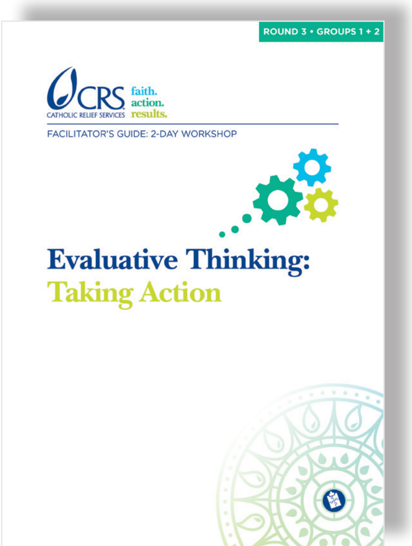
ROUND 3 • GROUPS 1 + 2

CATHOLIC RELIEF SERVICES

faith.
action.
results.

FACILITATOR'S GUIDE: 2-DAY WORKSHOP

Evaluative Thinking: Taking Action



A note on sources
Some of the material in the guide is not the intellectual property of CRS and has been used with permission. In cases where the material does not belong to CRS, it is clearly indicated with an asterisk and referenced at the bottom of each page. If reusing, please seek appropriate permissions and reference accordingly.

Authors
Guy Sharrock
Jane Buckley
Tom Archibald

Catholic Relief Services is the official international humanitarian agency of the United States Catholic community. CRS' relief and development work is accomplished through programs of emergency response, HIV, health, agriculture, education, microfinance and peacebuilding. CRS eases suffering and provides assistance to people in need in more than 100 countries, without regard to race, religion or nationality.

Catholic Relief Services
228 West Lexington Street
Baltimore, Maryland 21201-3413
1.410.625.2220
crs.org

Acronyms

CRS	Catholic Relief Services
ET	evaluative thinking
LQ	learning question
MEAL	monitoring, evaluation, accountability and learning
NGO	nongovernmental organization
ToC	theory of change

Contents

Taking Action

2-DAY WORKSHOP

There is a paradigm shift taking place in the aid sector away from a predominantly linear-based model of change to one that is more dynamic, reflective and responsive. The evaluative thinking (ET) workshop series is designed to promote evaluative thinking across an organization and, in turn, increase the quality and efficiency of program planning and MEAL work generally. The workshops are organized into three rounds. Each round includes an in-person workshop facilitated by an ET specialist or MEAL professional and is intended to be presented annually (although this is not obligatory). The workshops are also differentiated by group. These groups refer to positions within the organization. Group 1 refers to field-based staff, Group 2 to senior program staff, and Group 3 to country leadership.

The following workshop is for Round 3, Groups 1 and 2 (the third workshop for field-based staff and senior program staff). The overall goal of this 2-day workshop is to introduce the idea of data utilization and the critical role it plays in reflective practice and program planning. To this end, participants will practice learning discussions, participatory analysis, and posing questions about data and results.

Learning objectives

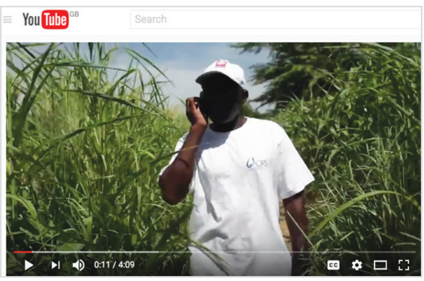
As a result of participating in this workshop, senior program staff will be able to:

- Talk about and explain data utilization to others
- Plan for action based on new knowledge
- Identify barriers to data utilization and employ strategies to overcome them
- Facilitate learning discussions
- Critically review and interpret results
- Promote ET among peers and community members in their everyday work

In this workshop package you will find:

- A facilitator's agenda
- Slides to present during the workshop (including speaking notes)
- A set of handouts
- Descriptions of how to facilitate each activity
- Workshop planning tips

Watch an overview on evaluative thinking **here**.



Further videos on YouTube

Introducing Evaluative Thinking

Theory of Change Pathway Models

Discovering Assumptions

Developing Project Learning Plans

Making Informed Decisions

Workshop Planning Tips

When planning a workshop, as in planning a program or MEAL work, it is important to allow sufficient time and effort to be thorough in the fine details of the event. To run a successful workshop, there is a lot you need to prepare besides slides and handouts. These planning tips have been developed by experienced evaluative thinking workshop facilitators who have yet to host a flawless workshop!

Consider ET workshop readiness

Before you plan an ET workshop, think evaluatively. Why do you want to plan this workshop? What issue(s) are you seeking to address? When it comes to MEAL work, how intrinsically motivated are members of your organization? Is your program or organization ready to learn about ET? Will there be interest? Are potential participants likely to be engaged by the activities? Is the leadership supportive (will they allow staff to take time away from their regular work)? Is there a need to do a better job with MEAL? The answers to these questions will affect the way you approach planning (see *Responsive facilitation* below).

Participants

Each of the workshops in the ET workshop series is designed for a large group (10-30 people). Most of the activities that make up the workshops are designed for small working groups (3-5 people). When thinking about how many participants to recruit, first consider how many facilitators you will have. Even an expert facilitator working alone should not plan to facilitate more than 4 small groups (12-20 people) at a time. The more facilitators there are, the more groups you can accommodate. However, contrary to the "the more the merrier" idiom, there are diminishing returns to adding more participants and facilitators. It is important that, during large group discussions, all participants can hear each other and feel comfortable enough to share their ideas with a room full of their peer colleagues. Consider issues of office hierarchy when deciding who should attend which workshop, and how the meeting dynamics may differ with, say, junior and senior staff participating in the same workshop.

The next consideration for participant recruitment should be area of work. The workshop series is broken up by "Group." Group 1 workshops are designed for field-based staff, Group 2 workshops for senior program staff and Group 3 workshops for organizational (country) leadership. For the Group 3 workshop, you will likely generate a shortlist (5-12) of people you would like to recruit. For Groups 1 and 2, you may have to select from a larger population. Consider area of work. Is there one large program that has 4-6 components with its own focused staff members? If so, you can plan for and recruit group members based on this structure. Alternatively, the organization may have a set of 4-6 smaller programs, each with its own staff. This is another excellent way to think about organizing your workshop and recruiting participants. Avoid recruiting participants to be part of a workshop working group that will be focused on a program that they don't work on. These workshops work best if the activities are authentic; meaning, for example, that participants build theory of change Pathway Models for the program that they actually work on.

Location

Where will you host your workshop? You want to select a location that is affordable and accessible to participants, but also separate enough from their typical work location to avoid distraction and allow for focus on the workshop. In addition, you will also need somewhere that provides some basic workshop amenities: ability to project slides, internet and wifi access, access to refreshments for snack and lunch breaks, and tables and chairs that can accommodate group work. A location that provides access to a printer/photocopier is not a necessity, but certainly a bonus. If you are planning to conduct one of the workshops that involves developing a ToC Pathway Model, you will also need wall space to hang large format paper that participants will need to write on.

Materials

Activity-specific materials are listed in the activity description documents. In addition to these specific items, there are general supplies that the facilitator should have on hand for each workshop:

- Unlined flip chart paper (large format paper that can be used for large group discussions as well as model building)
- Markers (in a variety of colors – a set of four for each group is a good idea)
- Multicolored Post-it notes and/or index cards
- Yarn to serve as a connecting line between objectives in a ToC or Pathway Model
- Scissors

- Tape (for hanging chart paper on the wall)
- A pen for each participant
- A camera for recording Pathway Models, brainstorming notes, group work, etc.
- A hole punch if participants wish to insert handouts into their workshop binder
- If you have one, consider taking a "sticky wall"; You never know when it might come in handy!

Timing

There are three types of timing issues to consider: frequency of the workshops over time, timing the workshop within the year, and allocating time on the day for the various activities on the workshop agenda.

The early ET workshops were held on an annual basis. While this worked well for the staff concerned it does not imply that an annual frequency is the only way to organize ET capacity strengthening. You could conduct all three rounds over a shorter space of time, perhaps to try and develop a greater sense of momentum. This decision must be made locally with full awareness of other demands on participants' time.

Selecting the month and week to schedule your workshop is important. Minimize the burden on participants by selecting a slower time in their program work cycle. It may be a good idea to talk to staff members from each Group in the organization hierarchy to get an idea of what will work best for everyone.

Timing the hours in a workshop day can be one of the most challenging parts of facilitation. Starting and ending on time, while allowing for productive and engaging discussion is often a difficult balance. Two simple tips may help:

1. **Build extra time into the agenda.** The extra 30 minutes at the beginning and end of the day will ensure that the workshop can start on time and that any "housekeeping" items can be addressed, and should ease any concern about running a few minutes over time on any activity or discussion.
2. **Be flexible.** Remember that getting through the agenda is secondary to participants' learning to think evaluatively. Be responsive – if you are having a very insightful, engaging and productive discussion, let it go on a few extra minutes. If the discussion has waned or feels tedious, move on. Perhaps you will use this time for a productive discussion in the next activity.

Responsive facilitation

The most important characteristics of a good facilitator (like a good program implementer) are responsiveness, timeliness and the ability to adapt. While the materials in this planning package are designed to allow any facilitator in any organization to implement the same set of workshops, each individual workshop implementation should be unique. The context in which the workshop takes place, the individual participants and facilitators, the programs represented, and the dynamics of different groups each significantly affect the way a workshop, or any individual activity, should be facilitated. Workshop facilitators have to be perceptive and open to feedback. They should constantly ask themselves questions like:

> Are participants engaged? If not, how can I help them get engaged? What is their current knowledge/skill group? What is the next step in building their knowledge or skill? Is there an individual in the group that is dominating the others? How can I provide an opportunity for others to contribute? Am I asking participants to do something that is culturally insensitive?

General facilitation tips

- **Focus on preparation:** Have all of the handouts photocopied and in order, other materials organized, and run through the slides on your own as well as with any peer facilitators before workshop day.
- **Be timely:** Take seriously the start and finish times each day and, if possible, after the breaks. It is only fair to those who arrive on time that you should start and finish at the time you previously agreed.
- **Be flexible:** This is worth stating again. If you are not making adjustments to your agenda, you are probably not being as responsive to your participants as you should be. Allow time at the end of each day to reflect and adapt existing plans.
- **Don't talk too much:** Some lecturing is unavoidable, but try to minimize time spent in this way. Research shows that people learn best when they are constructing their own knowledge (via discussion, and thinking activities) rather than having it delivered to them.

Facilitator's Agenda

DAY 1

TIME	TASK	ACTIVITY DESCRIPTIONS	HANDOUTS
8:30am	Introductions and goals		• Consent form • Pre-workshop survey
9:15am	ET and utilization		• What is evaluative thinking?
10:00am	Primary intended users	• Primary intended users brainstorm	• Primary intended users brainstorm
10:30am	Break		
10:45am	Practice reading results (Case study)	• Case study: Prepare for interpretation • Case study: Align results with LQs	• Case study: Prepare for interpretation
12:15pm	Lunch		
1:15pm	Practice interpretation (Case study)	• Interpretive frameworks role-play • Case study: Align results with claims • Plausible alternative explanations • Case study: Interpret summarized results	• Interpretive frameworks role-play • Case study: Align results with claims • Case study: Interpret summarized results
3:00pm	Break		
3:15pm	Review action planning Practice action planning (Case study)	• Case study: Action plan	• Case study: Action plan
4:30pm	Reflect and debrief		
5:00pm	Close		

DAY 2

TIME	TASK	ACTIVITY DESCRIPTIONS	HANDOUTS
8:30am	Debrief of Day 1, goals for Day 2		
9:00am	Introduction to redefining reporting	• Design a one-pager • Gallery walk	• Design a one-pager
10:15am	Break		
10:30am	Create a communication plan MEAL report critical review	• Communication plan outline • MEAL report critical review	• Communication plan outline • MEAL report critical review
12:00pm	Lunch		
1:00pm	Program learning in your context	• Program learning diagram	• Program learning diagram
3:00pm	Break		
3:15pm	Two universal uses: ToC and MEAL plan	• Case Study: Revisit the ToC Pathway Model and learning questions	
4:30pm	Reflect and debrief		• Post-workshop survey
5:00pm	Close		

Note to facilitators: The timing of activities (length of time required for each activity as well as their sequence) are suggestions only, based on prior experience and a broad set of priorities. It is often the case that a particular group may need more or less time for a particular task. The facilitator should (a) set their priorities ahead of time so that, in the moment, a quick decision can be made about whether to slow things down or move things along and (b) be prepared to be flexible and make adjustments on the fly. It is good practice to, at the end of each day, review the agenda for the next day, making adjustments based on predetermined priorities and what has been accomplished so far.

HANDOUT LIST

Day 1

Consent form (See Appendix)
Pre-workshop survey (See Appendix)
What is evaluative thinking?
Primary intended users brainstorm
Case study (See Appendix)
Case study: Prepare for interpretation
Interpretive frameworks role-play
Case study: Align results with claims
Case study: Interpret summarized results
Case study: Action plan

Day 2

Design a one-pager
Communication plan outline
MEAL report critical review
Program learning diagram
Post-workshop survey (See Appendix)

What is Evaluative Thinking?

Evaluative thinking is a relatively new idea in the field of MEAL. Here are some definitions:

> Evaluative thinking is critical thinking applied in the context of evaluation (or MEAL), motivated by an attitude of inquisitiveness and a belief in the value of evidence, that involves: identifying assumptions, posing thoughtful questions, pursuing deeper understanding through reflection and perspective taking, and making informed decisions in preparation for action.
>
> Buckley, J., Archibald, T., Hargraves, M., & Trochim, W. (2015). Defining and Teaching Evaluative Thinking: Insights from Research on Critical Thinking. *American Journal of Evaluation*

* In the above definition, we define evaluation very broadly, encompassing all MEAL activities and even other reflective professional practice.

> Evaluation is an activity. Evaluative thinking is a way of doing business. This distinction is critical. It derives from studies of evaluation use. Evaluation [or MEAL] is more useful—and actually used—when the program and organizational culture manifests evaluative thinking.
>
> Patton, M. Q. (2014). 'Embracing Evaluative Thinking for Better Outcomes: Four NGO Case Studies'. InterAction report.

A large portion of the capacity necessary to undertake good MEAL involves evaluative thinking.

MEAL requires:

- Knowledge: understanding of the "how" and "why" of basic MEAL concepts, terms, methods and resources
- Working skills: observation, analysis, communication, etc.
- Thinking skills: reflection, questioning, strategizing, mental modeling, perspective taking, decision-making, the ability to identify assumptions
- Attitudes: belief in the value of MEAL, an intrinsic motivation to pursue evidence

Evaluative thinking

You know evaluative thinking is happening when you hear things like:

"Why are we assuming X?"
"How do we know X?"
"What evidence do we have for X?"
"What is the thinking behind the way we do X?"
"How could we do X better?"
"How does X connect to our intended outcomes?"
"Stakeholder X's perspective on this might be Y!"

You know evaluative thinking is happening when you see things like:

- More evidence gathering (formal and informal)
- More feedback (all directions)
- Reflective conversations among staff, beneficiaries, leadership, etc.
- More model making/illustrating thinking
- More motivation to do formal evaluation work
- Program evolution/adaptation
- More effective staff and programs

Primary Intended Users Brainstorm*

Goal: List the stakeholders who care most about your MEAL results and consider how they would use this information.

Primary intended user (Stakeholder with particular interest in the results of your MEAL work)	**Actions this primary intended user might take, or decisions s/he might make based on MEAL results**

* Michael Quinn Patton

Case Study: Prepare for Interpretation*

Goal: Put information (M&E data, formal and informal feedback, etc.) in a form that is summarized, readable, unbiased and ready for interpretation by a diverse group of stakeholders (not just MEAL staff).

1. Organize – Sort, list, or tabulate the data

It is typical to think of using a spreadsheet to organize responses to a quantitative survey. This is appropriate. However, consider also how you might organize qualitative data and informal feedback. Do you have a log or program diary? Could you sort comments by topic or theme?

2. Clean – Address missing and/or erroneous data

For quantitative data, this may mean deciding to delete responses that are incomplete. For qualitative data, this may mean adding missing words or phrases.

3. Translate – Score, code, or otherwise convert the data

Survey respondents may be given an overall "score," but the concept of "translation" is more complex when we consider qualitative data. Feedback from community members may need to be translated into another language, but you may also wish to code responses for themes, or indicators of your key outcomes.

4. Enumerate – Count up the data when appropriate

This is trickier than it sounds. Not all data needs to be added up. Consider your data set. What needs to be counted? How would this sum help you interpret the information? How might it introduce bias?

5. Visualize – Display data in a way that allows for interpretation

Data can be visualized in an infinite number of ways. Try to think creatively. Also, you may not need to visualize everything. In fact, this may actually get in the way of interpretation. Remember, the purpose here is to prepare for *unbiased* interpretation.

* Developed by Jane Buckley

Interpretive Frameworks Role-Play*

Every person brings their own "frame" to the interpretation of information, including MEAL results. These frameworks are determined by things like personality, past experience, knowledge, and social dynamics. For the purpose of this activity, each of your group members will take on one of the following interpretive frameworks:

- **Positive** (*sees results in a positive light – "yellow hat"*)
- **Negative** (*sees results in a negative light – "black hat"*)
- **Defensive** (*feels offended, denies accuracy of results*)
- **Open** (*does not feel offended, sees results as plausible*)
- **Expected** (*is not at all surprised by the results*)
- **Unexpected** (*is surprised by the results*)

Read the following scenario out loud. Then, allow time for each member of your group to respond (interpret) the scenario using the framework they've chosen from the list above.

Scenario

You are working on a disaster preparedness plan with a group of 3 villages. The process of developing the plans has included a group of 12 village leaders. The 12 participants have met with program staff monthly for 6 months. After conducting a pre- and post-meeting survey, you find that 75 percent of the community leaders who responded increased their knowledge about disaster preparedness. The average increase was small, but significant. You also found that 25 percent of respondents reported that they felt confident in their village's ability to make appropriate disaster preparedness plans. Program staff, who have been conducting informal conversations with community members, report that many people are still unaware of village leadership's efforts to be disaster-prepared.

* Jane Buckley, inspired by Michael Quinn Patton

Case Study: Align Results with Claims*

Goal: Practice matching learning questions with results, and results with claims, ensuring accuracy.

Learning question	**Results** (summarized) that address this learning question	**Claim(s)** that can be accurately made to address the learning question, using the results you have identified
Do I have enough fuel in my car to get to work?	My car's fuel tank is half-full.	I have enough fuel in my car to get to work.
What percentage of WALA households use mosquito nets?	34 percent of WALA households have a mosquito net on site.	Though we cannot make a claim about actual use, 34 percent of WALA households have access to/ own a mosquito net.
What are WALA beneficiaries' current levels of knowledge and practice? (Regarding different program interventions, e.g., breastfeeding, hand washing, use of toilet facility, etc.)		
What is the health status of WALA beneficiaries?		

* Developed by Jane Buckley

Case Study: Interpret Summarized Results*

Goal: Systematically consider reasonable explanations for patterns and anomalies found in the data (formal and informal).

Instructions:

- Select one group member to be the manager and keep the discussion on track according to the instructions below.
- Select one group member to be the recorder to take notes of the discussion on chart paper.
- Look over the data summary you have prepared.
- With your group, complete the following tasks:

1. Describe what you are seeing, one observation at a time

Going around the table, take turns making *one-sentence* observations about the data. These should be clinical in nature. For example (NOTE: These examples are not taken from *this* case study.):

- *"The number of participants engaging in proper handwashing increased from 30 percent to 40 percent in the last year."*
- *"There are more women than men participating in our community meeting activities."*

At this point, the only comments from other group members should be about accuracy (*"I think you meant to say 45 percent."*)

2. Brainstorm plausible alternative explanations

Addressing the statement brainstormed above one at a time, brainstorm at least 5 to 10 plausible alternative explanations for the pattern or anomaly identified.

At this point, you should NOT discuss which interpretation might be "true". Just brainstorm.

3. Weigh alternative explanations

Going back to the statements that you agree are most important, review the list of alternative explanations you have generated by answering the following questions:

- Are there any that we can eliminate right away? Why?
- Which of our interpretations and/or explanations have evidence to support them? How reliable, accurate, and credible is that evidence?
- Can we agree on a few (three or fewer), that seem most likely and could serve as the basis for our action plan?

* Developed by Jane Buckley

Case Study: Action Plan*

Goal: Develop a plan for whether and how you (as a program) will act on the new information you have just reviewed and interpreted.

1. **What are the key results that have motivated this plan?** (*Look at the list of statements you generated for the interpretation activity.*)

   ____

   ____

   ____

2. **What are the parts of your program** (*i.e., the activities and/or activity-outcome links*) **you will be addressing with this plan?**

   ____

   ____

   ____

3. **What are the specific actions or changes you are suggesting, if any?**

   ____

   ____

   ____

4. **What evidence do you have to support your decision?** (*Look back at your interpretation notes*)

   ____

   ____

   ____

5. **What evidence do you have (if any) that supports your suggested action or change?**

   ____

   ____

   ____

6. **What changes should be made to the learning plan as a result of this action?**

   ____

   ____

   ____

* Developed by Jane Buckley

Design a One-Pager*

Goal: Practice communicating results accurately, and to a specific stakeholder group.

Imagine you have been asked by the WALA program (case study) to present their survey results to the program's local implementation partners. You will have a flip chart with one piece of chart paper to refer to. Your goal is not only to communicate the results, but to further motivate local partners to participate in WALA activities using those results.

Consider:

- What you want your overall message to local partners to be
- Which results best serve that purpose
- The best way to communicate with local partners

Guidelines: The one page of flip chart paper must:

- Have 75 words or less
- Use images and/or figures
- Have a title that clearly communicates the message

Sketch your ideas here first:

* Developed by Jane Buckley

Communication Plan Outline*

Goal: Practice strategizing what to report and to whom.

Audience (stakeholder group)	**Goal of communication**	**Results to be communicated**	**Form/format of communication**

* Developed by Jane Buckley

MEAL Report Critical Review*

Goal: Better understand what makes a high-quality MEAL report by critiquing a simulated version.

Imagine you have been asked by the WALA program (case study) to present their survey results to the program's local implementation partners. You will have an flip chart with one piece of chart paper to refer to. Your goal is not only to communicate the results, but to further motivate local partners to participate in WALA activities using those results.

Instructions:

- Read the "Report" section (Part VI) of the case study.
- Consider the following questions and discuss them with your group members:

  1. Who do you think this report is written for (intended audience)?
  2. Does the report sufficiently describe the purpose of the MEAL work?
  3. Does the report defend the choice of learning questions addressed in the report?
  4. Does the report sufficiently describe and defend the data collection method chosen?
  5. Does the report sufficiently describe the results of the survey?
  6. Does the report accurately represent the results of the survey?
  7. Do you agree with the authors' interpretation of the results (challenges and opportunities)?
  8. What is missing from this report (if anything)?
  9. What are the strengths of this report?
  10. Given the intended audience, what options would you suggest for communicating the report?

* Developed by Jane Buckley

Program Learning Diagram*

When it comes to learning, every program—even every program site—works differently. The purpose of this activity is to think about and illustrate how your program "learns" about itself and subsequently evolves (if at all).

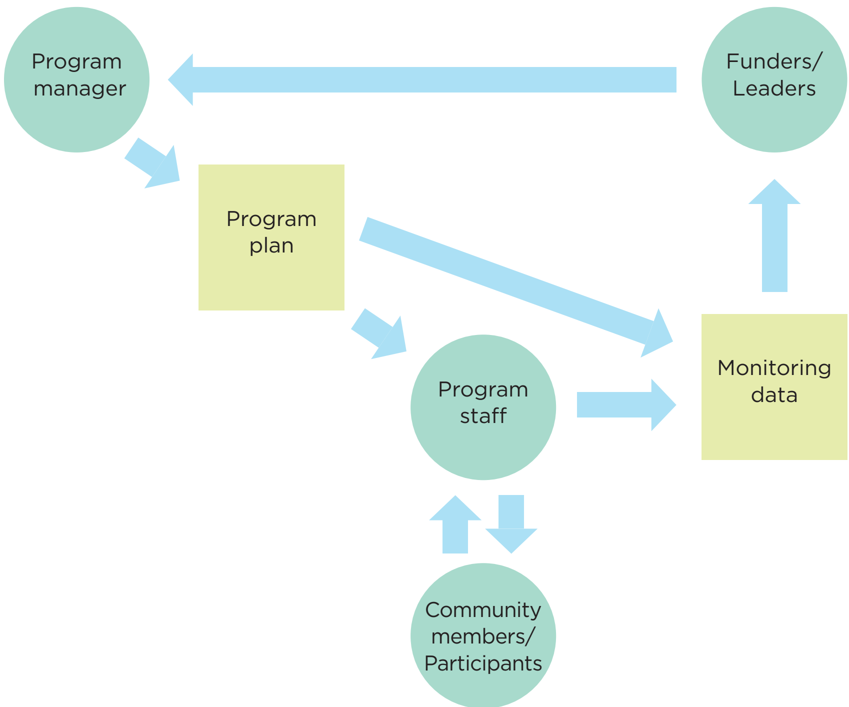
With your team, create a flow diagram that illustrates how you program learns and evolves. Use the following symbols to build your diagram:

 = Actors (people, such as: program managers, field-based staff, leadership, participants, community members, etc.)

 = Artifacts (program plans, MEAL reports, data sources, program products)

 = Direction of knowledge flow (learning)

Here is an example:



What is missing here? How could this program improve the way it learns?

* Developed by Jane Buckley (2016)

Primary Intended Users Brainstorm

OBJECTIVE: Participants rethink program stakeholders from the perspective of utilization. Participants should consider who might be interested in MEAL results or new information about the program and how these individuals or stakeholder groups might use this information (decision-making, etc.).

30 MINUTES

SMALL GROUPS ORGANIZED BY PROGRAM OR PROJECT TEAM

INTENDED PARTICIPANTS
Senior program staff and field staff

MATERIALS

- One copy per participant of the handout *Primary Intended Users Brainstorm*
- A pen

STEPS

1. Distribute the activity handout.
2. Introduce the activity, including a clear description of the goal.
3. In small groups:
   - Ask groups to think about who will benefit from, act or make decisions based on new information about their program.
   - Groups should then list these individuals in the left-hand column of the handout.
   - Then, in the right-hand column, list the ways in which that individual might use new information about the program.
4. Debrief. In the large group, ask participants to reflect on the following:
   - How did this activity change your perspective of how you might use your MEAL results (if at all)?
   - Did your team have general agreement about who the primary intended users are? Why? Why not?
   - How does this activity contribute to evaluative thinking?

APPROACH

- This activity is designed to be a first step toward shifting participants' thinking toward the utility of their MEAL/learning plan results. It builds on an activity done in Round 1—the stakeholder analysis—but asks participants to be more forward thinking rather than reflective on the program and MEAL work.

TIPS

- Although the results may be practically useful, this activity is an exercise. Therefore, participants should not worry about considering every stakeholder or even every key stakeholder while filling out the handout. The most important thing is to have some variety in the individuals they choose so that they get an idea of the diversity of ways MEAL results may be used.
- Point out that some stakeholders will use results more (or more intensively) than others. Some stakeholders who are "further" from the program may never use results (at least, not consciously). Therefore, for the purpose of this activity, participants should consider stakeholders that are "closer" to the program and who represent a variety of interests and possible uses.

* Michael Quinn Patton

Case Study*

OBJECTIVE: To enable participants to experience the entire process of utilization (from raw information or data to action planning and reporting) without having to use their own MEAL work or learning plan. The primary focus is on practicing the thinking skills and decision-making that go into the utilization process, and understanding that utilization is a multi-step process that should be used in every case where new information (however formal or informal) has been collected.

VARYING LENGTH (SEE BELOW)

SMALL GROUPS (2-5 PEOPLE) IN PROGRAM OR PROJECT GROUP

INTENDED PARTICIPANTS
All workshop participants working as part of a program or project team.

MATERIALS

- One copy per participant of the handout *Case Study*
- One copy per participant of the handouts *Prepare for Interpretation, Align Results with Claims, Interpret Summarized Results,* and *Action Plan* to be distributed at the time of the activity as described below

STEPS

The activities described are spread over the course of the two days.

1. Distribute copies of the handouts to each participant.
2. Explain that this packet includes some MEAL materials developed by a real program, but that much of the information in the packet has been altered or generated for the purpose of practice as part of this workshop.
3. Describe the objective of the case study to participants.
4. Ask each group to identify a notetaker who will be responsible for general notetaking.
5. Ask participants to read the Overview section (Part I) of the case study in order to familiarize themselves with the program and the broad aims of its learning plan.

ACTIVITY A: Prepare for Interpretation (45 minutes)

Distribute handout *Prepare for Interpretation*. Participants will not need to do the "O", "C" or "T" steps listed on the handout. Ask participants to use the simple case study data set (Part IV, but refer also to Part III) to do the following (see handout for detailed instructions):

- **Enumerate** – "count up" the data when appropriate
- **Visualize** – display data in a way that allows for interpretation

Debrief

- Was this activity more or less difficult than you expected? Why?
- Was it easy or hard to remain objective? Why?
- What is the role of evaluative thinking in this work?
- What will this step look like for your own MEAL work?

ACTIVITY B: Align Results with Learning Questions (20 minutes)

Participants should read over the results listed in Part V of the packet. Then, next to each result, indicate which learning question (listed in Part II), that result addresses or helps to answer.

Debrief

- Was it easy or hard to sort the results? Why?
- Do you think the results are sufficient to address the LQs?
- Did you use ET to do this activity? If so, how?

ACTIVITY C: Align Results with Claims (30 minutes)

Distribute handout *Align Results with Claims*. Describe the relationship between learning questions, results and claims. Use the first two rows on the handout as examples. The learning questions from the case study are filled in in the first column. Participants should spend about 20 minutes filling in the second and third columns on the handout, ensuring alignment.

Debrief

- Was is hard to accurately make claims based on your (simulated) results? Why or why not?
- Was it hard to stick to claims related to your learning questions?
- How did ET contribute to your ability to do this activity?

ACTIVITY D: Interpret Summarized Results (30 minutes)

Distribute handout *Interpret Summarized Results*. Describe the goal of the activity. (*They have just completed the plausible alternative explanations activity. This is just another application of the same skill.*) Ask participants to follow the instructions on the handout, which will lead them through a systematic interpretation process (25 minutes).

Debrief

- Was it difficult to come up with more alternatives?
- Is this something you would typically do in everyday life? Why or why not?
- What role does evaluative thinking play in this exercise?

ACTIVITY E: Action Plan (30 minutes)

Distribute the handout *Action Plan*. Describe the goal of this activity. In this case, participants will role-play as if they are the staff of the WALA program described in the case study. In that role, they will outline an action plan based on the results of the MEAL work laid out in the packet. Ask participants to follow the instructions on the handout (20 minutes).

Share out and debrief

Each group should have a chance to, very briefly, describe the action plan they have come up with and why they are advocating for that particular plan. Then, use the following prompts to debrief:

- Was this exercise harder than you expected? Why or why not?
- What role did evaluative thinking play in your decision-making process?
- When you were considering the evidence for your decision, what made you feel that the evidence was sufficient (or insufficient)?

ACTIVITY F: Revisit the ToC Pathway Model and Learning Questions (45 minutes)

Describe the goal of the activity (to practice revisiting and revising the ToC Pathway Model and learning questions after one round of MEAL work in preparation for the next). Ask participants to review Parts I and II of the packet and suggest any changes to the ToC Pathway Model and learning questions based on their work with the case study so far. (30 minutes)

Share out and debrief
Groups should share and defend their suggested revisions.

Debrief

- Why is it important to review and revise the ToC Pathway Model and learning questions after each round of MEAL work?
- How does evaluative thinking contribute to this process?

APPROACH

- The case study is a kind of role-play—an evidence-based approach to facilitating the development of thinking skills. By going through the utilization process using an example program, the participant can feel and practice the thinking steps that are critical to the process without being caught up in the real-world demands and biases of thinking about their own program.
- The case study also allows for shorter and more straightforward versions of the conversations and decisions that will occur as part of utilization. This allows participants to “ramp up” to the real thing, but also demonstrates that the process need not feel so daunting or intimidating.

TIPS

- The steps in the case study process build on one another. Therefore, it is important that a group does not go off track early. Facilitators should circulate, prompting conversations and making sure that groups are not making errors that may undermine subsequent steps.
- Please note: If there is a discrepancy between the Part V IPTT numbers and those quoted in the Part VI report, use this as a “teachable moment” and congratulate those who spotted the error attributable to the report writer.

* CRS Zimbabwe

Interpretive Frameworks Role-Play*

OBJECTIVE: Every individual sees results and information through a different ‘frame’, depending on their own experience, personality, perspective on their program, etc. The goal of this activity is to better understand how these interpretive frameworks influence our ability to read and interpret results.

30 MINUTES

SMALL GROUPS (2-5 PEOPLE)

INTENDED PARTICIPANTS
For senior program staff and field staff

MATERIALS
- Copies of the handout *Interpretive Frameworks Role-Play*

STEPS
1. Distribute the handout.
2. Introduce the activity, including a clear description of the goal.
3. Have each group member select a different interpretive framework to adopt for the purpose of the role-play. Encourage participants to select a framework that is different from their natural framework. (2 minutes)
4. Every participant should then read the scenario provided on the handout quietly to themselves. (3 minutes)
5. Then, groups should begin the role-play, allowing each participant to respond/comment on the scenario using the interpretive framework they have selected. After going around the group and giving each person a turn to respond, the group may continue the role-play by engaging in conversation about the scenario while staying in character.
6. Debrief. In the large group, ask participants to reflect on the following:
   - How did it feel to take on a different interpretive framework?
   - Did this exercise offer an insight about your own interpretive framework?
   - How does this activity contribute to evaluative thinking?
   - What other interpretive frameworks might exist?
   - Political, naïve, streetwise, etc.

APPROACH
- This activity builds on the “Thinking Hats” activity presented in Round 1. Therefore, participants should be familiar with the idea of using role-play to take on a different perspective. The difference between “Thinking Hats” and this activity is that this activity is focused on how attitude and world view can affect the way we interpret MEAL results. So again, like the primary intended users activity, this activity has a more forward looking, rather than reflective orientation.

TIPS

- Point out to participants that in 'real life' no person fits into a single interpretive framework category. In other words, no one is entirely negative, positive, open- or closed-minded. In fact, our interpretive framework is likely to change with context. The hope is that this activity will help participants understand how tendencies or leanings toward one or more of these frameworks can affect the way we interpret data.
- Even though no one is an archetype in reality, you can encourage participants to exaggerate their interpretive framework for the purpose of the role-play. This will help to more clearly demonstrate the relative strengths and weaknesses of each.

* Developed by Jane Buckley, inspired by Michael Quinn Patton

Plausible Alternative Explanations*

OBJECTIVE: Offering plausible alternative explanations is an important step in interpretation. Often it is easy to come up with one or two interpretations for an observation or result that match our previously held beliefs. However, to give ourselves the best chance to arrive at the most truthful explanation, we must challenge ourselves to explore and evaluate as many plausible explanations for an observation or result as we can. The purpose of this activity is to practice the skill (and it is a real skill that should be practiced) of brainstorming plausible alternative explanations.

15 MINUTES

IN SMALL GROUPS OR PLENARY

INTENDED PARTICIPANTS
All workshop participants

MATERIALS
- Chart paper and markers

STEPS

1. Introduce the activity, including a clear description of the goal.
2. Ask all participants to look at the pie chart illustrating a result from an evaluation of a handwashing program. It shows that 41 percent of participants adopted proper handwashing techniques, 11 percent partially adopted them and 48 percent did not adopt.
3. Then, ask participants to come up with as many explanations (more than 15) for the pattern they are seeing in the result (in particular, why the results show that approximately half of participants did not adopt proper handwashing techniques).
   - If working in small groups, each group can make its own list of plausible alternative explanations and record it on chart paper
   - If working in the plenary group, the facilitator should record the list on chart paper at the front of the room.

Debrief: In the large group, ask participants to reflect on the following:

- Was it difficult to come up with more than a few alternative explanations?
- Is this something you would typically do in everyday life? Why or why not?
- What role does evaluative thinking play in this exercise?

APPROACH

- Brainstorming plausible alternative explanations is a foundational evaluative thinking skill. It gets at the core of not taking things at face value and not allowing bias to keep us from the most accurate and useful information about our programs. Therefore, it is not surprising that this activity is a partial duplicate of the “plausible alternative explanation card game” that was done as part of round 1. However, in this case, we are practicing with a ‘real’ MEAL result related to a program, rather than a simple image. Also, in this case, brainstorming plausible alternative explanations is being introduced as a formal step in interpretation and utilizing results.

TIPS

- Point out to participants that there are no ‘wrong’ answers, only more/less plausible explanations.
- If the group comes up with less than 10 explanations, ask them to dig deeper. Perhaps thinking about the result from the perspective of a participant might help? Another stakeholder?

* Developed by Jane Buckley

Design a One-Pager*

OBJECTIVE: To enable participants to practice developing a communication device that can be used to communicate MEAL/learning plan results, and that is different (both in format and purpose) from the typical written report.

45+ MINUTES

IN SMALL PROGRAM GROUPS

INTENDED PARTICIPANTS
Senior program and field staff

MATERIALS

- Handout *Design a One-Pager*
- Chart paper
- Markers

STEPS

Distribute a copy of the handout to each participant. Introduce the activity, including a clear description of the goal and the guidelines:

1. The flip chart page they will create must:
   - Have 75 words or less
   - Use images and/or figures
   - Have a title that clearly summarizes the message
   - Be designed to communicate results/claims with a primary intended user of their choice
2. Allow at least 30 minutes of work time for groups to design and create their one-pagers.
3. A gallery walk (see activity description *Gallery Walk*) will immediately follow this activity so that groups can view, compliment and critique their peers' work. During the gallery walk, ask participants to take note of:
   - Things they think will work well to communicate to the primary intended user they have chosen
   - Something the team could have left off or changed.
4. In the debrief after the gallery walk, ask participants to share their ideas related to the above prompts. This could be done as a plenary or as a round robin (each group presents their feedback to the group on their right).

APPROACH

- After participating in this activity, participants should feel less intimidated and more open-minded and positive about the role of communicating results to stakeholders.

TIPS

- Point out to participants that the one-pager may work for some stakeholders but not for others. Who do they think it would work best for in their context? Who would it not work for? Encourage participants to keep their primary intended user in mind throughout the activity. This might affect the language and/or words they choose to use, the results they choose to focus on, and any number of other variables.

* Developed by Jane Buckley

Gallery Walk*

OBJECTIVE: Participants will view and briefly review the ToC Pathway Models created by their peers. The facilitator may wish to add additional objectives. These might include identifying common outcomes, outcomes that address a common theme, etc. Recall that a formal, step-by-step peer review is a separate activity.

15-30 MINUTES

SMALL GROUPS (2-5 PEOPLE PER TABLE)

INTENDED PARTICIPANTS
For all workshop participants

MATERIALS
- Previously created ToC Pathway Models
- Post-it notes (optional)

SET-UP
The ToC Pathway Models created by workshop participants should be displayed around the room in whatever way best facilitates viewing by all participants. This may be by hanging them on the wall or lying them flat on large tables. Be sure there is space for people to walk around and stand close enough to the models to read them.

STEPS
1. Describe the objective of the gallery walk to participants.
2. Ask participants to spend an equal amount of time at each of the models besides their own (remember to set aside at least 5 minutes for a debrief).
3. After participating in the gallery walk, ask participants to report what they noticed. If you have established an additional objective, also discuss this.

TIPS
- Participants sometimes have a hard time focusing on this activity. In order to avoid disengagement, offer something specific for participants to look for in each model.
- Instead of allowing participants to wander freely, consider organizing them so that they move from station to station in a more structured and timed manner.

* Trochim et al (2012)

Communication Plan Outline*

OBJECTIVE: Participants will consider the variety of ways and reasons that they might want to communicate information about their program (in particular, MEAL and learning plan results) to stakeholders.

30 MINUTES

SMALL PROGRAM GROUPS

INTENDED PARTICIPANTS
For senior program and field staff

MATERIALS
- Handout *Communication Plan Outline*
- Pens

STEPS
1. Distribute a copy of the handout to each participant.
2. Introduce the activity, including a clear description of the goal.
3. Allow at 20 minutes of work time for groups to complete the handout. Groups should complete the table for at least three stakeholders/primary intended users.
4. During the last 10 minutes of the activity, conduct a debrief focused on the following prompts:
    - How had your thinking about reporting changed, if at all?
    - Why is reporting/communication an important part of program work?
    - How does ET contribute to good communication?

APPROACH
- It is likely that participants haven't thought about reporting MEAL results in this way before. For some, it may feel liberating to think about communicating results to different stakeholder groups in different ways for different purposes. For others, the idea of having to plan a variety of communications may feel overwhelming. Remind participants that this outline does not have to be a work plan or any form of commitment for their program. As the facilitator, the approach should be to frame communication with stakeholders as an *opportunity* for program staff rather than a burden.

TIPS
- Suggest that teams select diverse stakeholders (or ones that represent extremely different interests) to outline communication plans for. This will maximize the intended impact of the activity.

* Developed by Jane Buckley

MEAL Report Critical Review*

OBJECTIVE: Participants will build evaluative thinking skills by critically reviewing a MEAL report. In addition, through this process, participants will better understand what makes a high-quality MEAL report in preparation for preparing their own reports and other communications in the future.

45 MINUTES

SMALL PROJECT/PROGRAM GROUPS (2-5 PEOPLE)

INTENDED PARTICIPANTS
For all workshop participants working as part of a program or project team

MATERIALS

- One copy per participant of the handout *MEAL Report Critical Review*
- One copy per participant of the handout *Case Study*

STEPS

1. Distribute copies of the handouts to each participant. Describe the objective of the activity to participants.
2. Ask each group to identify a notetaker who will be responsible for general notetaking as well as filling out the *MEAL Report Critical Review* handout.
3. Ask participants to read the "Report" section (Part VI) of the case study packet.
4. Allow enough time for groups to conduct the review (30 minutes) using the 10 prompts on the handout.
5. Conduct a debrief
   - Did reviewing this report make you think any differently about the case study program or its MEAL work? How about your "real-life" program?
   - How would you facilitate a critical review of your program's latest (real-life) report with your program team?

APPROACH

- This activity is designed to build a basic and fundamental ET skill—critique—as well as build real, useable reporting knowledge and skills for programs engaged in this process. To that end, participants should be encouraged to consider how the program described in the materials is similar or dissimilar from their own program.
- The act of critiquing a simulated MEAL report should inspire insight about how the reviewer might review their own report as well.

TIPS

- The facilitator(s) should circulate during this activity, moving around the room and listening in on each conversation. It is important that the facilitator allow each group to have some unobserved work time, as some participants are more likely to open up when the facilitator is not listening. It is also important that no group be completely ignored, as they may go off track or get mired down in details.

- Facilitators should look for (and use) opportunities to push groups further. Try using opening questions like:
  - Do you think this MEAL report represents the case study program's MEAL work well? Why or why not?
  - What do you think this program's key stakeholders would think about this report?

* Developed by Jane Buckley

Program Learning Diagram*

OBJECTIVE: To demonstrate how an image or diagram can reveal new insights. In this case, the goal is for participants to reflect on how their program learns about itself and evolves, and where these learning feedback loops may break down.

1 HOUR 15 MINUTES

IN GROUPS WHOSE MEMBERS ALL WORK ON THE SAME PROGRAM OR PROJECT

INTENDED PARTICIPANTS
Field-based staff as well as any member(s) of an organization to help reveal insights and assumptions about how a program evolves

MATERIALS

- Chart paper
- One set of multicolored markers for each group
- Handout *Program Learning Diagrams*

STEPS

1. Introduce the activity, including a clear description of the goal.
2. Show slide with example diagram (and photos of diagrams created by other groups, if available).
3. Distribute handout, review object code (circles represent people, squares are artifacts, and arrows represent the flow of knowledge).
4. Distribute three pieces of chart paper and one set of markers to each group.
5. Allow 30 minutes for groups to discuss and create a program learning diagram as per the handout instructions. (The extra paper is for drafts/mistakes).
6. Allow 10 minutes for groups to map evaluative thinking onto their diagram. Ask them to use one color to mark locations on the diagram where they think ET is already taking place. The group should then use a different color to indicate where they think ET is necessary, but currently absent.
7. Allow 30 minutes (5 to 10 minutes per group) for groups to share their diagram and receive feedback from the plenary group.
8. Close this activity with a reminder that the solution to what is wrong with a program's learning habits may be as simple as an (ET-focused) conversation.

APPROACH

- Many participants have never thought about the way their program learns or evolves. They may never have thought about their program in this way. Using this language in everyday conversations about a program is strong indicator of evaluative thinking. How can participants seek to close learning loops if they are not aware of which loops are broken?

TIPS

- The facilitator(s) should circulate during this activity moving around the room and listening in on each conversation. It is important that the facilitator also allows each group to have some unobserved work time, as some participants are more likely to open up when the facilitator is not listening in. It is also important that no group be completely ignored, as they may get off track or mired down in details.
- Facilitators should look for (and use) opportunities to push individuals and groups further. Prompt participants to offer alternative views. (E.g. Do you agree with the way colleague X has characterized this part of your program? How would you draw it?)

* Developed by Jane Buckley

Surveys and consent

As part of this package of materials for facilitating an ET Workshop, we have included tools that can be used to measure the types and frequency of evaluative thinking behaviors that participants are engaged in both before and after participating in a workshop. As a facilitator, it is up to you to choose if and how you will use these tools. If you do distribute the survey, it is important to obtain consent (using the consent form provided) and follow any applicable guidelines or protocols related to human subjects in your context.

Though there is no formal plan to do so now, there may be an effort in the future to share data collected using this survey across contexts. In that case, you may receive a request to share the data you collect, but would not be required to do so.

Consent Form

Dear Evaluative Thinking Workshop Participant,

Thank you so much for participating in this workshop. We really look forward to learning with you over these next 3 days. To help us learn, we would like to collect some data from you before and after the workshop. This will help us to put into practice the type of evaluative thinking that we will be talking about. We really would appreciate it if you could fill out the attached form. Your data and insights will be used to improve the program and to contribute to the research knowledge on evaluative thinking.

If you are willing to participate in this evaluation of the workshop, please review and sign this form below and fill out the survey attached. This should take about 5 minutes to complete.

I. Purpose of this research project
The purpose of this study is to evaluate the evaluative thinking workshop to improve the program and to contribute to the knowledge base about evaluative thinking.

II. Procedures
This study consists of a pre-survey, a post-survey (at the end of the workshop) and a follow-up survey that will be emailed to you after 3 months.

III. Risk
There are no anticipated risks to you as a result of participating in this study. Your decision whether to participate in the study or not will have no impact on your participation in the training program.

IV. Benefits
There is no direct benefit to you of participating in the study, although the knowledge generated could be beneficial to your organization.

V. Extent of anonymity and confidentiality
Your participation in this study will be kept confidential and identifying information will be removed from any data to be analyzed. It is possible that the Institutional Review Board (IRB) of Virginia Tech may view this study's collected data for auditing purposes. The IRB is responsible for the oversight of the protection of human subjects involved in research.

VI. Compensation
Participants will not be compensated for participating in this study in any way. There will be no monetary or academic gain for participating in this study.

VII. Freedom to withdraw
You are free to withdraw from this study at any time; to do so, please notify the investigators at the contact information below.

VIII. Subject's responsibilities and permission
I voluntarily agree to participate in this study. I have read this informed consent form and the conditions of this project. By signing here, I offer my consent to participate in this evaluation.

Full name: ____________________ Signature:____________________ Date: __________

Should you have any questions about this research or its conduct, you may contact either of the following:

- Investigator: Tom Archibald, +001-540-231-6192, **tgarch@vt.edu**
- Chair, IRB: David M. Moore, +001-540-231-4991, **moored@vt.edu**

Pre-Workshop Survey

Welcome to the Catholic Relief Services Evaluative Thinking Pre-Workshop Survey. This survey is meant to serve as a baseline for your knowledge about evaluative thinking. Please take your time and answer the questions to the best of your ability. It should take 5 to 10 minutes to complete. Thank you for your time and participation!

1. Which of the following best describes your professional role? Check all that apply:

- ☐ Community Partner
- ☐ Program Staff
- ☐ Program Manager
- ☐ Country Leadership
- ☐ MEAL Specialist
- ☐ Administration

2. How long have you worked in this role (please round to the nearest whole number)

☐ years

3. Is this your first ET workshop?

☐ Yes ☐ No

If "No", how many workshops have you attended previously

☐ One ☐ Two If more than two, how many? ________

4. Consider the following behaviors. How often do you:

	Never	Less than once a month	One to three times a month	Once a week or more
Have a reflective conversation with a colleague about your program (e.g. why do you think we are noticing this outcome?)	☐	☐	☐	☐
Collect informal evidence (not part of formal MEAL plan) about your program	☐	☐	☐	☐
Identify assumptions about the way your program is planned?	☐	☐	☐	☐
Pose questions about your program in a meeting or conversation with colleagues?	☐	☐	☐	☐
Refer to your program's ToC in conversation with colleagues and/or program stakeholders?	☐	☐	☐	☐
Use diagrams or illustrations to communicate your thinking to a colleague	☐	☐	☐	☐
Seek evidence to support claims made by colleagues and/or program stakeholders?	☐	☐	☐	☐
Ask colleagues to identify assumptions you might be making?	☐	☐	☐	☐
Talk to your program stakeholders (participants, colleagues, leadership, etc.) about evaluative thinking?	☐	☐	☐	☐
Consider how various program stakeholders might view and/or think about your program?	☐	☐	☐	☐

5. Please answer the following questions in reference to the barriers to engaging with ET and the supports for using ET in your work.

	Prohibitive barrier		Neither barrier, nor support		Enabling support
	1	2	3	4	5
Cultural context (local community, country-wide norms, etc.)					
Program leadership					
Country leadership					
Personal motivation					
Personal skills					
Program culture (staff and management)					
Organization culture					
Peer colleagues					
Funder requirements					

	Very Frequently	Frequently	Occasionally	Rarely	Very Rarely	Never
I discuss evaluation strategies with my colleagues.						
I am eager to engage in evaluation.						
Diagrams and/or illustrations help me think about ideas.						
I am wary of claims made by others without evidence to back them up.						
I describe the thinking behind my decisions to others.						
I take time to reflect on the way I do my work.						
I try to convince others that evaluation is important.						
I consider alternative explanations for claims.						
I brainstorm with colleagues to develop plans and/or ideas.						
I believe evaluation is a valuable endeavor.						
I use diagrams and/or illustrations to clarify my thoughts.						
I suggest alternative explanations and hypotheses.						
I reflect on assumptions and claims I make myself.						
I pose questions about assumptions and claims made by others.						
I enjoy discussing evaluation strategies with colleagues.						
I describe the thinking behind my work to my colleagues.						
I offer evidence for claims that I make.						
I use diagrams and/or illustrations to communicate my thinking to others.						

Post-Workshop Survey

Thank you for participating in the Evaluative Thinking workshop. We'd like feedback on your experience with the aim of improving future learning events such as this.

1. Thinking of your various work activities and your organization, please read each of the statements below and check the appropriate box to indicate the extent to which you agree with each statement.

	Strongly Agree	Agree	Slightly Agree	Slightly Disagree	Disagree	Strongly Disagree
1. This workshop will be helpful to me in my work.						
2. I enjoyed this workshop.						
3. The level of material presented in this workshop was too difficult for me to understand.						
4. Through this workshop, I learned how to do better MEAL.						
5. Through this workshop, I gained a better understanding of what evaluative thinking is.						
6. Through this workshop, I learned something new about why evaluative thinking is important.						
7. I am an evaluative thinker.						

2. What was most valuable to you about the Evaluative Thinking workshop?

3. What was least valuable to you about the Evaluative Thinking workshop, and why?

4. What suggestions do you have to make this workshop better?

5. What assumptions do you think the facilitators held that had a negative effect on the workshop?

6. What assumptions do you think the facilitators held that had a positive effect on the workshop?

7. What other comments do you have about the Evaluative Thinking workshop?

THANK YOU FOR TAKING THE TIME TO RESPOND

References

Baker, A. & Bruner, B. (2012). *Integrating evaluative capacity into organizational practice*. Cambridge, MA: The Bruner Foundation.

Bennett, G. & Jessani, N. (Eds.). (2011). *The knowledge translation toolkit: Bridging the know-do gap: A resource for researchers*. New Delhi, India: Sage.

Bronfenbrenner, U. (1979). *The ecology of human development*. Cambridge, Massachusetts: Harvard University Press.

Brookfield, *Teaching for critical thinking: Tools and techniques to help students question their assumptions*.

Brown, J. & Isaacs, D. 2005. *The World Café: Shaping our futures through conversations that matter*. San Francisco, CA: Berrett-Koehler.

Buckley, J., Archibald, T., Hargraves, M. & Trochim, W. (2015). Defining and teaching evaluative thinking: Insights from research on critical thinking. *American Journal of Evaluation* Vol 36, Issue 3, 2015.

De Bono, E. (2010). *Six thinking hats*. London: Penguin.

Hargraves, M., Buckley, J., Johnson, M. and Archibald, T. (2015). *Review guide for Pathway Models*. From: **The Netway** (Software for Evaluation Planning)

Patton, M. Q. (2005). **In conversation: Michael Quinn Patton**. Interview with Lisa Waldick, from the International Development Research Center.

Patton, M. Q. (2007). Process use as a usefulism. In J. B. Cousins (Ed.), Process use in theory, research, and practice. *New Directions for Evaluation* Vol. 116, pp. 99–112. San Francisco, CA: Jossey-Bass.

Patton, M. Q. (2010). Incomplete successes. *The Canadian Journal of Program Evaluation*, 25, 151–163.

Patton, M. Q. (2011). *Developmental evaluation: Applying complexity concepts to enhance innovation and use*. New York, NY: Guilford Press.

Rist, R. C. & N. Stame (Eds.). (2011). *From studies to streams: Managing evaluation systems* (pp. 3-22). New Brunswick, NJ: Transaction Publishers.

Trochim, W., Urban, J. B., Hargraves, M., Hebbard, C., Buckley, J., Archibald, T., Johnson, M. & Burgermaster, M. (2012). ***The guide to the systems evaluation protocol*** (V2.2). Ithaca, NY.

Wind, T. & Carden, F. (2010). Strategy evaluation: Experience at the International Development Research Centre. In P. A. Patrizi & M. Q. Patton (Eds.), Evaluating strategy. *New Directions for Evaluation* (Vol. 128, pp. 29–46). San Francisco, CA: Jossey-Bass.

Case Study

WALA Annual Survey Malawi 2011

CASE STUDY

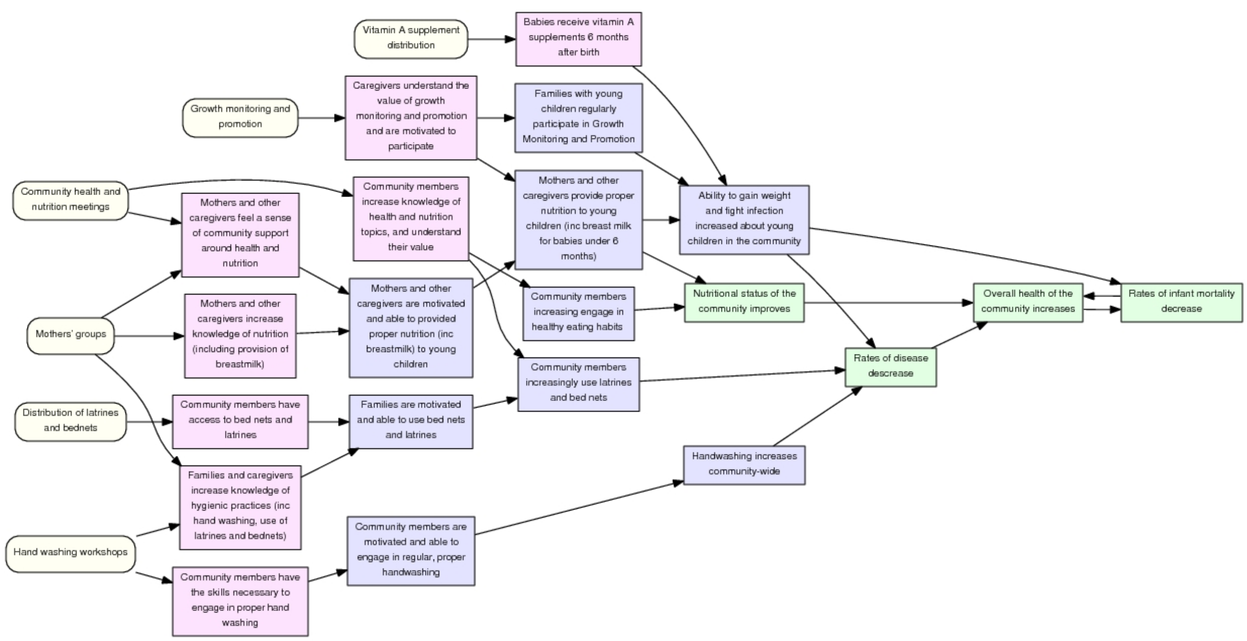
WALA Annual Survey, 2011

Part I - Overview

Background

The Wellness & Agriculture for Life Advancement (WALA) program was a five year (2009-2014) program (MYAP) funded by USAID-FFP. CRS/Malawi is the lead agency and grant holder for a consortium of seven WALA program implementing partners[1] and ACDI/VOCA provides support in Agribusiness. The goal of the program is to reduce food insecurity among 214,974 chronically food insecure households in 39 Traditional Authorities within five livelihood zones in southern Malawi by 2014. WALA aims to achieve the above goal through three strategic objectives that include targeted 273 communities that have improved capacity to withstand shocks and stresses.

ToC Pathway Model



Purpose of the Survey

WALA Program has its obligation to the donor USAID/FFP and the Government of Malawi to report on the achievements/progress made in improving the well-being of poor in the program areas on an annual basis. The annual survey will also provide some insights to the program managers on how different interventions are working in the field and what is not working. The PAT data will be gathered from the beneficiaries participating in any income earning activities such as VSL group and Agribusiness activities. The FY10 Annual Survey results will also be used for the mid-term evaluation due early next year.

The specific objectives of the annual survey are

i. To provide estimates on the IPTT indicators that needs to be reported on an annual basis.

[1] Africare, Chikwawa Diocese, Emmanuel International, Project Concern International, Save the Children, Total Land Care and World Vision.

ii. To assess WALA beneficiary's knowledge and practice regarding different program interventions, e.g., breastfeeding, hand washing, use of toilet facility, etc.
iii. To understand the perception of beneficiaries on different WALA interventions.
iv. To collect and report data using the Poverty Assessment Tool (PAT).

Sample Design

The annual survey is designed to provide estimates for the key indicators at the consortium level only, though the sample is drawn from all the districts to have sample spread/representation. 10 program villages each from the eight districts will be sampled; and, from each of the sampled villages, 15 households each will be randomly sampled from the list of beneficiaries. Thus a total sample of 1,200 households will be covered for the consortium as a whole.

The proposed sample size is sufficient enough to provide reliable estimates with less than 5 percent margin of error on most indicators, with some exceptions such as exclusive breastfeeding, births attended by health personal etc. which are based on number of children age 0-5 months, 0-11 months old respectively will have slightly higher margin of error. The list of beneficiaries in the selected villages will be compiled from the list of Care Group, Producer Group and VSL Group members, and from that compiled list a sample of 15 households will be drawn for administering the questionnaires.

Major Activities and coordination

Four teams will be formed to collect the data and each team will have three interviewers and one supervisor. In a day each team will have to complete 15 interviews and with this assumption, the whole data collection exercise will run for 20 days.

Part II – Learning Questions

Learning Questions (LQs)

1. What are WALA beneficiaries' current levels of knowledge and practice? (Regarding different program interventions, e.g., breastfeeding, hand washing, use of toilet facility, etc.)
2. What is the health status of WALA beneficiaries?

Part III - Survey

FY11 Annual Survey: HOUSEHOLD QUESTIONNAIRE (Sept-Oct 2011)

MODULE 1: DEMOGRAPHIC AND SOCIO-ECONOMIC HOUSEHOLD PROFILE

Please tell me the name of each person who usually lives here, starting with the head of the HH. **FIRST LIST ALL THE NAMES IN "Q.102. NAME OF THE HHH" COLUMN BELOW, WITH HEAD OF THE HH IN LINE 01. THEN ASK**: Are there any others who live here, even if they are not at home now, e.g. children in school/boarding/hostel or adults at work? **IF YES, LIST THEIR NAMES IN Q102 BELOW.**

						IF 12+ YRS	IF 18+ YRS				IF 5+ YRS
101. Line No	**102.** **LIST THE NAMES STARTING WITH HEAD OF THE HOSUEHOLD**	**103.** Is (**NAME**) male or female?		**104.** What is the relation ship of (**NAME**) with the HHH?	**105.** How old is (**NAME**)? **Nanga *(DZINA)* ali ndi zaka zingati zakubadwa?** **REFER HEALTH PASSPORT OR AGE CALENDER.** **WRITE AGE IN COMPLETED YEARS.** **95 IF 95+ YRS** **DK = 98**	**106.** What is the current marital status of (**NAME**)?	**107.** Has (**NAME**) been very sick for at least 3 months during the past 12 months?		**108.** Can (**NAME**) read a one page letter?		**109.** What is the highest educa-tional qualification (**NAME**) has acquired?
Line	Name	M	F	Code	Age	Code	Y	N	Y	N	Code
01		1	2	1	___ ___	___	1	2	1	2	___
02		1	2	___	___ ___	___	1	2	1	2	___
03		1	2	___	___ ___	___	1	2	1	2	___
04		1	2	___	___ ___	___	1	2	1	2	___

#	QUESTION AND FILTER	RESPONSE CODES
1	What kind of toilet facility do most members of your household **usually** use? [OBSERVE AND RECORD]	Flush toilet ....1 Ventilated improved latrine ....2 Traditional latrine with roof ....3 Traditional latrine without roof ....4 No facility/bush/field..........................5 Other (SPECIFY________________)...6
2	Do you have a hand-washing facility outside the toilet?	Yes .... 1 No 2
3	Does your household have a special place for hand washing?	Yes .... 1 No 2
4	**ASK TO SEE THE PLACE USED MOST OFTEN FOR HAND WASHING AND OBSERVE IF THE FOLLOWING ITEMS ARE PRESENT** **MULTIPLE RESPONSES POSSIBLE. CODE ALL OBSERVED**	Water/Tap... a Tip-tap .... b Soap/ash/other cleansing agent....... c Basin (to wash hands inside)............ d Basin for communal washing............ e Someone pouring water on others hand f Other (SPECIFY________________) . x
5	What is the date of birth of (NAME)? **COLLECT FROM THE MOTHER THE "HEALTH PASSPORT" OF (NAME) AND COPY DOWN THE INFORMATION. IF (NAME) DOES NOT HAVE THE HEALTH PASSPORT, COLLECT OTHER BIRTH RECORDS AND COPY DOWN. IF (NAME) DOES NOT HAVE ANY RECORDS, ASK THE MOTHER/CARE GIVER.**	Day.......................... ___ ___ Month........................ ___ ___ Year.......................... ___ ___ **RECORD '98' IN DATE CELLS IF NOT SEEN/ REPORTED**
6	RECORD AGE OF (NAME) IN MONTHS **(USE AGE TABLE)**	IN MONTHS AGE .... ___ ___ **RECORD '00' IF < 1 MONTH OLD**
7	**CHECK Q.705:** AGE OF CHILD **0 – 11** MONTHS ☐ YES ⇨ CONTINUE Q.706 ☐ NO ⇨ GO TO Q.709	
8	**Who assisted with the delivery of (NAME)?** **PROBE: Anyone else? Anyone else?** **MULTIPLE RESPONSES POSSIBLE**	Doctor/Clinical Officer..... a Nurse/Midwife................. b Trained traditional birth attendant c Untrained traditional birth attendant d Community health workere Relative/friend................. f Other (SPECIFY)_________________ .... x No one .... z

#	QUESTION AND FILTER	RESPONSE CODES
9	**Where did you/mother give birth to (NAME)?** **IF IT IS A HOSPITAL, HEALTH CENTER, OR CLINIC, ASK THE NAME OF THE PLACE. PROBE TO IDENTIFY THE TYPE OF IT AND CIRCLE THE APPROPRIATE CODE**	Govt. hospital/health center/clinic 1 Mission hospital/health center/clinic 2 Pvt. hospital/health center/clinic 3 Own Home..................... 4 Other's Home .... 5 Other (SPECIFY)_________________ 6
10	**In the first two months after the birth of (NAME), did you receive a Vitamin A dose like this for you?** **SHOW 200,000 IU CAPSULE OR DISPENSER (RED).** **SHOW 100,000 IU CAPSULE OR DISPENSER (BLUE).**	Yes .... 1 No.................................. 2 DK.................................. 8
11	Now I would like to ask you about certain health and hygiene practices of your household. The last time (NAME) passed stools in your presence, where were the feaces disposed off?	Dropped into toilet facility ....01 Dropped into rubbish pit ....02 Rinsed/washed away.......................03 Buried in yard ....04 Throw in the compound...................05 Throw outside the compound ....06 Did nothing/left it there.....................07 Other (SPECIFY)_____________......96
12	**CHECK Q.709:** IF RINSED/WASHED AWAY (CODED 03) ☐ YES ⇨ CONTINUE Q.711 ☐ NO ⇨ Q.712	
13	The last time (NAME) passed stools in your presence where was the waste water disposed?	Water discarded into toilet facility .. 1 Water discarded into sink or tub connected to drainage system ....2 Water discarded outside................3 Other (SPECIFY)_______________6
	HANDWASHING	
14	When do you wash hands with soap or ash or other cleansing agents? **PROBE**: Any other time? **MULTIPLE RESPONSE POSSIBLE**	Never .... a Before food preparation................. b Before feeding children.................. c After visiting the toilet .... d After attending to a child who has defecated .... e Before eating food .... f Others(SPECIFY)______________. x
	USE OF BEDNET	

#	QUESTION AND FILTER	RESPONSE CODES
15	**CHECK HH.Q.150:** HH HAS BEDNET ☐ YES, HAVE BEDNET ⇨ CONTINUE Q.714 ☐ NO ⇨ GO TO Q.720	
16	Did (NAME) sleep under a treated or long lasting bednet last night?	Yes .... 1 No 2
17	Now I would like to discuss with you regular attendance of your child in MoH run growth monitoring and promotion (GMP) session. Did (NAME) ever weigh in a GMP session?	Yes .... 1 No 2
18	Does (NAME) have a health passport or GMP card? IF YES, May I see it?	Yes, seen.. 1 Yes, not seen.. 2 No 3
19	(NAME) WEIGHED IN LAST MONTH? **OBSERVE HEALTH PASSPORT/GMP CARD AND RECORD.**	Yes .... 1 No 2
20	(NAME) WEIGHED AT LEAST TWICE IN PAST 3 MONTHS? **OBSERVE HEALTH PASSPORT/GMP CARD AND RECORD**	Yes .... 1 No 2
21	**CHECK Q.705:** AGE OF CHILD **<u>0 – 23</u>** MONTHS ☐ YES ⇨ CONTINUE Q.801 ☐ NO ⇨ GO TO Q.900	
22	Has (NAME) ever been breastfeed?	Yes .... 1 No .... 2 DK.. 8
23	During the first three days after delivery, was (NAME) given anything to drink other than breast milk?	Yes .... 1 No .... 2 DK.. 8
24	Is (NAME) still being breastfed?	Yes .... 1 No 2
25	Was (NAME) breastfed yesterday during the day or at night?	Yes .... 1 No 2
26	How many times was (NAME) breastfeed yesterday during the day and at night?	Number of times……. ___ ___
a.	Any other solid or semi-solid food?	1 2

Part IV – Data

This table shows a set of raw baseline data collected using a sub-set of the above questions. All of this data relates to hand washing.

Respondent	#2 Do you have a hand-washing facility outside the toilet?		#3 Does your household have a special place for hand washing?		#4 Ask to see the place most often used for handwashing. Which of the following are observed?							#14 When do you wash hands with soap or ash or other cleansing agents?						
Code	Yes	No	Yes	No	A	B	C	D	E	F	Other	Never	A	B	C	D	E	Other
	1	0	1	0	1	1	+1	1	1	1	1	0	+1	+1	+1	+1	+1	+1…
1	1		1		2							3						
2	0		0		1							0						
3	0		1		1							0						
4	0		1		1							0						
5	0		0		1							0						
6	0		1		2							2						
7	0		0		1							0						
8	0		1		1							0						
9	0		1		1							0						
10	1		1		2							4						
11	0		0		1							0						
12	0		1		2							3						
13	0		0		1							0						
14	0		1		1							0						
15	0		1		1							0						
16	0		0		1							0						
17	1		1		2							2						
18	1		1		2							4						
19	0		1		1							0						
20	0		0		1							0						

Part V – Results Summary

		Baseline	Achieved
1	1.3. Percentage of children aged 0-59 months in Growth Monitoring and Promotion (GMP) gaining weight in past 3 months (Impact) (Beneficiary) (FFP)	60%	63%
2	1.1.1. Percentage of children aged 0-5 months who are fed exclusively with breast milk (Outcome) (FFP) (GoM – MoAFS)	65%	67%
3	1.1.2. Percentage of children aged 6-23 months who receive a minimum acceptable diet apart from breast milk (continued breast feeding, age appropriate dietary diversity and age appropriate frequency of feeding) (Outcome) (FFP) (GoM – MoAFS)	12%	22%
4	1.1.3. Percentage of caregivers of children aged 0-59 months demonstrating at least two proper environmental hygiene behaviours (use of latrines, hand washing and correct use of LLIT bed nets) (Outcome) (FFP) (IEE) (GoM – MoAFS)	6%	17%
5	1.2.1. Percentage of children aged 0-59 months regularly attended growth monitoring sessions (Outcome) (WALA)	41%	51%
6	1.2.3. Percentage of children aged 0–11 months whose births were attended by skilled health personnel (Outcome) (WALA)	78%	86%

Part VI – Report

The main objective of the annual survey was to measure the progress registered by the program during the past two years of implementation (July 2009 to June 2011) which can be compared against the benchmark of performance indicators in the Indicator Performance Tracking Table (IPTT) set during the baseline survey. The survey was internally managed by the CATCH Monitoring, Evaluation and Knowledge Management Unit with the support from PVO M&E officers. Sample was drawn from all the 8 WALA districts and the data collection was carried out from mid-September to early October 2011.

The total sample size for the survey was 1,200 beneficiary households (inflating 10% for non-response) which were sufficient enough to provide reliable estimates with less than 5 percent margin of error on most indicators at the consortium level, with 95 percent confidence. Data collection was done by externally sourced enumerators who were trained and supervised by the CATCH M&E team and PVO M&E officers. A total of 1,096 household and 970 child questionnaires were completed by the end of the survey period.

Overall, the sample consisted of 35 percent female headed households (31% in baseline) and 14 percent elderly headed (13% in baseline) with an overall mean household size of 5.2. The results further revealed that six percent of households had no agriculture land while 72 percent has less than 1 hectare. Most of the households (73%) rely on agriculture (crop farming), small businesses (12%) and *ganyu* (8%) as major sources of income.

There is a 10 percentage point (41% vs 51%) increase in under-five children attending GMP in the baseline and 2011 annual survey with 63 percent of these children gaining weight compared to 60 percent during the baseline survey. However, there is substantial variation among districts for children gaining weight. Sixty-seven percent of children aged 0-5 months are estimated to be exclusively breast fed compared to 65 percent during the baseline survey. The survey also revealed that there is a sharp increase in proportion of children aged 6-23 months receiving minimum acceptable diet from 12 percent in 2009 to 22 percent in 2011. In terms of hygiene practices more mothers (17% in 2011) are demonstrating at least 2 environmental hygiene behaviors compared to only six percent in 2009. More deliveries (86%) are reported to have taken place in health facilities and the same proportion of births was reported to have been attended by trained health personnel compared to 78 percent in 2009.

Challenges

- The adoption of energy saving technologies and hygienic practices are low.
- Slow progress in dietary diversity.
- Exclusive breastfeeding is low despite higher proportions of institutional delivery WALA program areas.

Opportunities

- Sensitizing communities on the importance of saving natural resources and importance of keeping good hygienic practices. However, some of the changes are linked to economic conditions at the household level.
- Introduction of new food recipes will promote dietary diversity and use of locally available food items, and promotion of livestock will result in better nutritional status.
- Growth monitoring and promotion (GMP) activities need to be strengthened, only about half of all children under five are attending GMP sessions regularly and of those more than one third are not gaining weight.
- There is a need to emphasize for proper counseling of mothers during natal and post-natal period on exclusive breastfeeding, as this play an important role in child's survival
- Promote kitchen garden including the keyhole garden through an integrated effort of MCHN, agriculture and irrigation sectors.

faith. action. results.

Catholic Relief Services, 228 West Lexington Street, Baltimore, Maryland 21201-3443
crs.org

CATHOLIC RELIEF SERVICES