

# Facilitator's Guide for "Using the *Guiding Principles for Evaluators to Improve Your Practice*" Training Package

## Introduction

### *Background*

The revised *Guiding Principles for Evaluators (GP)* were ratified by the AEA membership in 2004 and, in 2005, the Ethics Committee developed a brochure with an abbreviated version of the *GP*. The Ethics Committee has an ongoing goal to actively disseminate the *Guiding Principles for Evaluators* and to inform practicing evaluators of their value and utility for guiding ethical evaluation practice.

During 2006, the Ethics Committee worked with a task force to develop this training package. The development of the content of this training package took place in the spring of 2006, and it was first pilot tested in June, 2006 at the AEA/CDC sponsored professional development institute. Because the first audience for the training package was predominantly evaluators affiliated with the CDC, the first case example was developed around a health evaluation theme. More case examples will be developed to feature other content areas within the evaluation field.

The Ethics Committee welcomes your feedback on the content, implementation and utility of this professional development package. Please contact the chair of the Ethics Committee with suggestions, questions and, of course, any evaluative feedback you may have regarding this package. For contact information for the current Ethics Committee Chair, please consult the AEA website, <http://www.eval.org/aboutus/organization/board.asp>.

### *Purpose*

The purpose of this professional development package is to introduce the *Guiding Principles for Evaluators* in a workshop format and, using an actual evaluation case, engage the audience in dialogue about ethical evaluation practice. The *GP* are designed to promote and guide ethical practice in evaluation and this training package is organized around the *Guiding Principles*. The overview of the *GP* and the case study exercise should surface discussion about the relevance of the *GP* to particular practical challenges and the ways in which the *GP* can be used to guide ethical evaluation practice. However, it is not within the scope of this training package to attempt to address every issue related to good, ethical evaluation practice. Rather, this is designed as an introductory workshop that can lay the foundation for further exploration of ethical issues in evaluation.

In preparation for presenting this workshop, you—the presenter—should take considerable time to familiarize yourself with all the materials included in this packet (see below for list of materials). In addition to becoming familiar with the PowerPoint presentation, notes and handouts for the actual training, we recommend that you review both the long and short (brochure) version of the *Guiding Principles for Evaluators*. This will help you to expand on the presentation slides and to clarify issues or questions that may arise in the small and large group discussions. In addition to the two versions of the *GP*, you might also take a look at the Professional Support Resources and Other Resources for Guiding Evaluation Practice listed in the presentation (slides 16-18). These are supplemental materials that will help you to point

your audience in the right direction for information after the training; the more familiar you are with them, the more likely you are to help them know the right resource for their question or issue.

We recognize that there are many other ways to present this information and encourage facilitators to adapt this training package to their audience, as needed. In fact, we have put together a list of possible adaptations (see Suggested Adaptations, pages 5-6).

### *Materials in Training Package*

For the facilitator's packet:

- The Facilitator's Guide
- The PowerPoint presentation, with facilitator's notes
- The Case Study example
- The Sample Completed Worksheet
- The full version of the *Guiding Principles for Evaluators*
- The brochure version of the *GP*
- A resource about ethical reasoning from the Poynter Center for the Study of Ethics and American Institutions

For the participants' packets:

- The PowerPoint presentation handout, printed with three to a page
- The Case Study example
- The Worksheet
- The full version of the *Guiding Principles for Evaluators*
- The brochure version of the *GP*
- The Workshop Evaluation Form
- A handout from the Poynter Center for the Study of Ethics and American Institutions

## **Logistical Information to Prepare for the Workshop**

### *Audience Level*

The primary audience for this professional development package is beginning level evaluators. The workshop is meant as an introduction to the *Guiding Principles for Evaluators* and therefore is geared toward evaluators who are either new to the profession or are not already familiar with the *GP*. However, this training package could also serve as a refresher on the *GP* for more seasoned evaluators. Audiences could also include those funding evaluations or those commissioning evaluations.

It is important to be aware of the level of understanding of program evaluation that your audience brings to this training. Adaptations would be necessary to use this package with more experienced evaluation audiences. When using this with funders or commissioners of evaluation, it may be necessary to supplement it with information about evaluation as a practice and a field.

If you are using this training package within the context of an evaluation course or other pre-scheduled training, you may choose to assign reading ahead of time. For example, assigning the full version of the *GP* and the case study to read ahead of class may contribute to deeper discussion during the workshop session.

## *Time Needed*

We recommend that you set aside at least 2 hours for this workshop. It may be possible to conduct the workshop in less time, say 1½ hours, but the discussion may be cut short. You will see that each section has accompanying time estimates. For a 2-hour training, to correspond to the parts of the PowerPoint presentation, times may look like this:

Objectives, assumptions and overview of *GP* (slides 1-10) – 30 min.

Case and small group instructions (slides 11-13) – 5 min.

Small group work – 30 min.

Reporting out (slide 14) – 15 min.

Large group discussion (slide 15) – 25 min.

Resources (slides 16-18) – 5 min.

Ethics Committee Task Force and Workshop evaluation (slides 19-20) – 5 min.

## *Equipment Needed*

To conduct this training with a group of evaluators, you will need a computer with Microsoft PowerPoint and a projector. Or, alternately, you will need some way to reproduce the PowerPoint slides and either project them onto a screen—as, for example, transparencies—or distribute them to the audience as handouts. The workshop consists of lecture based on the PowerPoint presentation, small group discussion and large group discussion formats. Therefore, in addition to a space that is conducive to projecting a presentation on a screen and conducting a large group discussion, there should be room for small groups to split up for discussion. Each small group should ideally have its own table and flip chart (with markers) and the facilitator should have his or her own flip chart and markers for taking notes from the large group discussion.

You will want to make copies of the handouts and distribute them at the beginning of the training. Each participant should have his or her own copy of the materials, including the case study, the work sheet, the full version of the *GP* and the brochure version of the *GP*.

## **Workshop Materials**

### *PowerPoint Presentation*

- The PowerPoint presentation is the framework for the training package; it should be used as a slide show during the session. (As mentioned above, this can either be done using a computer and a projector or by printing the presentation slides on transparencies and projecting them on a screen.) You should plan to print out the slides of the presentation as a handout for the audience, so that they can follow along and take notes.
- This PowerPoint presentation contains notes for the facilitator to use to supplement the slide show presentation. The Notes contain **Background** information for you as the facilitator, **Talking Points** you may use, and **Adaptations** you may want to make in your presentation. These notes contain more information that a presenter can convey during the workshop. You should review them and, based on your time allotment and audience level, decide how you'd like to incorporate them into your presentation. We encourage you to modify the content of the slides and notes pages as you wish for your own workshop presentation.
- The following instructions are for opening and printing the PowerPoint presentation:
  1. Open the PowerPoint presentation, which puts you in the first slide
  2. Use the scroll bar on the right to scroll through all the slides and notes pages

To print only the slides--one slide to a page:

1. In the toolbar at the top of the screen for the first slide, click on **File**; in the dropdown menu, then click on **Print**
2. In the window under **Print what**, click on **Slides** in the dropdown list
3. Click the **OK** button at the bottom right of the window to print the slides one to a page

To print only the slides--as a handout three to a page with lines to the right of each slide:

1. In the toolbar at the top of the screen for the first slide, click on **File**; in the dropdown menu, then click on **Print**
2. In the window under **Print what**, click on **Handouts** in the dropdown list
3. The small box to the right that says **Handouts** lights up. Under **Slides per page**, click on "**3**" in the dropdown list and it shows 3 slides to a page with lines to the right of each slide
4. Click the **OK** button at the bottom right of the window to print

To print the slides with notes pages to use as the facilitator (slide at the top with the notes below):

1. In the toolbar at the top of the screen for the first slide, click on **File**; in the dropdown menu, then click on **Print**
2. In the window under **Print what**, click on **Notes Pages** in the dropdown list
3. Click the **OK** button at the bottom right of the window to print

### *Case Study Example*

- The case study is an important and integral part of the training package. It is to be used during the small and large group discussion sections of the training and is meant to allow the audience to dive into the material and wrestle with the real issues that confront evaluators in practice. In addition to the case study, we have included a list of possible issues in the sample Completed Work Sheet that may surface during the discussions. This is meant for you, as facilitator, to read so that you might prepare yourself to facilitate discussion around these issues or bring them up if they are not surfaced in the discussions. (See more information about the Completed Work Sheet, below.) As mentioned above, additional cases dealing with different content areas within the field of evaluation will be developed in the future.
- Prior to the small and large group discussions, the audience will read the entire case and consider the issues it highlights within the context of the *Guiding Principles for Evaluators*. We've designed this case so that all five *Guiding Principles* are relevant, and there is material for discussion about any of them. There are other options for facilitation that you might consider if, for example, you are short on time or have a specific interest in one particular principle. We leave these adaptations up to you, trusting that you know your audience and their information needs and your time limitations. (See pages 5-6 for Suggested Adaptations.)
- When possible and appropriate, e.g., in the context of an evaluation course or a pre-scheduled training session, you may choose to have your audience read the case example ahead of the workshop.

### *Work Sheet*

- This work sheet should be filled out by each participant as they read the case. It's designed to help participants organize their thoughts for the small and large group discussions and is theirs to keep.

## *Sample Completed Work Sheet*

- This completed work sheet suggests major issues in the case and is meant to be illustrative, not comprehensive. It is provided as background information *for your information only* and is not intended to be provided to participants. It also includes suggested probing questions that may be used in the large group discussion to move the conversation to a deeper level (these are in the left column, under the principle name).

## *Electronic Version of Full GP*

- The full version of the *GP* can be referred to in the small and large group discussions, if desired. Mostly, this is for participants to have for future reference. An electronic copy of the full version of the *GP* is available on the AEA website (<http://www.eval.org>).
- When possible and appropriate, you may choose to have your audience read this before the workshop.

## *Electronic Version of GP Brochure*

- As part of this package, we have included an electronic version of the *Guiding Principles for Evaluators* brochure, which is available on the AEA website (<http://www.eval.org>). A nice addition to the training is to order actual hard copy brochures from the AEA management office. This well-designed brochure is something your participants can keep on hand for easy reference. To request copies of the brochure, please contact Susan Kistler at [susan@eval.org](mailto:susan@eval.org), 1-888-232-2275.

## *Evaluation Form*

- The evaluation form can be used at the end of the training session to gather feedback on the presentation and the content. This feedback could be helpful to you to know whether your audience learned what was intended. You may modify the evaluation form to meet your needs.
- We encourage you to send any information, gathered through the evaluation forms or in conversation with participants, that you think is useful for improving the training package to the Ethics Committee chair. Contact information for the current Ethics Committee Chair can be accessed at <http://www.eval.org/aboutus/organization/board.asp>. It will be helpful for us to get the following information:
  - Type of audience (e.g., graduate class in evaluation, Local Affiliate meeting, etc.)
  - Number of participants
  - Length of training session
  - Adaptations you made in the workshop (e.g., covered only some of the principles, covered only some stages of the evaluation process, used more than one case, etc.)
  - Your recommendations for improvement
  - Other suggestions or comments

## *Resource on Ethical Reasoning*

- This short article, from the Poynter Center for the Study of Ethics and American Institutions, offers some criteria for what constitutes a strong and well-reasoned response to an ethical challenge. We thought it may be helpful background information for facilitating discussion about the *Guiding Principles* and ethical evaluation practice. It is written for research scientists, but the basic principles apply to the practice of evaluation. The

electronic version of the article can be found at <http://poynter.indiana.edu/mr/mr-developing.pdf>. [Reprinted from Muriel J. Bebeau, et al., *Moral Reasoning in Scientific Research: Cases for Teaching and Assessment*. Bloomington, Indiana: Poynter Center (1995). This essay may be reproduced, unaltered, and used without further permission for non-profit educational use. Copyright © 1995 by Indiana University; all rights reserved.]

- More information about ethical reasoning and suggestions for guiding discussion about ethics in research practice can be found at the Poynter Center website: <http://poynter.indiana.edu/index.shtml>.

## Suggested Adaptations of the Training Package

The current set of training materials represents one way to conduct a workshop on the AEA *Guiding Principles*, but certainly not the only way. We encourage you to be creative in how you might adapt the materials to fit your training context, audience and available time. Below we suggest some possible adaptations.

1. If time is limited, each of the small groups could focus on only one of the principles and its sub-principles in discussing the case study. Or, each small group could focus on applying the *Guiding Principles* to one phase of the evaluation process in the case study. Another possibility is to use the case to focus on only a single issue, such as cultural competence/cultural relevance.
2. If you have a longer time for a workshop (more than 2 hours), you could use the questions on the Completed Sample Work Sheet as questions for further discussion after the reporting out from the small group work. Those questions would allow more in-depth discussion of the issues raised in the case study.
3. You could conduct a workshop in which more time is spent discussing the *Guiding Principles* in depth, rather than applying them to a case study. For that in-depth discussion, you may want to add to the Facilitator's notes on the PowerPoint more questions that probe each of the sub-principles.
4. If your audience is primarily funders or commissioners of evaluation, or another group without formal evaluation training or knowledge, you may need to adapt your presentation accordingly. For example, you may need to add a slide or two about the importance of the GP for guiding evaluator practice and why it would be important to hire an evaluator who is aware of and follows these guidelines. In addition, you might focus some of the small and large group discussion on issues that are directly related to their specific role in an evaluation.
5. For international audiences, we recommend you take into account that the *Guiding Principles for Evaluators* were developed in a western cultural context, particularly that of the United States. As such, the principles and materials reflect the values and approaches of evaluators in the United States. You may wish to discuss with your audiences how the AEA *Guiding Principles* are similar to or different from your audience's values and approaches. Or, you may find it useful to conduct a comparison of the ethical guidelines of other international evaluation associations listed under the International Organisation for Cooperation in Evaluation (<http://ioce.net/home/index.cfm?dv=1&lan=en>). In addition, you may want to develop a case study to reflect your cultural context.

6. You may want to have participants attempt to apply the *Guiding Principles* to the scenarios presented in the Ethical Challenges section of the *American Journal of Evaluation*. Or, you may develop mini-scenarios of your own that purposefully raise ethical challenges to be analyzed using the *Guiding Principles*.
7. You could use the small group time to have participants begin to plan an evaluation, using the *Guiding Principles* as a framework. To do this, instead of using the included case study, you should include materials about the program to be evaluated—tailored for this kind of activity and time frame—for the small groups' information in their discussion. In addition, depending on the level of experience of your audience, a one-page description of the steps in planning an evaluation can be helpful for focusing small group discussion.
8. Depending on the group, you could choose to present the Case Study before presenting the slides about the *Guiding Principles*. This may give the audience a context for the *Guiding Principles* as you present them and allow for more time to consider the case before small group discussion.

# Facilitator's Guide Checklist

## *Facilitator Preparation*

- Read Facilitator's Guide
- Read Full Version of *GP*
- Read Brochure Version of *GP*
- Read through PowerPoint Presentation and Notes
- Adapt Presentation as Appropriate—see Suggested Adaptations for ideas
- Familiarize Yourself with Evaluation Resources, including article on ethical reasoning
- Read Case Study Example
- Read Sample Completed Work Sheet
- Read Evaluation Form

## *Materials to Prepare for the Audience*

- Print Handout of PowerPoint Slides
- Print Copies of Full Version of *GP*
- Order *GP* Brochure copies or print copies of brochure version
- Print Copies of Case Study Example and Case Work Sheet
- Print Copies of Evaluation Form
- Room Set Up
  - Secure Projector and Screen for Presentation
  - Flip Charts—one for each small group and one for large group discussion
  - Markers—for all flip charts
  - Tables for Small Group Work