

Collaborative, participatory, and empowerment (CP&E) evaluation

SESSION I

Evaluation expansion and utilization in projects and programs

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1. Origin

*"Where is the wisdom we have lost in knowledge?
Where is the knowledge we have lost in
information?"*



T. S. Eliot (1888-1965)



1. Origin

Human curiosity and the desire to do things better



- 1930s: formal field of study
- 1960s: important professional practice



1. Origin

Everyone has practical skills of evaluation

Science comes from technology (and not viceversa: technology is not applied science). Technology was around a million years ago, science only 5000 years.

*Practical skill precedes the development of science. The stages for the development of a profession are: **skill-expertise-guild-profession.***

Scriven, Baltimore, 2007



1. Origin

*Evaluation is something everybody does (common sense). It is a **crucial survival skill** for individuals, organizations... : the best instrument for **information compression** and a **crucial part of capacity building.***

Scriven, San Antonio, 2010



1. Origin

*We -as experts- refine it and make it more reliable. Evaluation is about refining practical skills. It is a **question of learning how to do things better.***

Scriven, Baltimore, 2007



1. Origin

Should evaluators be experts on what they are evaluating?

Expertise is not to have answers but to be able to understand the situations, to know what factors pay attention to, how to explore them...

Patton, Baltimore, 2007



2. Worldwide expansion

Several indicators illustrate the growing worldwide recognition of the importance of evaluation and its internationalization:

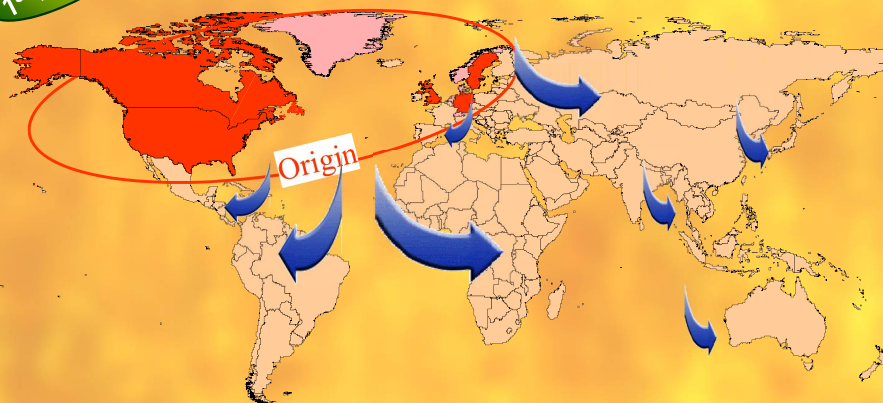
- The expansion of evaluation activities in national, regional, and local **policy decision making** as well as in international organizations.
- The exponential growth of regional and national **evaluation organizations**.
- The increasing national diversity among those who attend **evaluation conferences**.



2. Worldwide expansion

1st Indicator

Expansion of evaluation activities in policy decision making

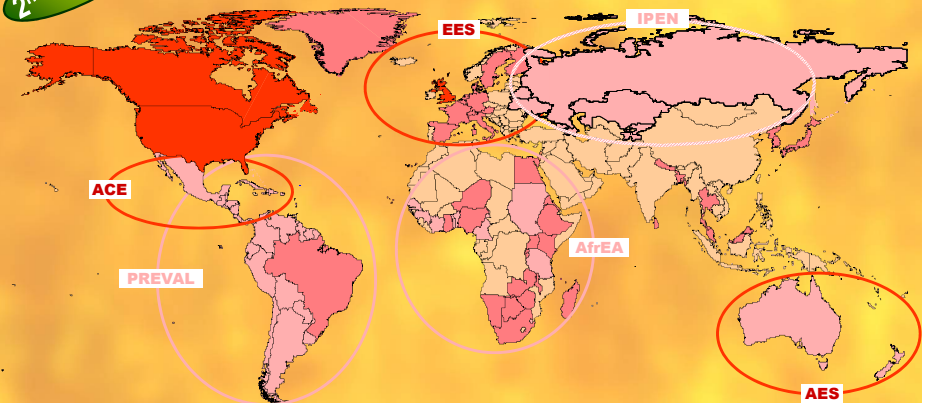


- First wave of expansion in the 70s
- Second wave of expansion in the 80s
- ➡ Great expansion of evaluation culture at the end of the 20th century
- Other countries

2. Worldwide expansion

2nd Indicator

Growth of regional and national evaluation organizations



- Regional evaluation organizations before 1995
- Regional evaluation organizations after 1995
- Countries with national evaluation organization or networks before 1995
- Countries with national evaluation organization or networks after 1995
- Participants in some regional evaluation organization
- Other countries

2. Worldwide expansion

3th Indicator

Increasing national diversity among those who attend evaluation conferences

The **1995** international meeting in **Vancouver** – jointly sponsored by the American and the Canadian Evaluation Societies – is regarded as a watershed bringing together more than **1600 evaluators from 65 countries**.



2. Worldwide expansion

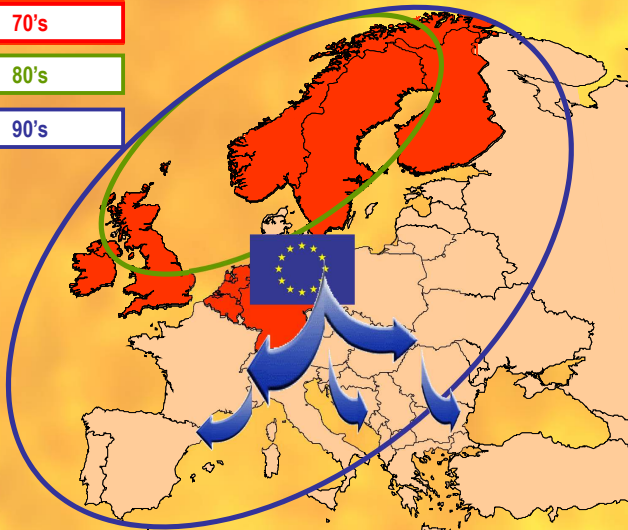
This internationalization has been aided by efforts to build a linked worldwide evaluation community through the launching of two important international landmark associations:

IDEAS: International Development Evaluation Association (2002)

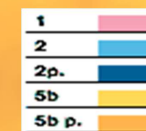
IOCE: International Organization for Cooperation in Evaluation (2003)



3. European expansion



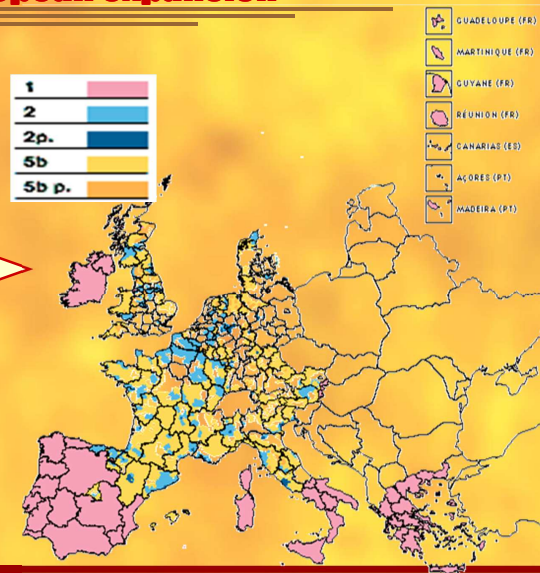
3. European expansion



1989-1993 First steps

1994-1999 Reinforcement and normalization of evaluation practices

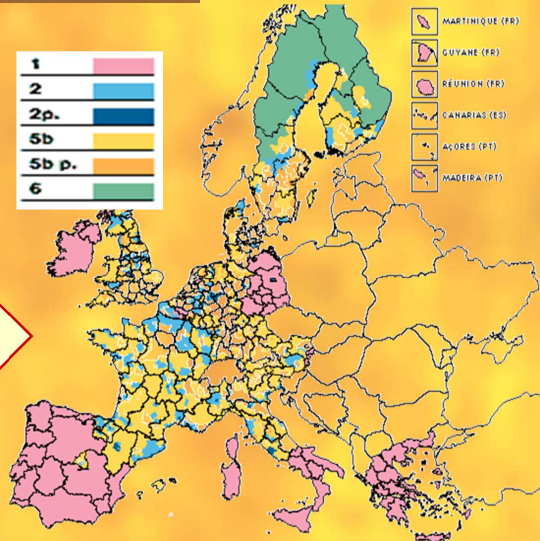
2000-2006 Establishment as a fundamental tool in program management



3. European expansion



- MARTINIQUE (FR)
- GUYANE (FR)
- REUNION (FR)
- CANARIAS (ES)
- AZORES (PT)
- MADEIRA (PT)



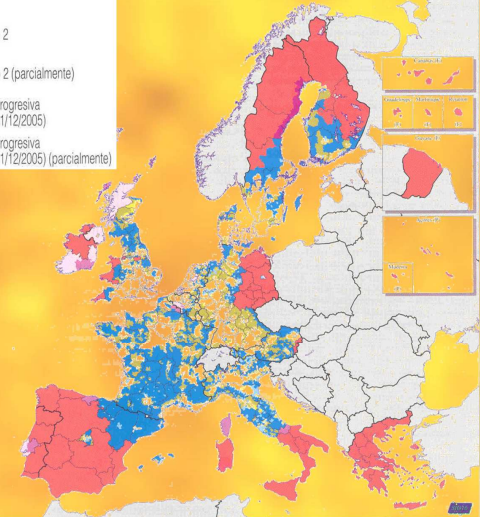
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3. European expansion



1989-1993 First steps

1994-1999 Reinforcement and normalization of evaluation practices

2000-2006 Establishment as a fundamental tool in program management



3. European expansion



European Commission:

- Created the **Technical Evaluation Groups** with the participation of Member States and also organized several seminars
- Organized European **Conferences** on techniques and practices of M&E (Monitoring and Evaluation) in Brussels, Berlin, Seville, Edinburgh, Budapest,...
- In 1994, launched the **MEANS** program: «Means for Evaluating Actions of a Structural Nature».
- Published **documents** such as frameworks, guidelines and evaluation **directives** (DGs V, VI, VIII, XII, XVI, XIX ...)



3. European expansion



UE's orientations and guidelines



3. European expansion

UE's orientations and guidelines



Organización **Programme Logic**



3. European expansion

Logic Models in our favourite evaluations

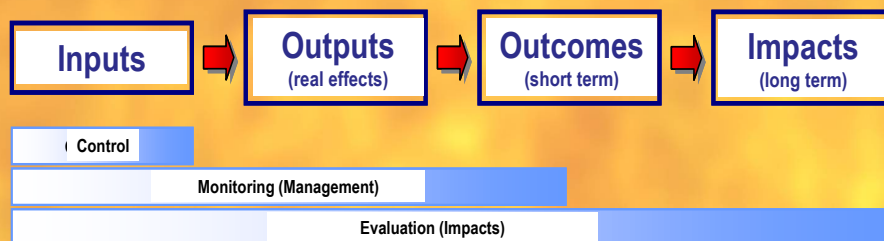


3. European expansion

UE's orientations and guidelines



Organization Programme logic **Articulation**

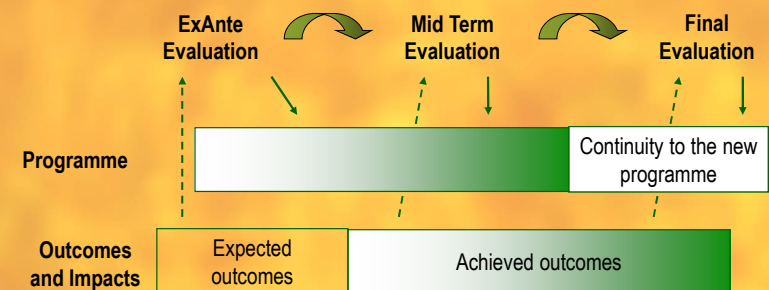


3. European expansion

UE's orientations and guidelines

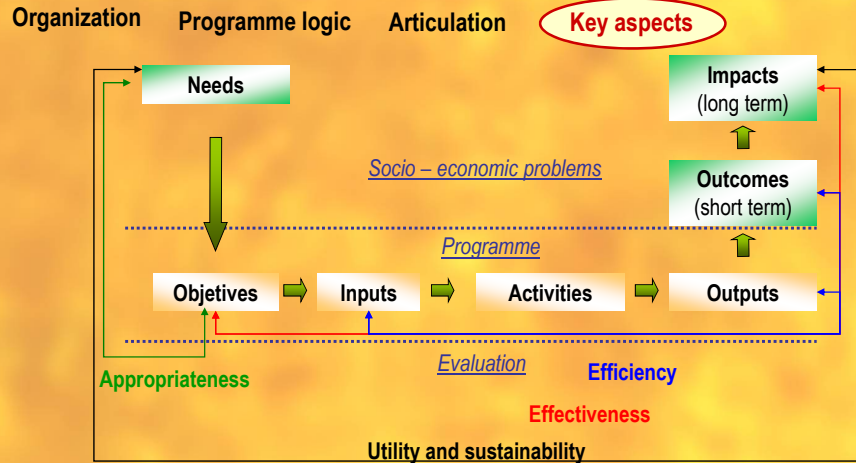


Organization Programme logic **Articulation**



3. European expansion

UE's orientations and guidelines

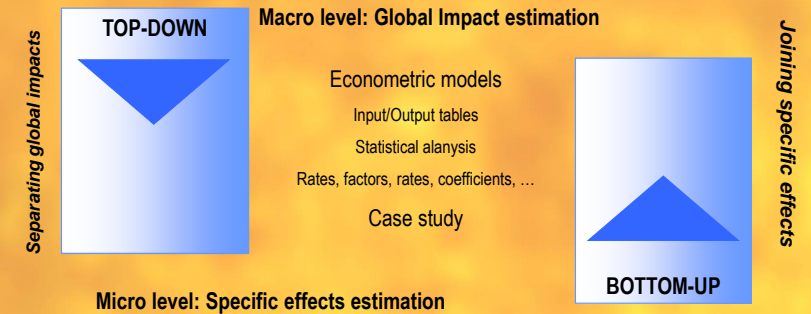


3. European expansion

UE's orientations and guidelines



Organization Programme logic Articulation Key aspects **Methodologies and techniques**



4. Why is evaluation important?

Evaluation purposes tell you “why is evaluation important?”

- **Accountability and efficiency**
 - Responsibility for justification of expenditures, decisions, or the results of actions
- **Resource allocation**
 - Allocation and distribution of scarce resources and alternative uses of existing resources under consideration of competing demands
- **Improvement**
 - Improving the efficiency and effectiveness of services, the quality of products, the performance of personnel, etc.



4. Why is evaluation important?

- **Consider the following:**
 - Rash of recalls for approve drugs/pharmaceuticals.
 - Contaminants in rivers, soils, pet foods, human foods...
 - Dangerous levels of hazardous materials (e.g., lead) in consumer products (e.g., children’s toys)
 - Large-scale funding and implementation of educational and human and social service programs that simply do not work.



4. Why is evaluation important?

- **Purposes:** **decision-making** (accountability, efficiency, resource allocation) and **improvement**.

SEE, Sevilla 2002: **theory** , **proofs** and **learning**.

- **Political role**, key for transparency (SEE, Lausanne, 2000)
- **Key role in the Knowledge Society**, dealing with fundamental questions of our time (two million articles per year, seven million web pages per day)
- **Key role in development:** **learning**, **capacity building**



4. Why is evaluation important?

- **Fields of evaluation:** evaluation of products, performances, proposals, personnel, policies, programs, and projects.
- Of the Big Seven, **program evaluation** receives the most attention and has the most well-developed principles, procedures, and practices.



4. Why is evaluation important?

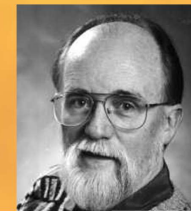
Program evaluation can and does involve examining **much more than goal attainment**. It should consider:

- **OUTCOMES:** Anticipated consequences (goals), but also
 - Unanticipated consequences (side effects are sometimes very important).
 - Long-term impacts (sustainability).
- **PROCESSES:** Implementation, where the outcomes produced ethically? It is called the **Black Box**.
- **COST:** Outcomes not at any price.

Different ways program evaluation can be useful.

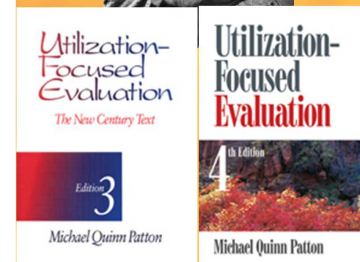


5. Utilization-focused evaluation



"In program evaluation, as in life, it is one's overall philosophy integrated into pragmatic principles that provides a guide to action".

Michael Quinn Patton, 1997



1978/1986/1997/2008



5. Utilization-focused evaluation

Standards for evaluation

The Personnel Evaluation Standards,
elaborados por el
Joint Commite of Standards for Educational Evaluation

- **Utility** (*utilidad*): **useful to some audience** (credibility, clarity, timeliness and dissemination, identification of needs and values...)
- **Feasibility** (*viabilidad*): **in political terms, practicality terms, or cost-effectiveness terms**
- **Propriety** (*propiedad, corrección*): **conducted legally, ethically, and with regard for the welfare of those involved in the evaluation, as well as those affected by its results**
- **Accuracy** (*precisión, veracidad*): **reveal and convey technically adequate information** (technical adequacy, context analysis, defensible information sources, valid and reliable information, justified conclusions, impartiality...)



5. Utilization-focused evaluation

Use was ignored

- The standards make it clear that **evaluations ought to be useful.**
- However, **metodological rigor, sophisticated statistical analysis, validity, reliability, measurability, and generalizability** were the dimensions that received the greatest attention in judging evaluation research proposals and reports.
- These dimensions were not solving the use problem



5. Utilization-focused evaluation

Use challenge

- The field faces a dual challenge:
 - supporting and enhancing appropriate uses
 - working to eliminate improper uses.
- Evaluation will be used if the **foundation for use** is properly prepared:
 - identification of stakeholders needs and values
 - evaluation design
 - timeliness and dissemination...



5. Utilization-focused evaluation

Use challenge

- Evaluations should be judged by their utility and actual use
- Evaluators should design any evaluation with careful consideration of how everything that is done, from beginning to end, will **affect use** (**evaluator's concern**).



6. Key factors affecting utilization

- 1. The personal factor
- 2. Organisational culture
- 3. Political considerations
- 4. Evidence
- 5. Effective dissemination / communication



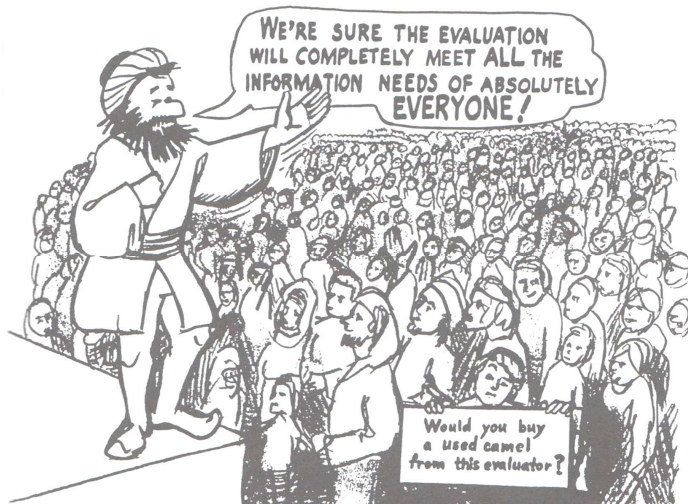
6. Key factors affecting utilization

1. The Personal factor

- Use is not an abstraction: **intended use by intended users.**
- Moving from the general and abstract, that is, possible audiences and potential uses, **to the real and specific** (uses and users with responsibility to apply evaluation findings and implement recommendations).



6. Key factors affecting utilization



6. Key factors affecting utilization

1. The Personal factor: NEGOCIATION

- Evaluator work with intended users to help them determine **what kind of evaluations they need** (negotiation, taking into account the other standards).
- Help to select the most appropriate **content, model, methods, theory, and uses** for their particular situation (plenty of options).



6. Key factors affecting utilization

1. The Personal factor

- Intended users are more likely to use evaluations if they **understand and feel ownership** of the evaluation process and findings; more likely if they have been **actively involved**.



6. Key factors affecting utilization

1. The Personal factor

- The first challenge: **Engendering commitment** to both evaluation and use.

Evaluate

- **Acknowledge** the perceptions, past experiences, and feelings stakeholders bring to an evaluation (otherwise, evaluation may blow up in the face of the evaluator).
- **Valuing evaluation** is a necessary condition for evaluation use. Valuing evaluation cannot be taken for granted.



6. Key factors affecting utilization

1. The Personal factor

- Lay the groundwork and establish a solid foundation for the evaluation:
 - ✓ shared **definition** of evaluation,
 - ✓ shared clear **purposes** (*program improvement, decision making or knowledge generation*),
 - ✓ shared **understandings** about what the evaluation will involve,
 - ✓ shared **specific intended users and uses** (make evaluation more **action (decision)-oriented** than knowledge-oriented; **useful evaluation supports action**: inform decisions, clarify options, identify improvements...).



6. Key factors affecting utilization

1. The Personal factor

- **Reality testing**: Helpful idea to make the evaluation useful.
- The phrase implies that being **“in touch with reality”** can't be assumed.
- Some people **“lose touch with reality”**. They've constructed their own comfortable worlds built on untested assumptions and unexamined beliefs. **Evaluation is a threat to such people**. Evaluators cannot ignore this.



6. Key factors affecting utilization

1. The Personal factor



6. Key factors affecting utilization

2. Organisational culture

- Evaluation is part of a broader learning process that promotes **ownership** and establishes a standard follow-up procedure.
- Opportunities and constraints.



6. Key factors affecting utilization

3. Political considerations

- Getting the right information to the right people.
- Creating the right links.
- Understand how policy makers think.
- Identify 'windows of (policy) opportunity'.



6. Key factors affecting utilization

4. Evidence

- Relevance, timeliness, brevity, quality.
- Research approach, methodology, and credibility of evidence.
- Reinforcement of prior beliefs / coherence with other messages and conceptual models.



6. Key factors affecting utilization

5. Dissemination and communication strategy

Communication plan:

- **WHO?** (primary, secondary audience; internal, external...)
- **WHAT?** (content, what does the audience care about, what do you want them to have, what type of information resonates with the audience: numbers, quotes, stories...)
- **HOW?** (format)
- **WHEN?** (quarterly?, opportunistically?, when requested?...)

"Think like a wise man, but communicate in the language of the people".

William Butler Yeats



6. Key factors affecting utilization

5. Dissemination and communication strategy: HOW?

- Active and **diversified** approaches to dissemination and communication.
- Different stakeholders **see the information differently** and with different interest.
- Differentiated, **targeted** audiences; differentiated products; pro-active follow-up, etc.



6. Key factors affecting utilization

5. Dissemination and communication strategy: HOW?

- Report
- Impact statement
- Executive summary
- Personal discussion
- Oral presentation
- Photo display
- Press release
- Newsletter, bulletin
- Poster, calendar, skits ...



6. Key factors affecting utilization

5. Dissemination and communication strategy: HOW?

*"Instead of a historian of the past, you –evaluator– become a futurist. Instead of concrete recommendations **help to create future scenarios**".*

Patton, Portland, 2006



6. Key factors affecting utilization

Should evaluators make recommendations?

It's like playing a guessing game. If the donor ask for them, then give recommendations very carefully and at the microlevel (not macrolevel).



Collaborative, participatory, and empowerment (CP&E) evaluation

Thank you

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