

Directions: Complete the following processes, steps, and actions. Where necessary, revise tables or forms to fit the information required by your potential and existing funders. You should also note that the tables and worksheets provided in these tools are designed to be complementary to the information provided in this module. Therefore, you may need to refer to the evaluation steps and actions in module in order to complete some of the tools provided.

Processes and Actions for Justifying and Planning for Implementation of An Evidence-Based Intervention

1. Conduct a Community Assessment

Action 1.

Document the population at risk using data from your local or state HIV Epidemiologic Profile and other sources. For a full set of assessment tools refer to *Steps to Success in Community-Based HIV/AIDS Prevention, How to Determine Who is at Risk and Why: Module 1: Community Assessment*. Once you have gathered and interpreted the data, prepare a written justification for the population you have chosen and that your agency has the capacity to serve. Be sure to provide summary tables and charts that demonstrate HIV/AIDS trends in your service area over time comparing trends in your state, city, and/or the nation. Document that your agency has the capacity to serve this population.

Action 2.

Conduct risk and protective factor assessments with the priority population and/or other service providers to determine the specific behaviors that place your population at risk for infection, and the protective factors that may reduce the probability of risk-taking behaviors. Remember to use at least two well accepted methods for data collection and conduct the assessments across at least two areas of influence. Use the table below to summarize findings from your assessments.

Building Evaluation Capacity

Challenge Exercise and Tools

Summary Table of Risk and Protective Factor Assessment Using (method)

_____ with (population) _____ (n = _____)

Results	Factor	Risk or Protective	Area of Influence

Write a concise summary of your two assessments that includes: the purpose of each one, methods used to obtain data, areas of influence address, how the assessments were administered, and finding from each assessment.

2. Select an Appropriate Evidence-Based Intervention

Action 1.

Establish a planning team of agency staff and external stakeholders to assist in the process of identifying and selecting a culturally appropriate evidence-based intervention. List your planning team members in the table provided below which can also be used to summarize each team member's assigned responsibilities (e.g., how many or which interventions they will assess).

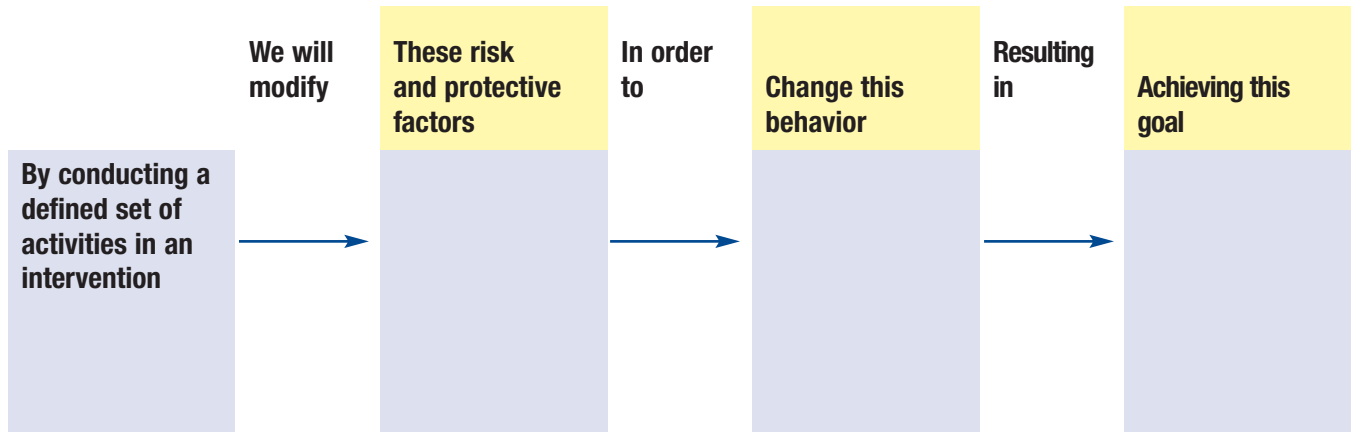
Planning Team for Assessing and Selecting An Appropriate Evidence-Based Intervention to Address Demonstrated HIV/AIDS Prevention Needs In (population)

Name	Agency/Position	Assignment/Responsibilities

Action 2.

Develop an initial logic model that broadly depicts the elements to be considered in selecting an appropriate evidence-based intervention and develop a SMART goal for the intervention. Use the figures below to complete this action.

Initial Logic Model to Guide Selection of an Evidence-Based Intervention



Initial Logic Model Goal Component Analysis Grid

Goal Component	Agency's Goal Components
What is going to change?	
Whose health is going to change as a result of the intervention?	
Where will the change occur?	
How much change will occur?	
When will the change occur?	

Action 3.

Develop a shared vocabulary to review with the team so they have a clear understanding of the meaning of important terms before beginning the processes of reviewing and selecting an intervention. Use the form below to develop your list of terms and their definitions.

Important Evidence-Based Intervention Terms

Terms	Definitions

Action 4.

Use predetermined criteria to review intervention options. Have the planning team members use the Intervention Summary Report provided below to review and summarize evidence based interventions that appear appropriate for your priority population. Information on existing interventions can be found at www.effectiveinterventions.org.

Building Evaluation Capacity

Challenge Exercise and Tools

Module 3
Building Evaluation Capacity

Page 6

Intervention Summary Report

Intervention Name:

Priority Population:

Intervention Type (e.g., Health Education/Risk Reduction):

Behaviors and Risk or Protective Factors Addressed by Intervention:

Description of Core Elements:

Description of How Intervention is Offered:

I. Evidence of Effectiveness

A. Effectiveness documented by research? ___ No ___ Not sure ___ Yes (if yes, cite references):

B. Based on behavioral/social theory? ___ No ___ Not sure ___ Yes (if yes, which theory and how does it apply?)

II. Implementation Requirements

A. Training required for staff? ___ No ___ Not sure ___ Yes

B. If training required, is it available to our agency? ___ No ___ Not sure ___ Yes If yes:

- How is training accessed?
- Where is training provided?
- Cost of training?

C. Number and type of staff required to conduct intervention?

D. Other resources required to implement (e.g., equipment, space, etc):

III. Evaluation Requirements

A. Evaluation tools available? ___ No ___ Not sure ___ Yes

B. Evaluation expert/consultant needed? ___ No ___ Not sure ___ Yes, if yes explain:

C. Other resources needed (e.g., equipment, information systems,

D. Established reporting requirements with funders? Explain:

IV. Organizational Capacity to Implement and Evaluate

A. Based on responses to I, II, and III above, does our agency have the capacity to implement and evaluate this intervention?

Explain:

3. Develop a Detailed Work Plan to Guide Intervention Implementation

Action 1.

Identify activities and resources required to plan and implement the intervention. Use the worksheet provided below to summarize needed activities and resources, who will be responsible for carrying them out, and the time it will take to complete the activities.

Worksheet for Planning and Implementing the Intervention

Task/Activity	Responsibility	Resources Needed	Time to Complete

Steps and Actions in Planning for Monitoring and Evaluation of Evidence-Based Interventions

Step 1. Engage Stakeholders

Action 1.

Involve key stakeholders in evaluation planning. Use the stakeholder analysis chart to list potential stakeholders by evaluation user category and to provide a rationale for the inclusion of each one.

Evaluation Stakeholder Analysis Chart

Those Involved in Intervention Operations		Those Served or Impacted by the Intervention	
Name, Title, Organization	Rationale for Inclusion	Name, Title, Organization	Rationale for Inclusion



Primary Users of Evaluation Results		
Name, Title, Organization		

Action 2.

Develop strategies to keep stakeholders engaged throughout planning, implementing, monitoring, and evaluation of the intervention. Use the space below to summarize the strategies developed by the planning team.

Step 2. Describe the Intervention**Action 1.**

Determine the intervention's stage of implementation and evaluation. Use the space below to describe the intervention's stage of implementation and evaluation. Include a rationale for this determination and describe the evaluation approaches to be used in this stage.

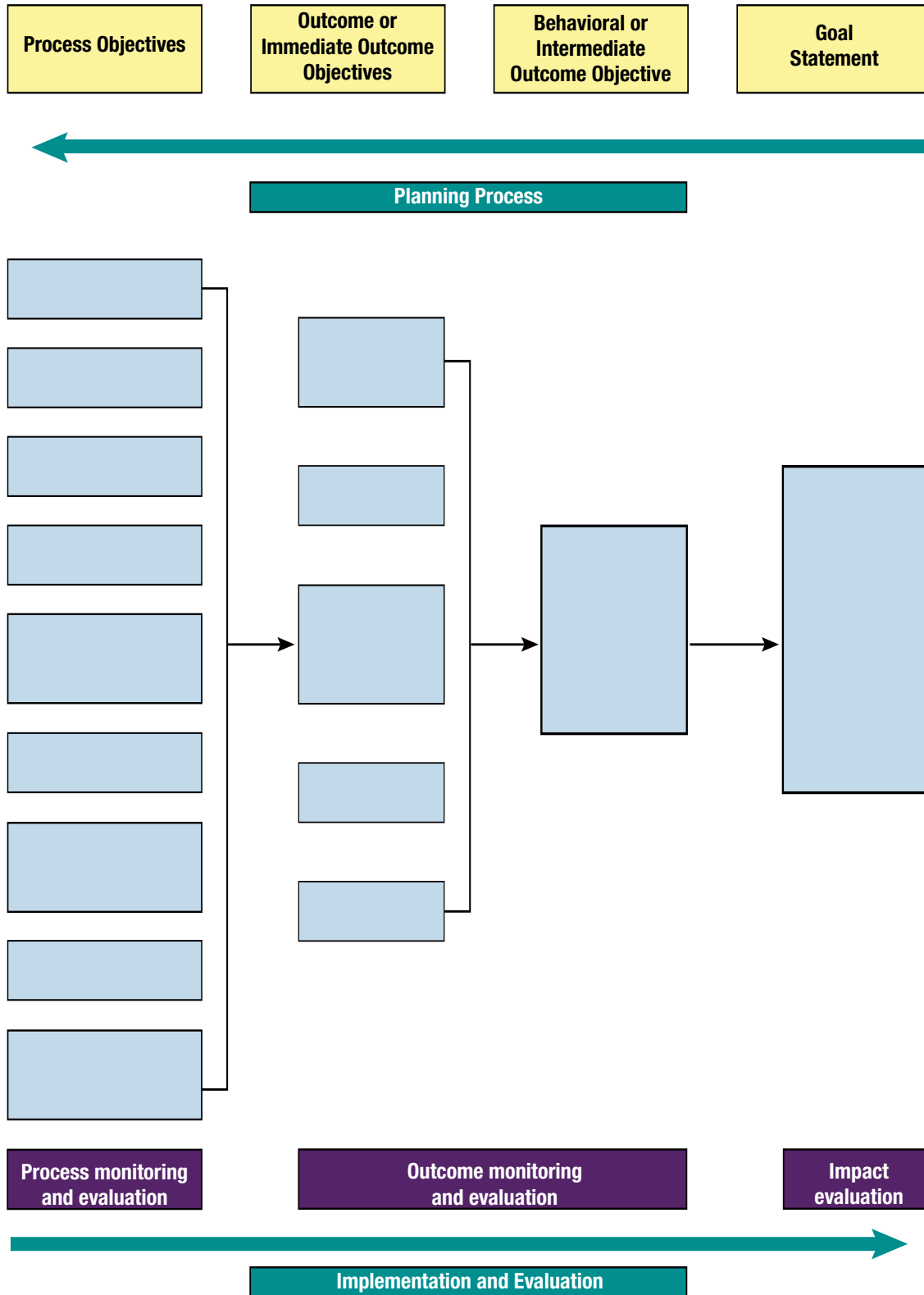
Action 2.

Develop a full logic model to describe the intervention. Based on the planning work you have completed so far, develop SMART process objectives, immediate outcome objectives, and behavioral outcome objectives to be addressed by the intervention. Then fill in the blanks in the logic model provided.

Building Evaluation Capacity

Challenge Exercise and Tools

Logic Model for Agency Implementation and Evaluation of _____.



Action 3.

Assess your agency implementation and evaluation readiness.

- ___ Have all human and other resources needed to implement, monitor, and evaluate the intervention been identified?
- ___ Have barriers to implementation and evaluation been identified and solutions found to overcome or minimize them?
- ___ Does the agency have or plan to secure the professional and technical expertise required for implementation, monitoring, and evaluation of the intervention?
- ___ Are the planning, implementation, and evaluation timelines and outcome performance targets achievable and challenging?
- ___ Do the agency leadership, staff, and stakeholders welcome the opportunity to build evaluation capacity and fully support efforts to do so?

Step 3. Focus Evaluation Design

Action 1.

Determine the purposes of your evaluation based on your intervention stage, and begin prioritizing information needed to address the outcomes in the intervention logic model. Use the space below to summarize evaluation information that may be required by your potential funder. Then based on discussion outcomes related to evaluation uses completed in Step 1, prioritize other stakeholder information needs and wants.

Action 2.

Identify and agree on users and uses of evaluation information. Use the stakeholder evaluation uses form below to summarize and prioritize this information by intervention stage and logic model objectives. (Note: you may need to use several copies of this form to address all of your objectives.)

Stakeholder Evaluation Information Uses by Intervention Stage and Logic Model Objective

Users and Objectives	Stage 1	Stage 2	Stage 3
	Gain insight (GI) Change practice (CP)	Gain insight (GI) Change practice (CP) Assess effects (AE) (Limited)	Gain insight (GI) Change practice (CP) Assess effects (AE) Affect evaluation participants (AP)
Users involved in inter- vention operations for <hr/> objectives:			
Users served or affected by the intervention for <hr/> objectives:			
Primary users for <hr/> objectives:			

Challenge Exercise and Tools

Action 3.

Determine evaluation approaches to use for each intervention stage and objective. Before going further review the definitions of each evaluation approach with the team. When your review is complete move on to Action 4.

Action 4.

Develop evaluation questions for each of the intervention’s objectives through each of your proposed stages of implementation and evaluation. Use the worksheet below to facilitate your team through this action. Note: if you are not planning to implement and evaluate the intervention through all stages, adjust the worksheet accordingly. After each evaluation question, indicate the monitoring and evaluation approach to be used. (e.g., PM = process monitoring, PE = process evaluation, OM = outcome monitoring, OE = outcome evaluation.)

Worksheet for Development of Evaluation Questions for Intervention Objectives by Stage of Implementation and Evaluation

Objectives	Stage 1- Building Capacity	Stage 2- Stabilizing Capacity	Stage 3- Maintaining Capacity
	Evaluation Questions and Approaches	Evaluation Questions and Approaches	Evaluation Questions and Approaches
Process Objectives			
Immediate Outcome Objectives			
Behavioral Outcome Objectives			

Action 5.

Determine the intervention’s evaluation design and data collection methods. Review the most common evaluation designs with your team, then discuss and summarize the types of information (data) your potential funder expects to have collected. Be sure to consider data required or wanted by the stakeholders across multiple levels (e.g., client, program/intervention, agency, and client/intervention levels). Finally, work with your intervention evaluator and develop an initial data collection plan.

Action 6.

Solidify stakeholder agreements in writing to document decisions made about: the purposes of the intervention’s evaluations, the prioritized uses of evaluation data, your evaluation questions, and a concise description of the methods that may be used in collecting evaluation data.

Step 4. Gather Credible Evidence

Action 1.

Develop indicators of success for each of the intervention’s evaluation questions and identify sources of evidence for those indicators. Use the worksheets below to facilitate this processes.

Worksheet for Development of Indicators of Success and Sources of Evidence for those Indicators

Evaluation Approach	Objectives	Evaluation Questions	Indicators of Success
Process Monitoring			
Process Evaluation			
Outcome Monitoring			

Worksheet for Identification of Sources of Evidence for Indicators and Development of Data Collection Plan

Objectives	Data Levels, Sources, Methods	Who Collects, When, How Often	Variables	Indicators Addressed
	Agency Level			
	Program Plan Level			

Building Evaluation Capacity

Challenge Exercise and Tools

Worksheet for Identification of Sources of Evidence for Indicators and Development of Data Collection Plan

Objectives	Data Levels, Sources, Methods	Who Collects, When, How Often	Variables	Indicators Addressed
	Client Level			
	Client Services Level			

Action 2.

Develop criteria for data management and security. Work with your intervention evaluator and prepare a summary of the information management system to be used in monitoring and evaluating the intervention. Be sure to include in this summary how participant and service provider confidentiality will be protected, as well as the measures in place for assuring safety and security of data collected in all forms (e.g., paper and computer records, storage, and destruction of files).

Step 5. Justify Conclusions**Action 1.**

Determine data analysis and synthesis methods and approaches to be used in monitoring and evaluating the intervention. Work closely with your intervention evaluator and prepare a synopsis of how qualitative and quantitative data will be analyzed and synthesized based on the agency's capacity to carry out these tasks, including consultants and other experts that will participate in these activities. Use the following space to summarize how these activities will be conducted.

Action 2.

Identify standards to be used in justifying conclusions related to evaluation results. Remember it is important to establish standards on which evaluation results will be judged prior to beginning monitoring and evaluation. Where necessary, the standards decision-making grid can be utilized to facilitate this process with stakeholders.

Building Evaluation Capacity

Challenge Exercise and Tools

Evaluation Results Standard Decision-Making Grid for _____

Evaluation Approach	Objectives	Evaluation Questions	Indicators	Sources of Evidence	Standards
Process Monitoring					
Process Evaluation					
Outcome Monitoring					

Step 6. Ensure Use and Share Lessons Learned

Action 1.

Develop a plan for dissemination of intervention evaluation outcomes. Use the worksheet provided below to develop strategies and a plan for ensuring use of intervention results and lessons learned.

Worksheet for Development of Strategies and a Plan for Ensuring Use of Intervention Evaluation Results and Lessons Learned

Groups or People Who Need/ Should Get Results	Delivery Strategies, Messages	Responsibility

Taking the Next Step – Moving to Outcome Evaluation

It is important to remember that most community-based organizations that adopt evidence-based interventions will not be required by their funders to conduct outcome evaluations. Typically, this evaluation approach is used by trained researchers in rigorously controlled settings. However, since CBOs may be asked to partner on such endeavors, it is important to understand the concepts and principles involved in moving to this stage of intervention implementation and evaluation after the agency has demonstrated the capacity to maintain evaluation capacity with the intervention over time.

Action 1.

Determine the criteria to be used in conducting an outcome evaluation. Use the space below to outline what intervention components will need to be modified, adapted, and tailored in order to move to outcome evaluation of your intervention. Be careful that proposed modifications do not violate the intervention's core elements, and are complementary and consistent with the internal logic of the intervention. Be sure the intervention logic model is updated to incorporate these modifications.

Action 2.

Develop a plan for conducting outcome evaluation. Use the planning framework below to detail what needs to change and how based on your current intervention implementation and evaluation plan.

Step 1: Engage Stakeholders

Step 2: Describe the Intervention

A. Statement of Need/Goal:

B. Adapting and Tailoring:

C. Expected Effects:

- **Behavioral Outcomes/Intermediate Outcomes:**

- **Immediate Outcome Objectives:**

- **Process Objectives:**

D. New Resources:

E. Context: No change

F. Intervention Stage of Implementation and Evaluation:

G. Logic Model:

Step 3: Focus Evaluation Design

A. Purposes:

B. Users and Prioritized Uses of Evaluation Data:

C. Evaluation Approaches:

D. Evaluation Questions:

E. Evaluation Design and Data Collection Methods:

Step 4: Gather Credible Evidence

A. Indicators of Success and Credible Sources of Information:

B. Criteria for Data Management and Security:

Step 5: Justify Conclusions

A. Data Analysis and Synthesis Methods and Approaches:

B. Standards to Justify Conclusions:

Step 6: Ensure Use of Evaluation Results and Share Lessons Learned

A. Dissemination Plan: