Provider Needs Assessment Framework and Tools

This section of the I-Kit provides an approach to assessing health providers' needs, barriers and facilitators to quality service provision at the organizational, regional or national level. The approach includes a needs analysis framework and implementation tools that engage health service delivery stakeholders in the identification of capacity strengthening needs, as well as guidance on identifying interventions that address them. Throughout this section and the case study, Community Health Workers (CHWs) are used as an example. However, this framework and corresponding tools can be used for health providers at any level of the health system, including Facility-Based Providers.

Purpose

To provide individuals and organizations a systematic approach to assess provider needs and change provider behavior. This approach situates the provider as someone who performs within a holistic context and regards the provider as a professional to be influenced and supported, rather than as a problem to be fixed. Moreover, it builds the capacity of individuals and organizations in social and behavior change communication (SBCC) as a strategy to improve provider performance.

Caveats and Limitations

One of the key focus areas for the framework is the use of SBCC to influence provider motivation, beliefs and attitudes that affect their performance. However, a variety of needs are likely to surface that cannot be addressed solely through communication interventions. It is recommended that the assessment be conducted with full engagement of community stakeholders in both the data collection and in the ownership to ensure action is taken against all identified needs. This will help ensure that communities come together to address all factors affecting the performance of health providers and the health of the communities in which they serve.

Gender Transformative Approaches

This framework and its tools were created in accordance with USAID preference for inclusion of gender considerations in capacity-building, advocacy and integration in reproductive health. Therefore, as a "gender aware" approach, these tools deliberately include gender-related outcomes as part of the investigative process. All factors that impact the performance of health providers are also examined through a gender equity lens for analysis, needs identification, and intervention planning.

Structure

The needs assessment is structured around the major steps of the needs analysis framework. The first section reviews the framework itself, including some of the major activities required and the desired output of each framework step. The sections that follow provide tools to support the completion of each step and guidance for completing the needs analysis.

Audience

The intended users of this needs analysis framework and its tools are government health agencies, NGOs, and concerned civil society organizations interested in improving health provider performance and thereby improving the health of communities. Keys to success include: engagement of key stakeholders, availability and access to individuals and information, sound project planning and management, representative data collection and analysis, and a willingness to address the many different needs that may be identified to support better provider performance.

Roles

A needs assessment is best accomplished by a team of individuals with both an interest in improving the performance of health providers, and the resources to conduct the assessment. Specific individuals to include on the team are defined below.

- **Facilitator** – this individual is the primary owner and driver of the overall needs analysis process from conception, through analysis, intervention identification, and impact measurement
- **Stakeholder** – these individuals have an interest in the analysis itself and are willing to help guide and support the analysis; these can be healthcare providers, supervisors, or patients, or any individual who helps create public health targets or fulfill them—including funders, suppliers, measurement specialists or clinic managers
- **Measurement & Evaluation Specialist** – where possible, it is helpful to have the support of individuals with expertise in data collection and analysis
- **Steering Committee** – this is a group of stakeholders who serve as the board of guidance and management of the needs

Illustrative Case Study

Throughout this needs assessment, many tools will be introduced to help you conduct a needs analysis. Each tool will first be presented and explained, and then will be shown in use through an example based on the following general case:

Cecilia is the Project Director of a nonprofit initiative supporting CHWs in the remote, tropical community where she grew up. Her project is looking specifically at child and maternal health issues, with targets that support governmental public health goals. Cecilia is aware of several other projects operating locally and nationally that all touch upon reproductive health in the region.

All of these groups are interested in how to best support CHWs at every level and ensure they have what they need to perform their best. Cecilia has met with the directors of several of these projects and with local Ministry of Health officials to work together in identifying what issues and barriers are keeping CHWs from performing at their best on the job. As a result, a Steering Committee has been created to oversee a formal Needs Analysis of CHWs in the region. Cecilia is proud and excited to have been chosen as the facilitator of the process and looks forward to working with the Steering Committee to complete the analysis.

analysis. Ideally, it will be as diverse a group as possible and should include individuals with sufficient access to the providers, their supervisors, and local communities. Subgroups of this committee will take on specific responsibilities during the needs analysis.

Outcomes

This framework and tool set will uncover a variety of needs that, when addressed, will support performance. These needs will include both environmental influences, and those associated directly with the performers themselves, such as skills and knowledge and personal motivation to perform. The Design sections (specifically in Step 7) of this I-Kit provide a variety of tools to help address providers' motivational needs.

Two main categories of motivation are explored in the I-Kit:

1. **Internal Motivation**, which includes personal needs (e.g. status, perceived social support, self-efficacy, personal rewards), and a feeling of connectedness to the community and the health system.
2. **External Motivation**, which includes adequate availability of resources, supportive policies, effective links to health facilities and respect from health systems, availability of training, timely and appropriate feedback from supervisors, and supportive social and gender norms.

The Needs Analysis Framework

A needs analysis framework outlines a process for identifying gaps between the expectations of individual or organizational performance, and the reality of their current delivery on those expectations. What follows is a generic seven-step framework for conducting a needs analysis on any group. This high-level framework becomes applied through the sections that follow, which introduce tools for implementing the framework with a team of stakeholders who are committed to the improvement of community health through support of health providers in their area.

The 7 Steps of the Needs Analysis Framework

1 **Identify Goals and Performers –** working with the community or organization, clarify what you are trying to achieve and who is involved in reaching those achievements

Input: community (or organization) vision, mission, and plans for achievement; identification of performers who are key to achieving goals

1. What are the goals and objectives for the performance overall?
2. How are the goals and objectives currently measured? What is the status of those measures?

3. Who are the key stakeholders in identifying the goals and objectives, and in tracking their achievement?
4. Who are the key groups involved in taking action to achieve these objectives?
5. How does the action of the groups lead to the achieved objectives and community goal?

Output: established needs analysis Steering Committee, clear performer expectations and a model of how performer actions are measured in pursuit of goals

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2 **Create Needs Analysis Investigative Questions –** these are the questions your needs analysis is being designed to answer; they should be balanced across the four essential factors that support performance

1. **Expectation – I understand the performance expected:** for each group of providers determine if performance is defined in a clear and detailed manner
2. **Ability –** I am able to do it: for each group of providers, determine if they have the skills and knowledge to perform well
3. **Opportunity –** I have the opportunity to do it: for each group of providers, determine if the environment allows and resources are available to support their performance
4. **Motivation –** I want to do it: for each group of providers, determine if there is sufficient motivation, reward, lack of negative consequences, and supportive attitudes and beliefs to support performance

Output: identified questions for the investigation and the corresponding data sources or audiences that might have information or evidence to help answer them

---

3 **Develop Data Collection Plan –** identify which individuals or data sources can provide information to answer your questions and how will you engage with them.

1. Who or what has insight or information to help answer each of your investigative questions?
2. What will you accept as evidence to support their input? Will this evidence be credible to all stakeholders?
3. Are there multiple sources of information for each investigative question?
4. Are there sources of contradictory information for each investigative question?
5. What is the best way to collect information from each data source?

Output: full data collection plan, including data sources, methods of collection, storage, and access for analysis

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4 Create instruments for Collection and Capture of Data.

1. Take inventory of all data sources and proposed collection methods
2. Test each data collection approach for all data sources against factors of collection and choose those appropriate to limitations
3. Create instruments for all self-administered methods; pilot with appropriate members of target population and update where necessary
4. Create instruments for all administered methods; pilot with data collectors and members of target data source populations and update where necessary
5. Test data capture instruments (electronic or paper) and housing methods in all pertinent physical locations
6. Train data collectors for all methods (live interviews, document reviews, questionnaire delivery, etc.)
7. Identify sample populations for each instrument
8. Establish schedule and tracking plan to ensure data is collected as intended

Output: full suite of tested data collection instruments and methods; plan for scheduling and tracking data collection

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5 Collect Data

1. Implement data collection plan
2. Ensure captured data are flowing appropriately into electronic or paper based housing structures
3. Thank data sources as appropriate for participation
4. Inform stakeholders as needed

Output: data fully collected and all contributors and stakeholders aware of progress; data housed in accessible format, ready for analysis

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6 Analyze data and identify needs

1. Conduct analysis for each method and data instrument as appropriate; assure inter-rater reliability and validity of data where appropriate
2. Combine data from all sources and summarize how it answers each of the investigation’s questions
3. Note areas of gap between data reported and acceptable performance

Output: draft analysis and results for major investigative questions; list of identified needs for performer excellence

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7 **Summarize findings and report**

1. Share analysis and identified gaps with key stakeholders
2. Agree on prioritized needs to be addressed and action to be taken
3. Determine methods, resources and timeline for implementation
4. Identify leads for each prioritized action
5. Establish timing for check-in and impact measurement
6. Determine cycle for future round of needs analysis

Process Overview – Needs Analysis and Action Planning

Below is a view of the process “at a glance” to assist with planning and stakeholder engagement.

Step	Key Players	Approximate Elapsed Time	Keys To Success
1. Identify goals and performers	Facilitator and Steering Committee	½ day	Committed diverse team
2. Create needs analysis investigative questions	Facilitator and Steering Committee	1 day	Broad perspective on factors affecting performance

Decision Point: (A) high M&E resource setting? or (B) Adapted Success Case approach?

3. Develop data collection plan	Facilitator, Steering Sub-Committee, M&E Specialist	1-2 days	Knowledge of data sources and collection methods
4. Create and pilot instruments for data collection	M&E Specialist	1 week ↑ M&E or 1 day Adapted Success Case	Audience access and representative sampling
5. Collect data	M&E Specialist	2-3 weeks ↑ M&E or 3-5 weeks Adapted Success Case	Consistency
6. Analyze data and identify needs	Facilitator, Steering Sub-Committee, M&E Specialist	1-2 weeks	Valid methods and sound conclusions

7.	Summarize findings and report	Facilitator, Steering Committee	2 days	Action identification and clear ownership

Once the needs have been identified, guidance and support on motivational needs is available through the **Designing an SBCC Intervention for CHW Behavior Change** and the **Designing an SBCC Intervention for FBP Behavior Change** I-Kits.

Step 1: Identify Goals and Performers

AT A GLANCE

Who are the performers and what are they trying to achieve?

In Step 1, you will work with community or organization representatives to clarify what you are trying to achieve and who is involved in reaching those achievements.

Tools to Help

- → Performer Analysis Worksheet
- → Stakeholder Analysis Worksheet
- → Logic Model Worksheet

Who is Involved

The group initiating the needs analysis will draft a performer analysis and a logic model; stakeholders will review through membership in a Steering Committee.

Output

Move on to the next step when you have clear performer expectations and a model of how the actions of these performers are measured in pursuit of goals.

1 How to Get Started

Begin by identifying which performers you will focus on. Use the **Performer Analysis Worksheet Template** to capture as much detail as possible about your target performance group. The better you can describe this group and the specifics of their work the more accurate—and actionable—your needs analysis will be.

Appendix A: Performer Analysis Worksheet Template

Appendix B: Performer Analysis Worksheet Example

2 Next

Identify who creates or influences objectives and work goals of your identified performers. Use the **Stakeholder Analysis Worksheet** to capture the key groups, organizations, or agencies that influence performer goals. Identify specific individuals from among these stakeholders that you will invite to participate on the Steering Committee to guide the needs analysis and take action on its findings.

Appendix C: Stakeholder Analysis Worksheet Template

Appendix D: Stakeholder Analysis Worksheet Example

3 Then

Consider the option of developing a *Logic Model* that shows the connections between the work of your targeted performers and the overall goals of the healthcare community. It's a great tool to help anyone involved with the needs analysis understand these connections.

Appendix E: Logic Model Worksheet Template

Appendix F: Logic Model Worksheet Example

4 Finally

Call your stakeholder group together to create a Steering Committee for your needs analysis. This Steering Committee will help identify resources, assist in access to data, witness the evidence of the needs your analysis will identify, and help target owners and drivers for improvement where necessary.

Resources

How to Develop a Logic Model: http://www.thehealthcompass.org/how-to-guides/how-develop-logic-model-0

Step 2: Create Investigative Questions

AT A GLANCE

What is helping or hindering performers in achieving their goals?

In Step 2, you will develop a series of questions that guide your entire needs analysis, and use them to create audience-specific question sets that guide your data collection plan and instrument development

Tools to Help

- → Question Matrix
- → Acceptable Evidence Worksheet

Who is Involved

Investigation questions can be drafted by the Facilitator of the needs analysis, but should be thoroughly discussed and agreed upon by the Steering Committee to ensure buy-in and support; Steering Committee Champions for each performance factor should facilitate agreement on acceptable evidence for each factor.

Output

Move on to the next step when you have identified the key investigative questions, the potential sources of data to answer those questions and the evidence that will confirm acceptable performance in the eyes of your stakeholders.

1 How to Get Started

Begin with the questions your Steering Committee members want to have answered by the needs analysis; ensure these questions cover all four factors of performance: expectations, ability, opportunity, and motivation. Ask for four Steering Committee volunteers to lead sub-groups through the *Question Matrix* for each area, and add or remove questions as appropriate. Allow the full Committee to review the overall matrix for discussion and consensus.

Appendix G: Question Matrix

Appendix H: Question Matrix Example

2 Next

Keep in mind that the CHWs themselves will have perspectives on these four factors, but so will their patients, their supervisors and the general community. For each question, think about which audiences are in a position to provide direct evidence and which might have a unique perspective or information that could contribute to an answer. Ensure your questions are not only identifying problems or needs, **but also the underlying reasons or causes of the problems.**

3 Then

Identify any and all sources of existing data that could contribute to an answer. Consider performance reviews, quarterly reports, supply requisitions, budget trackers, existing survey results or reports, patient tracking records, community assessments, employee satisfaction surveys or any other documentation that may give you acceptable evidence to answer your questions. Ask Steering Committee to help identify and access data. The more recent, relevant information you can capture from existing sources, the less you will have to collect. Ensure there is a reasonable balance across data sources, and strive for *three* or more sources of data for each question, as this *triangulation* helps support the validity of your findings.

4 Finally

Engage with Steering Committee members to complete the **Acceptable Evidence Worksheet**. For each major question, define what you would expect to find in the analysis if there were **no** problems or needs. In other words, identify how you will know that everything is "OK" around a given issue or question and what will signal that a need has been found.

Appendix I: Acceptable Evidence Worksheet

Appendix J: Acceptable Evidence Worksheet Example

Follow steps **3A, 4A, 5A and 6A** if you are conducting this Needs Analysis with support from a trained measurement and evaluation specialist. This individual should have the knowledge and skills to help you pull representative samples from the general CHW population, develop and pilot specific data collection instruments, and conduct qualitative and quantitative analysis on the collected data in order to answer your investigative questions.

If you do not have the support of measurement and evaluation specialists, please follow steps **3B, 4B, 5B and 6B** for **Low M&E Resource Setting – Adapted Success Case Approach.**

Steps **3B, 4B, 5B** and **6B** are for those who do not have measurement and evaluation technical support and are unable to conduct representative sampling, data instrument development, data collection and analysis without it. To provide the best possible evidence of needs without the traditional, robust methods, we suggest using an adaptation of *Robert O. Brinkerhoff's Success Case Method*. Originally designed to evaluate the impact of training interventions, this method will allow for a high level overview of current performance. It will also allow you to collect evidence on what factors might be supporting or diminishing performance.

Step 3A: Develop a Data Collection Plan

HIGH M&E RESOURCE SETTING

AT A GLANCE

Who can provide answers and how will we find them?

In Step 3A, you will create a plan for gathering the data needed to answer the investigative questions developed with your Steering Committee and key stakeholders.

Tools to Help

- → Sampling Overview
- → Data Collection Considerations
- → Data Collection Planning Worksheet

Who is Involved

The M&E Specialist should create the plans with input from the Facilitator and approval from the Steering Committee.

Output

Move on to the next step when you have a full plan for data collection, including data sources, methods of collection, storage and access for analysis.

1 How to Get Started

Here are a series of steps to kick things off:

- Sort the completed **Question Matrix** from Step 2 by audience and save the result of each sort in a document titled with the name of each group or data source.
- For each group or data source, are there already existing sources of data concerning this group? For example, have recipients of CHW services been interviewed already over the past few months? Are there any systematic data sources, such as regular exit interviews with patients or statistics on how many patients are seen by each CHW? How often is this data collected? By whom?
- If there is any documentation that already captures information on the right topics from the identified individuals consider accessing that data first, before planning for unique data collection that will consume additional time and resources.
- Flag those items that will require specific data collection from each data source population.

2 Next

Consider the size of each group of individuals you would like to gather data from. Where are they located and what resources are available to reach them for collecting data? Use the **Sampling Overview** document to think through all of the issues associated with outreach to each of the individuals or sources that will provide data.

Appendix K: Sampling Overview

3 Then

Review the **Data Collection Considerations** tool, and identify the opportunities and constraints associated with each population that will provide data to answer your questions.

Appendix L: Data Collection Considerations

> **Important!**
>
> Whether you are using the High M&E Resource Setting or Adapted Case Study method, please ensure that the health workers you are gathering data from remain ANONYMOUS. It is critical that your sources of data feel they can be honest and frank about their successes and challenges without fearing for potential repercussions. You can assign numbers and/or letters as identifiers for each health worker that is surveyed or interviewed throughout the process.

4 Finally

Use the conclusions you reach through these steps to complete a **Data Collection Planning Worksheet** that you can share with your stakeholder Steering Committee for input and buy-in. Your Committee can be instrumental in helping you collect data in a low-cost and time-efficient manner by ensuring access and support from the individuals involved.

Appendix M: Data Collection Planning Worksheet

Appendix N: Data Collection Planning Worksheet Example

Step 3B: Adapted Success Case Approach

FOR LOW RESOURCE M&E SETTINGS

AT A GLANCE

Who can provide answers and how will we find them?

In Step 3B, you will edit the draft data collection plan for use in your situation.

Tools to Help

- Adapted Success Case Overview
- Adapted Success Case Data Collection Planning Worksheet

Who is Involved

The Facilitator of the needs analysis and members of the Stakeholder Steering Committee.

Output

Move on to the next step when you have a full plan for applying the Adapted Success Case Method.

1 How to Get Started

Review the **Adapted Success Case Overview** to become familiar with the two phases of the approach. Work with Steering Committee members to identify the full population of CHWs to be included in Phase 1 of the study. If your needs analysis is local or regional, consider including all members of the population in the initial phase. If the study is national or over large regions, you may want to choose a representative sample – either random or purposive depending on your areas of concern and Investigative Questions.

Appendix O: Adapted Success Case Overview

2 Next

Consider the logistics of delivering the Phase 1 Survey to your chosen population—either in self-administered questionnaire format through such tools as Google Forms or using physical forms distributed geographically and collected for data entry and analysis. If your target group is small enough you may choose to deliver the Phase 1 Survey via Skype or phone instead. Because this is a brief survey face-to-face engagements are not cost effective unless subjects are immediately nearby.

3 Then

Assess the resources available to conduct the Phase 2 case interviews. Are individuals available to focus on this for the time needed? Are there any gender issues that might arise during the interview and what can be done to alleviate them? Is there administrative support available to assist with scheduling? These interviews can take place over any medium—internet, phone or in person. If travel is required, how will it be supported? If you interview CHWs during their work day, is compensation required? How will you inform supervisors in clinical settings, who may need to plan accordingly for the CHW's absence for 20-30 minutes during the interview session?

4 Finally

Use the conclusions you reach through these steps to complete a **Data Collection Planning Worksheet** that you can share with your stakeholder Steering Committee for input and buy-in. Your Committee can be instrumental in helping you collect data in a low cost and time efficient manner by ensuring access and support from the individuals involved.

Appendix P: Adapted Success Case Data Collection Planning Worksheet

Appendix Q: Adapted Success Case Data Collection Planning Worksheet Example

Step 4A: Create Data Collection Instruments

HIGH RESOURCE M&E SETTING

AT A GLANCE

Who are the performers and what are they trying to achieve?

In Step 4A, you will create and test data collection instruments and plan for their use.

Tools to Help

- → Documentation Worksheet
- → Focus Group Worksheet
- → Interview Worksheet
- → Questionnaire Development Worksheet

Who is Involved

The M&E Specialist should complete the work with Facilitator's support.

Output

Move on to the next step when you have a full suite of piloted data collection instruments and methods that are in the hands of the individuals who will collect the data.

1 How to Get Started

Use the completed **Data Collection Planning Worksheet** to create a list of all data collection instruments that are required. Next determine which investigative questions will be posed to which audiences through the instruments identified. One way to facilitate this is to sort the Worksheet by its "Data Source" column and compare this with the completed **Question Matrix** to ensure that no items have been overlooked. Create one document for each instrument and audience, and on it list each investigative question and sub-question.

2 Next

Consider the type of instruments you will need and plan to create all those of a similar type at the same time. For example, create all the questionnaires you will need and then move on to all interview protocols, documentation worksheets, etc. Tackling the tasks in this manner helps you leverage the work from one instrument to the next of its type. Use the **Documentation Worksheet**, **Focus Group Worksheet**, **Interview Worksheet**, and **Questionnaire Development Worksheet** to guide your work. Questionnaire items you write for CHWs can be edited slightly to become appropriate for CHW Supervisors, for instance, and so grouping the work will help you complete it more quickly.

Appendix R: Documentation Worksheet

Appendix S: Focus Group Worksheet

Appendix T: Interview Worksheet

Appendix U: Questionnaire Development Worksheet

3 Then

Identify individuals from each data source group to serve as pilot participants for the data collection instruments you have created. It's fine to choose those close at hand, but if there are important subgroups, or strata, among the target population it's a good idea to pilot with each subgroup to ensure the instrument is sensitive to their differences. Once the instruments are ready the team must prepare for their use.

4 Finally

Once the instruments are ready, the data collection team must be prepared for their use. For self-administered questionnaires provide electronic or print copy as needed to those responsible for distribution and collection. For administered instruments like surveys or interview protocols, hold a training session with data collectors to ensure they understand what each question is designed to capture, the importance of following the question language order, and how they should document the responses they receive. One effective training approach this is to have an experienced interviewer conduct a real interview in front of the collector trainees, who will follow and document the responses individually. Then compare the captured data of the experienced interviewer with that of the trainees to ensure greater consistency.

Step 4B: Adapted Success Case Approach

LOW-RESOURCE M&E SETTING

AT A GLANCE

How will we ask them?

In Step 4B, you will create the data collection instruments you will need to implement your data collection plan.

Tools to Help

- → Phase 1 Survey Questionnaire
- → Phase 2 Interview Protocol

Who is Involved

The Facilitator of the needs analysis should conduct this work, with approval from the Steering Committee.

Output

Move on to the next step when you have a full suite of tested data collection instruments.

1 How to Get Started

Create the Phase 1 instrument you will use by adapting the **Phase 1 Survey Questionnaire** to meet the needs of your specific investigative questions, culture and language. Pilot the questionnaire items with a few members of the CHW audience and edit as needed. Consider actively seeking instrument pilots based on gender, age, class or ethnic groups as appropriate to your region. This will ensure the questions are sensitive to issues of importance to these groups and do not violate any group specific norms. For self-administered surveys, like questionnaires, it's important to be sure the directions are clear as well as the questions. To test this, always try to structure the pilot of any instrument to be as realistic as possible. For administered surveys, think through how the survey administrator will capture answers and be sure to pilot this as well.

Appendix V: Adapted Success Case Phase 1 Survey Questionnaire

Appendix W: Adapted Success Case Phase 1 Survey Questionnaire Example

2 Next

Plan for the consolidation of the Phase 1 data. If online questionnaires will be created, think about how data will be pulled from the tool. If physical questionnaires or survey capture instruments will be used, think about the best way to transfer that information into electronic format. You may choose to use forms that can be scanned or enter the data by hand. Also, be sure you plan for data backup and security.

3 Then

While the Phase 1 data is being collected you can turn your attention to creating the **Phase 2 Interview Protocol**. A protocol is a guide for the interviewer to follow, to ensure that all intended topics are raised and discussed. It is not as formal as an administered survey, and allows the interviewee to provide information in a free flowing format.

Appendix X: Adapted Success Case Phase 2 Interview Protocol

Appendix Y: Adapted Success Case Phase 2 Interview Protocol Example

Step 5A: Collect Data

HIGH RESOURCE M&E SETTING

AT A GLANCE

Who are the performers and what are they trying to achieve?

In Step 5A, you will manage the implementation of your data collection plan.

Tools to Help

- → Data Collection Planning Worksheet
- → Data Collection Tracking Tool

Who is Involved

The M&E Specialist should complete the work with the Facilitator's support.

Output

Move on to the next step when you have completed the data collection process and all of the data are ready for analysis.

1 How to Get Started

Use the **Data Collection Planning Worksheet** to identify all Administrators in charge of collecting data for the needs analysis and ask each one to create a version of the **Data Collection Tracking Tool**, which is really an expanded version of the Planning Worksheet.

Appendix Z: Data Collection Tracking Tool

Appendix AA: Data Collection Tracking Tool Example

2 Next

As data are collected, ensure appropriate security of print materials and back-up of electronic files are in place to avoid losses. If the team is electronically entering information from print questionnaires, ensure that spot checks are conducted to support data quality.

3 Then

Once the data been submitted and prepared for analysis, it's a good idea to do one last validation to ensure you have the number of records expected… in the format you expect them to conduct your analysis.

4 Finally

Be sure that all individuals who have coordinated activities, provided information or provided access to data sources have been thanked for their time and effort in supporting the needs analysis investigation.

Step 5B: Adapted Success Case Approach

LOW-RESOURCE M&E SETTING

AT A GLANCE

How will we capture their responses?

In Step 5B, you will manage the implementation of your data collection plan.

Tools to Help

- → Phase 2 Case Selection Worksheet
- → Interview Data Capture Tool

Who is Involved

The Facilitator of the needs analysis should plan the work, while trained interviewers gather the data.

Output

Move on to the next step when you have identified Phase 2 cases, completed all of the Phase 2 interviews and are ready for analysis.

1 How to Get Started

Begin by ensuring that all Phase 1 data are summarized in a single location—ideally a spreadsheet that lists questions in columns and individuals in rows. If some data was collected on paper, be sure you have resources and opportunity to key that data into a central spreadsheet. Consider both the direction and the scale of questions as you key in data. For example, when entering data for a question such as “how often do you encounter problems in delivering services” among questions such as “how often do you have the resources needed to deliver services” ensure you reverse the scale as you enter the response electronically so all positive answers are reflected by high numbers. Scales can be automatically adjusted on most online questionnaires. Conduct a simple review and calculate the arithmetic averages (or mean) of responses of averages across each of the Phase 1 questions to get a general “pulse” of the population as a whole.

2 Next

Focus on those at the extreme ends of the scale across all questions. For example, how many individuals were overall the **most** positive about their work in terms of expectations, ability, opportunity and motivation, and which were **least** positive across the same factors? These will make up your pool of success and non-success cases. Use the **Phase 2 Case Selection Worksheet** as a guide, and from these two pools, select the initial 8 to 10 individuals for Phase 2 data collection. If the success and non-success pools are very large, you can use a random number generator to select individuals. If the pools are small enough you can write the names on paper and draw from a hat to decide which to include. Be sure to consider key demographic issues such as gender, ethnicity or location, and deliberately choose among those strata if necessary.

Appendix BB: Adapted Success Case Phase 2 Case Selection Worksheet

Appendix CC: Adapted Success Case Phase 2 Case Selection Worksheet Example

3 Then

Train interviewers on the **Phase 2 Interview Protocol** (from Step 4B) and the use of the **Interview Data Capture Tool**, and have them conduct interviews with the chosen cases from each pool.

Appendix DD: Phase 2 Interview Data Capture Tool

Appendix EE: Phase 2 Interview Data Capture Tool Example

4 Finally

Consolidate the interview data and look for consistency of themes among success and non-success cases. If themes are generally consistent in the four essential factors (expectation, ability, opportunity, motivation) across those interviewed in each pool, you can begin to summarize. If themes are very different, you may choose to include a few more cases to ensure you have uncovered all of the most pressing issues.

Step 6A: Analyze Data and Identify Gaps

HIGH-RESOURCE M&E SETTING

AT A GLANCE

What are the identified needs?

In Step 1, you will analyze the data you have collected and identify any gaps between what should be happening and what is happening.

Tools to Help

- → Acceptable Evidence Worksheet
- → Question Matrix

Who is Involved

The M&E Specialist and Facilitator conduct analyses with input, as needed, from Steering Committee members.

Output

Move on to the next step when you completed the analysis and drafted the results for each investigative question, which includes a draft list of identified needs to assure performer excellence.

1 How to Get Started

Review the **Acceptable Evidence Worksheet** to ensure the parameters for identifying needs are fresh in mind.

2 Next

Conduct the appropriate type of analysis on each form of data. For example, conduct qualitative thematic analysis on focus group data and quantitative, statistical analysis on data from electronic questionnaires. Here is where reliance on the expertise of your M&E Specialist is most important. Be sure to note any differences by group, which should be fairly straight forward if you have triangulated your data by getting input on the same question from multiple sources.

3 Finally

Capture the results of the analysis, by data source, for each item in the **Question Matrix**, and note those areas that fall short of expected minimums on the **Acceptable Evidence Worksheet**.

Once you have completed Steps 3A through 6A with the support of your measure and evaluation specialist, please continue to **Step 7: Summarize Findings & Prioritize Actions.**

Step 6B: Adapted Success Case Approach

LOW-RESOURCE M&E SETTING

AT A GLANCE

What are the identified needs?

In Step 6B, you will analyze the data you have collected and identify any gaps between what should be happening and what is happening.

Tools to Help

- → Acceptable Evidence Worksheet
- → Question Matrix

Who is Involved

The Facilitator should conduct this work, with support from the Steering Committee.

Output

Move on to the next step when you completed the analysis and drafted the results for each investigative question, which includes a draft list of identified needs to assure performer excellence.

1 How to Get Started

Review the **Acceptable Evidence Worksheet** to ensure the parameters for identifying needs are fresh in mind.

2 Next

Conduct an initial review of the Phase 2 interview data to look for themes and answers to your investigative questions. This is best accomplished by having two or more people code both success case and non-success case interview data. **Coding** is a process of identifying portions of qualitative data that exhibit relation to a particular theme or topic. Multiple coders help ensure validity for your codes, and ensure a single individual's biases do not influence the findings. In our situation, your coders should be focused on two specific areas:

- → Coding on the four essential factors and the Question Matrix items associated with them, and
- → Coding on general themes that are consistent within success and non-success cases, or are opposing in the two groups

3 Then

Once the codes are identified they should be reviewed to determine if the themes are consistent across groups of specific interest, such as gender or geography.

- → Are there consistent issues raised over and over?
- → Or is there great variance?
- → Where do you see the greatest differences between success and non-success responses in terms of the four essential factors of expectations, ability, opportunity, and motivation? Of the motivational items, are they primarily internally or externally focused?
- → In the area of motivation, are there specific challenges (a) meeting personal needs, (b) social status and social support, (c) family support, (d) self-efficacy, (e) connectedness, or (f) social and gender norms?
- → What factors seem to be most essential for good performance in success cases?
- → Is there any evidence that these factors are missing, or surface as clear needs in the non-success cases?

If you do not see any consistency in the responses from either success or non-success groups, you may choose to hold additional interviews in order to ensure all key issues are being uncovered. In most cases, however, you will likely have at least *some* issues in clear patterns that help highlight needs and answer your investigative questions.

4 Finally

Map out the thematic differences between success and non-success cases for each of the four essential factors and determine how you can apply these themes in answering the items in the **Question Matrix**. Do any of them rise to the level of a need as defined by the **Acceptable Evidence Worksheet**?

Step 7: Summarize Findings & Prioritize Actions

AT A GLANCE

How will we work together to address these needs?

In Step 7, you will work with community or organization representatives to review the data collected and its analysis, identify needs, agree on prioritization of these needs and plan action(s) to address them.

Tools to Help

- → Needs Summary Table
- → Prioritization Matrix and Action Tracker

Who is Involved

The Facilitator of the needs analysis should conduct this work, with support from the Steering Committee.

Output

The cycle ends when the stakeholders agree on who will address what need, how and when the group will check in to learn about the progress of actions taken, and when to begin a new round of review for the same group of performers.

1 How to Get Started

The first step in summarizing your findings is to capture the needs you identified for the population as a whole, and for any specific groups of interest such as gender, age, or geography. The **Needs Summary Table** is a great tool to help lay out these needs visually for consideration by the Steering Committee.

Appendix FF: Needs Summary Table

Appendix GG: Needs Summary Table Example

2 Next

Once the Committee has reviewed and agreed with the identified needs, it's time to consider which needs you will agree to address, who will consider what options are strategically and practically viable to address each need, including creation of an SBCC strategy, and the general timelines for that work. The **Priority Matrix and Action Tracker** will let you build that information for each identified need. You will likely want to start by identifying which needs are the most critical for delivery of services and that, if not resolved, can block the delivery of any services whatsoever. These should be your top priorities—needs like safety, supplies, and any other component that affects the work to such an extent that *minimum* standards of service delivery cannot be met until they are addressed.

Appendix HH: Prioritization Matrix and Action Tracker

Appendix II: Prioritization Matrix and Action Tracker Example

3 Then

Consider which identified needs should be addressed if resources are still available after meeting critical needs. In general, those needs that interact with others are usually excellent candidates for their good use of funds and effort in solving multiple problems. Be sure that you are equitably addressing needs across *each of the essential factors*, since addressing all the needs in only one area is unlikely to raise performance overall. Keep in mind that addressing the underlying reasons behind each need will be important in the design and implementation of an intervention to address it.

4 Finally

The Steering Committee should work as a team to identify a logical owner for each need as well as a timeframe for assessing the impact of actions taken. Setting up this accountability for Committee members is essential for ensuring the work will get done and that the team truly feels the communal engagement with one another and can enjoy the successful outcomes as a team.