn**  
**December 2001**

This checklist is designed to assist evaluators and others who wish to develop evaluations. It identifies the several categories of logical considerations for constructing evaluations, and questions or statements are used as prompts for items to consider. As a result, use or the checklist may not be applicable. For consideration should be given to the following list of considerations (statements) at all times.

<table>
<thead>
<tr>
<th>Evaluation Budget Checklist</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>P: Program Effectiveness</strong></td>
<td><strong>The evaluation should be efficient and produce information of sufficient quality so that the resources expended can be justified.</strong></td>
</tr>
<tr>
<td><strong>P: Program Feasibility</strong></td>
<td><strong>The evaluation’s allocation and expenditures of resources should reflect sound accountability procedures and otherwise be prudent and efficiently responsible so that expenditures are accounted for and appropriate.</strong></td>
</tr>
<tr>
<td><strong>Basic Considerations</strong></td>
<td><strong>In developing a budget, basic considerations or information will guide the formulation of your evaluation. Therefore, the issues should be known before attempting to consider other objectives or final budget.</strong></td>
</tr>
<tr>
<td>☐ Type of agreement for the evaluation</td>
<td><strong>Will this evaluation be funded by a grant, contract, or cooperative agreement?</strong></td>
</tr>
<tr>
<td>☐ Condition of payment</td>
<td><strong>Will payment be made on the basis of cost reimbursement or a fixed price?</strong></td>
</tr>
<tr>
<td>☐ Funding source</td>
<td><strong>Is the funding source a government agency, private foundation, private non-profit organization, or another entity?</strong></td>
</tr>
<tr>
<td>☐ Funding period</td>
<td><strong>Over what period of time will the budget be applicable? Does the source require more than one fiscal period?</strong></td>
</tr>
<tr>
<td>☐ Budget limits</td>
<td><strong>Has a limit for the evaluation budget been established, such as a percentage of total budget or maximum amount?</strong></td>
</tr>
<tr>
<td>☐ Condition of payment</td>
<td><strong>Will expenses from the funding agency be reimbursed as a lump sum, periodic (e.g., monthly, quarterly, or on the basis of submission of invoices), or reimbursable based on submission of invoices with original documentation?</strong></td>
</tr>
<tr>
<td>☐ Reimbursements</td>
<td><strong>Are costs allowable that are directly related to the evaluation activities but are incurred before the effective date of the grant contract?</strong></td>
</tr>
</tbody>
</table>

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**6 pages of checkpoints across 10 categories**

**by Jerry Horn**


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

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**EvaluATE Webinar: Checklists for Improving Evaluation Practice**  
**6/10/2015**

[eval-ate.org](http://eval-ate.org)
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.
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6/10/2015
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

Figure 1. Framework for Program Evaluation in Public Health

Evaluator Webinar: Checklists for Improving Evaluation Practice

6/10/2015
STANDARDS

The Program Evaluation Standards 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 asece.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.

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

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

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

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

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

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

7. **Timely and Appropriate Communication and Reporting:** Evaluations should attend to the timing and information needs of their multiple audiences.

8. **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.

1. **Project Management:** Evaluations should develop effective project-management strategies.

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

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

4. **Resource Use:** Evaluations should use resources effectively and efficiently.
Criteria for Selection of High-Performing Indicators
by Goldie MacDonald

bit.ly/indicator-eval

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

Goldie MacDonald
Senior Vice President
The Educational Trust
goldie.mcdonald@evalu-ate.org

This checklist includes criteria based on best practices in the selection of indicators for use in monitoring and evaluation. The selection of indicators is a complete process in and of itself and not a stand-alone activity. All indicators should be selected using the best practices outlined in the Evaluation: Monitoring and Evaluation Handbook. It is expected that participants are familiar with the indicators and their relevance to the topic of evaluation. The reader should seek the guiding principles and guidelines described in this document and use this checklist as a reference. The reader is encouraged to use this checklist to inform their decision about selecting indicators.

As a starting point, what is an indicator? The term is often used in conjunction with monitoring and evaluation. An indicator is a measurable characteristic of a program, project, or policy. It can be quantitative or qualitative, and it can be used to measure progress, outcomes, or impacts. Indicators should be selected to measure the key outcomes of the program or project.

The checklist is designed to help the reader identify high-performing indicators for monitoring and evaluation. It includes questions to help the reader determine whether an indicator meets the criteria for selection. The checklist should be used in conjunction with the Evaluation: Monitoring and Evaluation Handbook.

This section of the checklist focuses on selecting high-performing indicators. The reader should use this checklist to inform their decision about selecting indicators.
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

---

Discussion

Goldie MacDonald
Questions

Type them in the chat box now
EvaluATE’s Blog: Read and Be Read

New today!
Corey Smith on ATE program recruitment and retention strategies

Next Webinar

EVALUATION:
Don’t Submit Your ATE Proposal Without It

August 19 | 1-2:30 p.m. EDT

Register at www.evalu-ate.org/webinars
Thank You!

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Evaluation Resource Center for advanced technological education

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