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

SESSION II

Evaluation Models

(Based on Stufflebeam, D.L. (2001). Evaluation Models. NEW DIRECTIONS FOR EVALUATION, 89, 1-106)

Dr. José María Díaz Puente

Grupo GESPLAN
Universidad Politécnica de Madrid

Course index

Session I. Evaluation expansion and utilization in projects and programs

Session II. Evaluation models

Session III. Collaborative and Participatory Evaluation

Session IV. Empowerment Evaluation

Session V. Ethnography and the human instrument as a key tool for CP&E Evaluation

Session VI. Across cultures and ethnic groups in CP&E Evaluation

Session VII. Moderating meaningful focus groups in CP&E Evaluation

---

Session II index

0. Introduction
1. Pseudoevaluations
2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)
3. Improvement/Accountability-Oriented Evaluation Approach
4. Social Agenda/Advocacy Approaches
5. Conclusions

Introduction

20th Century Expansion of Program Evaluation Approaches

1957: To vastly strengthen the U.S. defense system spawned by the Soviet Union's

➤ **1960:** The new U.S. laws to equitably serve minorities and persons with disabilities

➤ **1965:** Federal government evaluation requirements of the Great Society programs

➤ **1970:** The U.S. movement begun to hold educational and social organizations accountable for both prudent use of resources and achievement of objectives

➤ **1980:** The stress as a means of increasing U.S. international competitiveness

➤ **1990:** The trend for various organizations—both inside and outside the U.S.—to employ evaluation to ensure quality, competitiveness, and equity in delivering services.

➤ In pursuing reforms, American society has repeatedly pressed schools and colleges, health-care organizations, and various social welfare enterprises to show through evaluation whether or not services and improvement efforts were succeeding.

Slide 1

Evaluation means a study designed and conducted to assist some audience to assess an object's merit and worth

Slide 2

Program Evaluation Approaches

Category 1: **Pseudoevaluations**

Category 2: **Questions and/or Methods-Oriented**

Category 3: **Improvement/ Accountability**

Category 4: **Social Agenda/ Advocacy**

Slide 3

10 descriptors

1. Advance organizers

2. Main purpose(s) served

3. Sources of questions addressed

4. Questions that are characteristic of each study type

5. Methods typically employed

6. Persons who pioneered in conceptualizing each study type

7. Other persons who have extended development and use of each study type

8. Key considerations in determining when to use each approach

9. Strengths of the approach

10. Weaknesses of the approach

Slide 4

1. Pseudoevaluation

1.1. Definitions

1.2. Objectives

1.3.- Approaches

1.4.-Public Relations Inspired Studies

  1.4.1.-Methodology

1.5.- Politically Controlled Studies

1.6.- Conclusions

1.1.- Definition:

Pseudo evaluations: Evaluations that fail to produce and report valid assessments of merit and worth to all right-to-know audiences.

1.2.- Objectives:

To take adventage, by deceiving through evaluation, of adversaries, well in the market or in policy.

1. Pseudoevaluation

1.3.- Approaches:

Two types:

Public Relations – Inspired Studies
They don't seek truth, but taking profit for a program.

Polittically Controled Studies
They seek the truth but releasing findings inappropiately

They distinguish on the matters of truth seeking and dissemination of findings

---

1.4.- Public Relations – Inspired Studies (PRIS)

Also called "Ideological marketing", advertising, infomercial

The PRIS begins with an intention to use data to convince people that a program is sound and efective; it fails as a legitimate evaluation approach because it presents a program's strengths but not its weaknesse; that is, it doesn't seek a valid assesment of merit and worth

---

1.4.1.- Methodology

Typical methods used in PRIS are biased surveys; inappropiate use of norms tables; "massaging" of obtained information; selective release of ONLY the positive findings, etc

Instead of using, as Australians do, "CRITICAL FRIENDS" they use "FRIENDLY CRITICS".

A contrary behaviour is that of the USA Consumers Union: it maintains an independent perspective and a commitment to identify and report both: strengths and weakneasses in the itmes evaluated and not to supplement this information with biased ads.

1.5.- Politically Controled Studies (PCS)

The PCS is an approach that can be either defensible or indefensible.

A PCS is illicit if the evaluator and/or client:

• Withhold the full set of evaluation findings from audiences with rights to see the findings.

•Abrogate their prior agreement to fully disclose the evaluations findings.

•Bias the evaluation message by releasing only part of the findings.

If the client or the evaluator violates the formal agreement or applicable law, the other party has the right to take appropiate actions and/or seek an administrative or legal remedy.

Clients sometimes can legitimately commission covert studies and keep the findings private with
an agreement with the evaluator. Furthermore, an evaluator, under legal contractual agreements, can plan, conduct and report an evaluation for private purposes, while not disclosing the findings to any outside party.

The client's purpose in commissioning such PCS is to secure assistance in acquiring, maitaining or increasing influence, power and/or money.

Two main questions are of interest to the client:

• What is the truh, as best can be determined, sorrounding a particular dispute or political situation?

• What information would be advantegeous in a potential conflict sutiation?

Generally, the client wants information that is as technically sound as possible. However, he or she may also want to withhold findings that not support his or her position; this type of PCS can denerate in a "pseudoevaluation"

1.6.- Conclusions

1. Evaluators shouldn't lend their names and endorsements to evaluations presented by their clients that misrepresent the full set of relevant findings, that present falsified reports aimed at winning political contests, or that violate applicable laws and/or prior formal agreements on release findings.

2. If evluators acquiesce and support pseudoevaluations, they discredit the evaluation profession.

3. ETHICS should lead all evaluation activities.

4. Professional HONESTY, as in all professions, is a MUST in evaluation.

---

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based
4. Accountability, Particularly Payment by Results
5. Objective Testing Programs
6. Outcome Evaluation as Value-Added Assessment
7. Performance Testing
8. Experimental Studies
9. Management Information Systems
10. Benefit-Cost Analysis
11. Clarification Hearing
12. Case Study Evaluations
13. Criticism and Connoisseurship
14. Program Theory-Based
15. Mixed-Methods Studies
Conclusion

"QUASI"-Evaluation

ADVANCE ORGANIZERS
PURPOSES
QUESTIONS
METHODS
STRENGTHS
WEAKNESSES

---

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

QUESTIONS
- Who is interested in the objectives?
- What constitutes the methods used?

Ralph Tyler is generally acknowledged to be the pioneer in the objectives based type of study.

WEAKNESSES
→Leads to terminal information that is neither timely nor pertinent to improving a program's process
→ Studies do not uncover positive & negative side effects
→ They may credit unworthy objectives.

---

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

PURPOSES
→Provide constituents with an accurate accounting of results →Ensure, through something akin to intimidation, that the results are primarily positive
→Determine responsibility for good and bad outcomes
→Take appropriate action.

Accountability studies employ a wide variety of **methods**.

- Lessinger (1970) /Kirst (1990)
- Who are they for this type of program?

STRENGTHS
→They are popular among constituent groups and politicians and are aimed at improving public services.

Slide 1

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

USED IN: School testing programs

EVALUATION PURPOSES
➢ Compare student s scores or performances to <u>norms</u> and <u>standards</u>
➢ <u>Diagnose</u> program shortcoming
➢ <u>Compare</u> performance of competing programs
➢ <u>Examine</u>

METHODS
➢ <u>Standarized</u> testing
➢ <u>Data Base/ Computerized</u>
➢ <u>Hierahcical</u> mixed-model analysis
➢ <u>Policy</u> analysis

ADVANCED ORGANIZERS… SOLVING LIMITATIONS
➢ <u>Program</u> context
➢ Definition Randommed <u>sample/Norm</u> groups
➢ But lack of… Extent and Value of outcomes----
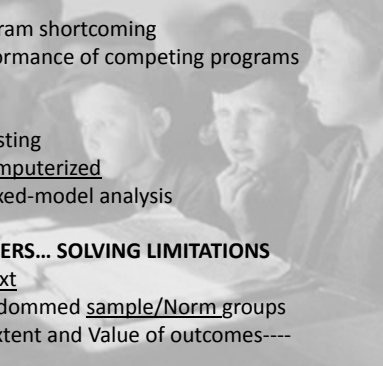
Slide 2

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

Purpose: **To evaluate the effects of programs and policies.**
Assess: **Trends of different components of a whole system.**
Tools : **Standardized tests.**

Eg. : **Education system.** To assess **progress of each student**, in order to determine what **value each component of the education system is adding** to the achievements of students.

Advantage of the approach:
- creates and systematizes a **database of outcomes;**
- considers the **progress of each person** assessed (not static scores)

Disadvantages of the approach:
- needs a **lot of means** (finances, persons, technologies...);
- could be used **to identify reasons** for failures;
- standarizes **multiple-choice tests;**
- is based on a **limited range of outcome variables.**

=> Simplification of
=>the reality

Slide 3

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

Orientation: In the 1990s, major efforts were made to offset the limitations of typical multiple-choice tests by employing performance or authentic measures.

Purpose: Compare the performance of individual students and groups of students to model performance on the tasks.

Question: Can individual students effectively write, speak, figure, analyze, lead, work cooperatively, and solve given problems up to the level of acceptable standards?

Method: Define areas of skills to be assessed; select type of assessment device; construct assessment tasks; determine scoring rubrics; define standards for assessing performance; train and calibrate scorers; validate measures; administer, score, interpret, report results.

Slide 4

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

Applications

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

➢**Parts:**
Program evaluators assign:
-beneficiaries (students or groups of students, patients) or organizations (schools, hospitals) to experimental
-control groups
And then contrast the outcomes

➢**Period:**
This was prominent in program evaluations during the late 1960s and early 1970s

➢**PURPOSE:**
Determine causal relationships between specified independent and dependent variables.

---

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

➢**Pioners**
-Campbell & Stanley (1963) -Suchman (1967)
-Lindquist (1953)   -Cronbach and Snow (1969

➢**Apply**
Only when it's required conditions can be met.
Often this requires:
-political influence
-substantial funding
-widespread agreement (funders, service providers, and beneficiaries)

➢**Decline**
Educators, social workers, and other social service providers rarely can meet the required experimental conditions.

---

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

STRENTHS
-focus on results and not just intentions or judgments
-provide strong methods for establishing relatively unequivocal causal relationships between treatment and outcome variables
-credibility (success of experiments in fields such as medicine and agriculture)

WEAKNESS
It is often considered unethical to deprive control group members of benefits of special funds for improving services.

Conclusion
Experimentally oriented evaluations can be workable and useful under the right circumstances. However, in education and human services, such circumstances are rare.

---

2. Questions-and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)

3. Objectives-Based Studies

4. Accountability, Particularly Payment by Results Studies

5. Objective Testing Programs

6. Outcome Evaluation as Value-Added Assessment

7. Performance Testing

8. Experimental Studies

9. Management Information Systems

QUESTION
- Are program activities being implemented according to **schedule**, **budget**, and with the **expected results**?

    → Needed of huge amount of information

STRENGTHS
- Supply **managers** with the **information** they need to **plan**, **direct**, **control**, and **report** on their programs or spheres of responsibility

WEAKNESS
- Information gathered lacks the scope of **context**, **input**, **process**, and **outcome** → required **to assess a program's merit and worth**

Slide 1

10. Benefit-Cost Analysis Approach

11. Clarification Hearing

12. Case Study Evaluations

13. Criticism and Connoisseurship

14. Program Theory-Based Evaluation

15. Mixed-Methods Studies

Conclusion

QUESTION
- Do program investment's positive results exceed or reach as those producers by similar programs?
  → Bang for the buck

3 LEVELS OF PROCEDURE

I.- **Cost analysis** of program inputs
- Financial histories ↔ projected costs

II.- **Cost-effectiveness** analysis
- Programs' costs ↔ successes in achieving same objectives
- If outcomes of ≠ programs are comparable
  → not require conversion to monetary

Slide 2

10. Benefit-Cost Analysis Approach

11. Clarification Hearing

12. Case Study Evaluations

13. Criticism and Connoisseurship

14. Program Theory-Based Evaluation

15. Mixed-Methods Studies

Conclusion

III.- **Benefit-cost** analysis
- Analyze costs, associated with:
  -main effects and side effects
  -tangible and intangible outcomes
  -positive and negative outcomes
  -short-term and long-term outcomes
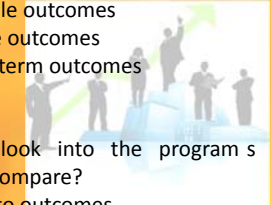
WEAKNESSES
- Can the evaluator look into the program s accounts in order to compare?
- Give monetary value to outcomes
  → anticipates and unexpected benefits associated with human, creativity…
  → Use equations rest on dubious assumptions and uncertain realities
- Evaluation centered on results and impacts

Slide 3

10. Benefit-Cost Analysis Approach

11. Clarification Hearing

12. Case Study Evaluations

13. Criticism and Connoisseurship

14. Program Theory-Based Evaluation

15. Mixed-Methods Studies

Conclusion

- **Judicial approach** to Program evaluation: This approach puts a program in a **trial**

- **Role playing** :
-The prosecuting evaluators, arguing that the Program has failed.
-The defending evaluators, arguing that the program has succeeded.
-The prosecuting and defending evaluator may call witnesses.
-A Judge controlling the proceedings.
-A Jury, ideally composed of representative of the program's stakeholders, which hears the evidence by both sides and ultimately makes and issues a ruling on the program's success or failure.

Slide 4

10. Benefit-Cost Analysis Approach

11. Clarification Hearing

12. Case Study Evaluations

13. Criticism and Connoisseurship

14. Program Theory-Based Evaluation

15. Mixed-Methods Studies

Conclusion

PURPOSE
→to ensure that the evaluation's audience receives a balanced evidence on the program's strengths and weaknesses.

QUESTIONS
- Should the program be judged a success or a failure?
- Is it as good or better than alternative programs that address the same objectives?

WEAKNESSES
→Not a practical approach
→Only marginally relevant to program evaluation: this approach encourages evaluators to present biased arguments in order to win their cases (winning > truth seeking)
→ It generates considerable acrimony.

• A **Case study** is a focused, in-depth description, analysis, and synthesis of a particular program or other object.

• It employs multiple methods to obtain and integrate multiple sources of information.

• While it breaks apart and analyzes a program along various dimensions, it also provides an overall characterization of the program.

PURPOSE
→This approach should provide stakeholders with an authoritative, in-depth, well-documented explication of the program.

- The case study should be keyed to the questions of most interest to the evaluation's main audiences.

-Stakeholders are engaged to help plan the study and interpret findings

-The evaluator must therefore identify and interact with the program's stakeholders.

QUESTIONS (posed by the stakeholders):
• What is the program in concept and practice?
• How has it evolved over time?
• How does it actually operate to produce outcomes? What has it produced?
• What are the negative side effects? And the positive side effects?
• In what ways and to what degrees do various stakeholders value the program?
• To what extent did the program effectively meet beneficiaries' needs?
• What were the most important reasons for the program's successes and failures?
• How much has it cost?

STRENGTHS
The case study approach is highly appropriate in program evaluation, because:

→It examines the program in detail by employing multiple perspectives, methods, and information sources.
→It looks at programs holistically and in depth.
→It can be tailored to focus on the audience's most important questions.
→This approach, if used correctly, should fully address the principles of a sound evaluation as related to accuracy, utility, feasibility, and propriety.

Slide 1

WEAKNESSES

→Some evaluators may mistake its openness as an excuse for approaching it haphazardly and bypassing steps.

→Evaluators might slight quantitative analysis in favor of qualitative analysis.

→The evaluator may not produce timely feedback needed to help in program development.

Slide 2

Experts in a given substantive area are capable of in-depth analysis and evaluation that could not be done in other ways.

PURPOSE
To describe, critically appraise, and illuminate a particular program's merits.

QUESTIONS
• What are the program's essence and salient characteristics?
• What merits and demerits distinguish the particular program from others of the same general kind?

The **methodology** includes critics' systematic use of their perceptual sensitivities, past experiences, refined insights, and abilities to communicate their assessments.

Slide 3

This approach
• depends on the chosen expert's qualifications
• requires an audience that has confidence in, and is willing to accept and use, the critic/connoisseur's report.

STRENGTH
→It **exploits the particular expertise** and finely developed insights of persons who have devoted much time and effort to the study of a precise area.

Slide 4

(1) a well-developed and validated theory of how programs of a certain type within similar settings operate to produce outcomes or
(2) an initial stage to approximate such a theory within the context of a particular program evaluation.

When such frameworks exist, their use probably can enhance a program's effectiveness and provide a credible structure for evaluating its functioning.

PURPOSES
• Determine the extent to which the program of interest is theoretically sound.
• Understand why it is succeeding or failing.
• Provide direction for program improvement.

Slide 1

10. Benefit-Cost Analysis Approach

11. Clarification Hearing

12. Case Study Evaluations

13. Criticism and Connoisseurship

14. Program Theory-Based Evaluation

15. Mixed-Methods Studies

Conclusion

QUESTIONS
• Is the program grounded in an appropriate, well-articulated, and validated theory?
• Is the employed theory reflective of recent research?
• What elements of the program are essential for successful replication?

The **main procedure** typically used in "theory-based program evaluations" is a **model of the program's logic**.

In rare case where appropriate **theory** already exists, the evaluator can make good use of it **to help structure and guide** the evaluation and interpret the findings.

Slide 2

10. Benefit-Cost Analysis Approach

11. Clarification Hearing

12. Case Study Evaluations

13. Criticism and Connoisseurship

14. Program Theory-Based Evaluation

15. Mixed-Methods Studies

Conclusion

• **Formative:** development, structure, implementation
• **Summative:** objectives, outcomes
• **Qualitative** →Assure scope, depth &
• **Quantitative** dependability

PURPOSES
→Provide direction for improving programs
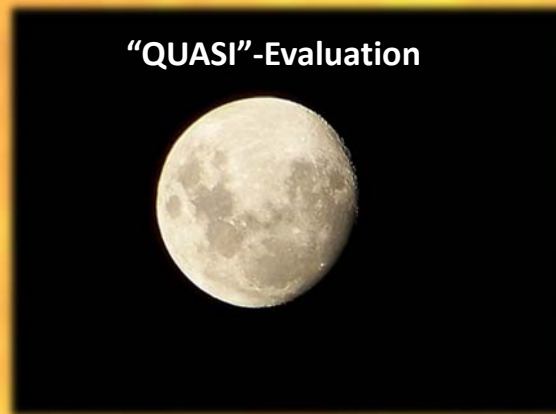→Assess their productiveness

QUESTIONS
• To what extent is the program achieving its goals?
• Was the program effective for all beneficiaries?

Slide 3

3. Objectives-Based
4. Accountability, Particularly Payment by Results
5. Objective Testing Programs
6. Outcome Evaluation as Value-Added Assessment
7. Performance Testing
8. Experimental Studies
9. Management Information Systems
10. Benefit-Cost Analysis
11. Clarification Hearing
12. Case Study Evaluations
13. Criticism and Connoisseurship
14. Program Theory-Based
15. Mixed-Methods Studies
Conclusion

"QUASI"-Evaluation

Slide 4

3. Improvement/Accountability-Oriented Evaluation Approach

16 Decision/ Accountability oriented approach

17 Consumer-oriented approach

18 Accreditation/ certification approach

• These three approaches stress the need to fully assess a program's **merit** and **worth**
• They are expansive and consider the full range of questions and criteria needed to assess a program's value.

• The three approaches emphasize:
- **DECISION ACCOUNTABILITY**: improvement through serving program's decision
- **CONSUMER-ORIENTED APPROACH**: providing consumers with assessments of optional programs and services
- **ACCREDITATION/CERTIFICATION APPROACH**: helping consumers to examine the merits of competing institutions and programs

3. Improvement/Accountability-Oriented Evaluation Approach

16 Decision/ Accountability oriented approach

17 Consumer-oriented approach

18 Accreditation/ certification approach

APPROACH 16. Decision/Accountability Oriented Approach

General considerations:

• This approach emphasizes that the program evaluation should be used **proactively** to help improve a program, and **retroactively** to judge its merit and worth.

• This approach engages **Stakeholders** in focusing the evaluation

• Stakeholders may include: beneficiaries, parents/guardians, service providers, administrators, program consultants, support personnel, policymakers, funding authorities, and citizens.

---

3. Improvement/Accountability-Oriented Evaluation Approach

16 Decision/ Accountability oriented approach

17 Consumer-oriented approach

18 Accreditation/ certification approach

• **Main Purposes:**

- To provide a knowledge and value base for <u>making and being accountable for decisions</u>.
- Evaluators must interact with representative members of their audiences (<u>stakeholders</u>).
- The sources of questions addressed by this approach are the concerned and involved stakeholders.
- Answers the questions are to be based on the underlying <u>standard of good programs</u> (i.e., they must reach and serve beneficiaries' targeted needs effectively at a reasonable cost and do so as well as or better than reasonably available alternatives)
- The approach stresses that an evaluation's most important purpose is **not to prove but to improve** (making better program decisions)
- It provides a both <u>formative</u> and <u>summative</u> evaluation

---

3. Improvement/Accountability-Oriented Evaluation Approach

16 Decision/ Accountability oriented approach

17 Consumer-oriented approach

18 Accreditation/ certification approach

• **Main Questions:**

-Has an **appropriate beneficiary population** been determined?
- What beneficiary **needs** should be addressed?
- What are the available **alternative ways** to address these needs, and what are their comparative merits and costs?
- Is the program **staff** sufficiently **qualified** and **credible**?
  Is the program working and should it be **revised** in any way?
  Is the program **effectively reaching** all the

---

3. Improvement/Accountability-Oriented Evaluation Approach

16 Decision/ Accountability oriented approach

17 Consumer-oriented approach

18 Accreditation/ certification approach

• **Main Advantages:**

- **Useful** in evaluating personnel, students, projects, facilities, and products.
- It **encourages program personnel** to use evaluation continuously and systematically to plan and implement programs that meet beneficiaries' targeted needs.
- It **aids decision making** at all program levels and stresses improvement.
- It presents a rationale and **framework of information** for helping program personnel be accountable for their program decisions and actions.
- It is **comprehensive** in attending to context, inputs, process, and outcomes.
- It **balances** the use of quantitative and qualitative methods.

3. Improvement/Accountability-Oriented Evaluation Approach

• **Main Limitations:**

-The collaboration required between an evaluator and stakeholders introduces opportunities for **impeding** the evaluation and/or biasing its results.

- When evaluators are actively influencing a program's course, they may identify so closely with it that they **lose some of the** independent, detached **perspective** needed to provide objective, forthright reports.

- This approach may **overemphasize formative evaluation** and give too little time and resources to summative evaluation.

---

3. Improvement/Accountability-Oriented Evaluation Approach

APPROACH 17: Consumer-Oriented Studies

General considerations:
***Consumer welfare:** program's primary justification.
***Evaluator:** help consumers identify and assess the **merit** and **worth** of programs.
* OBJETIVIST: possible to find best answers.
***METAEVALUATION:** subject program evaluations to evaluations.

TOPICS TO ASSESS: program description, background and context, client, consumers, resources, function, values, standards, outcomes, costs, critical competitors, reports...

1) **Consideration** of topics
2) **Compilation** of information of all of them
3) Super-**compressed judgement** of program's merit and worth

---

3. Improvement/Accountability-Oriented Evaluation Approach

Main questions:

Which of several alternative programs is the best choice:
a) given their differential costs,
b) the needs of the consumer group,
c) the values of society and
d) evidence of both possitive and negative outcomes.

* Has to be done by a highly credible and competent expert
Methods include:

Checklists, needs assessments, goal-free evaluation, experimental and quasi-experimental designs, modus operandi analysis, applying codes of ethical conduct and cost analysis (Scriven, 1974)

FORMATIVE *vs*. SUMMATIVE

Scriven 1967 pioneer in consumer-oriented approach

---

3. Improvement/Accountability-Oriented Evaluation Approach

• **Main advantages:**

- Independent assessment

- Protect consumers from shoddy programs

- Guide them to support and use those contributions that best and most effectively address their needs.

• **Main disadvantages:**

- Independent that may not assist to better serve consumers

- After formative stages: expert depends on the base of information that exists.

- When?

* If too early: stifle developers creativity .

*End of program: not enough evidence to judge program's value

3. Improvement/Accountability-Oriented Evaluation Approach

16 Decision/ Accountability oriented approach

17 Consumer-oriented approach

18 Accreditation/ certification approach

APPROACH 18: Accreditation/Certification Approach

General considerations:
To prove whether they meet requirements of given professions and service areas and whether they are fit to serve designated functions in society.

In education: Origin 1901.

• **Main question:**

Are institutions, their programs and personnel meeting minimum standards, and how can their performance be improved?

Methods:
Self-study & self-reporting by the institution.
Expert panels (Accrediting Agency).

• **Main advantages:**

It aids lay persons in making informed judgements about the **quality of organizations** and programs and the **qualifications of individual personnel**.

• **Main difficulties:**

- The guidelines of accrediting and certifying bodies often emphasize **inputs and processes** and not outcomes.

- Corruption/inept performance?

- It is prudent to subject accreditation processes to independent **metaevaluations**.

---

4. Social Agenda/Advocacy Approaches

4.1. Social Agenda and Advocacy Approaches
4.1.1. Client-Centered Studies (or Responsive Evaluation).
4.1.2. Constructivist Evaluation.
4.1.3. Deliberative Democratic Evaluation
4.1.4. Utilization-Focused Evaluation.

"*Populations themselves are the heart of the development process and they must be the subjects and not the objects of their own processes*"

Chambers (1983)

- Legitimated approaches used to increase social justice through evaluation

→ Strongly oriented to democratic principles of *equity* and *fairness*

→ Give preferential treatment through program evaluation to the *disadvantaged*

→ Favor a constructive orientation and the use of *qualitative* methods

→ Employ practical procedures for involving the *full range of stakeholders* (engaged in obtaining and interpreting findings)

4.1. Social Agenda and Advocacy Approaches
4.1.1. Client-Centered Studies (or Responsive Evaluation).
4.1.2. Constructivist Evaluation.
4.1.3. Deliberative Democratic Evaluation.
4.1.4. Utilization-Focused Evaluation.

- R. Stake (1967).
Core: satisfying the client s information needs.

→ Evaluator must work continuously with, and respond to, the evaluative needs of a *diverse client group.*

→ *Local autonomy,* helping people who are involved in a program to evaluate it and use the evaluation for program improvement.

→ *Relativistic approach*: no final authoritative conclusion.

→ Evaluation designs: *open-ended* and *emergent*, building to **narrative** description.

→ Evaluator´s goal: *continuous search* for key questions and standards, and to provide clients *useful information.*

→ Clients must be *tolerant*, *receptive* to ambiguity, i*nvolved* in interpretation and use of findings & *patient.*

- Main evaluation methods:
→ Redundant data-collecting activities, case studies, purposive sampling, observation...

- Main condition for applying:
→ Receptive client group and a confident, competent, responsive evaluator...

- Strengths:
→ Involves action-research, in which people funding, implementing, and using programs are helped to conduct their own evaluations and use the findings to improve their understanding, decisions, and actions.
→ Evaluation look deeply into stakeholder s interest and search broadly for relevant information.
→ Stresses importance of searching widely for unintended as well as intended outcomes.
→ Provides for effective communication of findings

- Weaknesses/limitations:
→ Vulnerability regarding external credibility
→ May empower stakeholders to bias the evaluation
→ Evaluators may lose independence through advocacy
→ Divergent qualities may generate confusion & controversy

---

4. Social Agenda/Advocacy Approaches

4.1. Social Agenda and Advocacy Approaches

4.1.1. Client-Centered Studies (or Responsive Evaluation).

4.1.2. Constructivist Evaluation.

4.1.3. Deliberative Democratic Evaluation

4.1.4. Utilization-Focused Evaluation.

Constructivism rejects the existence of any ultimate reality and employs a subjectivist epistemology
It places the evaluators and program stakeholders at the center of the inquire process, employing all of them as the evaluation's "human instruments"
The evaluator must respect participants' free will in all aspects of the inquiry and should empower them to help shape and control the evaluation activities in their preferred ways

---

- Relativist perspective to obtain and analyze findings, stressing locality and specificity over generalizability
- The main purpose of the approach is to determine and make sense of the variety of constructions that exist or emerge among stakeholders
- It moves from a divergent stage, in which it searches widely for insights and judgments, to a convergent stage in which some unified answers are sought
- Seeks to understand a program by the view of those that have been impacted by it, and interpret their experience

---

- Difference between the constructivist and empowerment evaluation approaches
  - While the constructivist evaluator retains control of the evaluation and works with stakeholders to develop a consensus, the empowerment evaluator gives away authority for the evaluation to stakeholders, while serving in a technical assistance role

Slide 1

- **Advantages**
  - It is exemplary in fully disclosing the whole evaluation process and its findings
  - The approach involves the full range of stakeholders
  - It is a learnign proccess
  - It uses participants as instruments in the evaluation, thus taking advantage of their relevant experiences, knowledge, and value perspectives

Slide 2

- **Desadvantages**
  - Because of the need for full involvement it is often difficult to produce the timely reports
  - It requires the attention and responsible participation of a wide range of stakeholders are and often, hard to obtain and especially to sustain throughout a program evaluation
  - Change of stakeholders
  - Stakeholders sometimes are poorly informed about the issues
  - Some participants do not want to tell their private thoughts and judgments to the world

Slide 3

4. Social Agenda/Advocacy Approaches

4.1. Social Agenda and Advocacy Approaches
4.1.1. Client-Centered Studies (or Responsive Evaluation).
4.1.2. Constructivist Evaluation.
4.1.3. Deliberative Democratic Evaluation
4.1.4. Utilization-Focused Evaluation.

Dimensions: democratic participation, dialogue and deliberation.

Stages:
Dialog: the evaluator engages stakeholders and other audiences to assist in compiling preliminary findings.
**Democratic discuss:** The collaborators seriously discuss and debate the draft findings to ensure that no participant's views are misrepresented.
Deliberative: the evaluator(s) honestly considers and discusses with others all inputs obtained but then renders what he or she considers a fully defensible assessment of the program's merit and worth.

Slide 4

The purpose of the approach is to employ democratic participation in the process of arriving at a defensible assessment of a program.
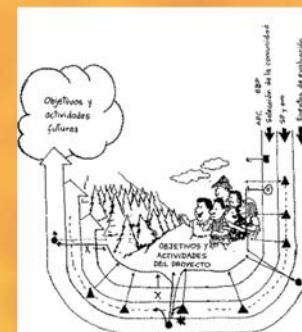
Advantages
It is a direct attempt to make evaluations just.
It strives for democratic participation of stakeholders at all stages of the evaluation.
It seeks to incorporate the views of all interested parties.
The deliberative democratic evaluator expressly reserves the right to rule out inputs that are considered incorrect or unethical.

4. Social Agenda/Advocacy Approaches

4.1. Social Agenda and Advocacy Approaches
4.1.1. Client-Centered Studies (or Responsive Evaluation).
4.1.2. Constructivist Evaluation.
4.1.3. Deliberative Democratic Evaluation
4.1.4. Utilization-Focused Evaluation.

It is a process for making choices about an evaluation study in collaboration with a targeted group of priority users, selected from a broader set of stakeholders, in order to focus effectively on their intended uses of the evaluation.

Through careful and thorough analysis of stakeholders, the evaluator identifies the multiple and varied perspectives and interests that should be represented in the study. He or she then selects a group that is willing to pay the price of substantial involvement and that represents the program's stakeholders.

The main possible uses of evaluation :
•Assessment of merit and worth, Improvement
•Generation of knowledge.
•Values the evaluation process itself
•Seeing it as helpful in enhancing shared understandings among stakeholders
•Bringing support to a program
•Promoting participation
•Developing and strengthening organizational capacity.

Evaluator roles—trainer, measurement expert, internal colleague, external expert, analyst, spokesperson, or mediator.

Time and resources ➔ for conducting the evaluation and the needed follow through.
The approach is geared to maximizing evaluation impacts.
It fits well with a key principle of change ➔ Individuals are more likely to understand, value, and use the findings of an evaluation if they were meaningfully involved in the enterprise

---

CONCLUSIONS

The procedures behind the ratings:

UTILITY

FEASIBILITY

PROPRIETY

ACCURACY

CONCLUSIONS

The procedures behind the ratings:

Excellent: 9-10

Very good: 7-8

Good: 5-6

Fair: 3-4

Poor: 0-2

CONCLUSIONS

Rigor
Relevance
Justice

CONCLUSIONS

BEST BETS:

Improvement/Accountability-Oriented. Evaluation Approaches:
✓ Approach 16: Decision/Accountability-Oriented Studies
✓ Approach 17: Consumer-Oriented Studies
✓ Approach 18: Accreditation/Certification Approach

Social Agenda/Advocacy Approaches:
✓ Approach 22. Utilization-Focused Evaluation
✓ Approach 19: Client-Centered Studies
✓ Approach 21: Deliberative Democratic Evaluation
✓ Approach 20: Constructivist Evaluation

Questions- and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies)
✓ Approach 12: Case Study Evaluations
✓ Approach 6: Outcome Evaluation as Value-Added Assessment

CONCLUSIONS

RATINGS Strongest Program Evaluation Approaches Within Types, Listed in Order of Compliance with *The Program Evaluation Standards*

Evaluation Approach	Graph of Overall Merit (0 P F G VG E)	Overall Score & Rating
IMPROVEMENT/ACCOUNTABILITY		
Decision/Accountability		92 (V G)
Consumer Orientation		81 (V G)
Accreditation		60 (G)
SOCIAL AGENDA/ADVOCACY		
Utilization-Focused		87 (V G)
Client-Centered/Responsive		87 (V G)
Deliberative Democratic		83 (V G)
Constructivist		80 (V G)
QUESTIONS/METHODS		
Case Study		80 (V G)
Outcomes Monitoring/Value-Added		72 (V G)

CONCLUSIONS

WORST BETS:

Pseudoevaluations:
× Approach 1: Public Relations-Inspired Studies
× Approach 2: Politically Controlled Studies

Questions- and Methods-Oriented Evaluation Approaches (Quasi-Evaluation Studies):
× Approach 4: Accountability, Particularly Payment by Results Studies.
× Approach 11: Clarification Hearing
× Approach 14: Program Theory-Based Evaluation.

CONCLUSIONS

Politically oriented
Unfounded
(and Erroneus?)
Judgment

Questions / methods
Questions are too
narrow to support a
full assessment

Improvement / accountability
Fully and unequivocally
program's ultimate
worth

Social agenda
Participatory, democratic,
empowerment...
BIAS!!

CONCLUSIONS

CONFLICT IN PURPOSES!!!
Evaluator Vs. Clients
Negociation
Inform participants

DISCERN
Which approach works best
Understand the approaches
Practical experience

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

Thank you

Dr. José María Díaz Puente

E-mail: jm.diazpuente@upm.es