EVALUERING OG KOMPLEKSITET

Michael Quinn Patton
September 9, 2016
Kolding, Denmark
In the beginning...
Māori
AES Best Evaluation Policy and Systems Award

Recognizes work developing the best evaluation policy, integrated evaluation system, evaluation program, framework and/or implementation of evaluation policies, systems, programs or frameworks. Also recognizes work undertaken in partnership with clients or users who have championed the evaluation and can attest to increased arising from the evaluation process or specific evaluation findings.

2013 Award Winners: Nan, Kate McKegg and Kataraina Pipi of Research Evaluation Consultancy Limited (a member of the Kinnect Group), and Veronica Thompson from Sport New Zealand) for Developmental Evaluation – He Oranga Poutama: what have we learned?
The Journey

TO MAORI

WITH MAORI

AS MAORI
Core principles were developed and adapted in various local settings along with a system of national coordination and support to facilitate local effort.

HOP initiative set out to develop a practical, grounded understanding of what *as Māori* looks like in diverse activities.
Complexity concepts & Evaluation

- **Emergence**: Self-organizing, Attractors
- **Nonlinear**: Small actions can have large reactions. “The Butterfly Wings Metaphor
- **Dynamical**: Interactions within, between, and among subsystems and parts within systems can be volatile, changing
- **Uncertainty**: Getting to Maybe; unpredictable; uncontrollable; unanticipated consequences
- **Coevolution**: Process uses; interdependence
- **Adaptation**: Developmental
Henry Mintzberg

Strategic Leadership Expert

Evaluation of strategy Implementation

“Connect.”
Henry Mintzberg’s one word of advice.
How emergent strategy works

http://www.ssireview.org/up_for_debate/article стратегический благотворительность
Traditional Accountability Focus

Intended Strategy

Unrealized Strategy = Failure

Deliberate Strategy

Realized Strategy

Emergent Strategy = Mission drift
How developmental outcomes evaluation works

Intended Outcomes

Implemented Outcomes

Unrealized Outcomes

Emergent Outcomes

Realized Outcomes

http://www.ssireview.org/up_for_debate/article стратегический филантропия
Complex development situations are ones in which this…

Inspired by Jeff Conklin, cognexus.org
And this...
Turns out to be this...
Emergence Example

Wilderness Leadership Program
Emergence Wilderness
Program Example

TRUCKERS

TURTLES
EMERGENCE

• Relationships
• Subgroups
• Critical incidences
• New intervention directions
• Emergent processes
• Emergent outcomes
• Emergent impacts
Taking Emergence Seriously

• Beyond “unanticipated consequences” to genuine openness
Adaptation and Learning

“Shoot bullets not cannonballs.”
Complexity Concepts

- **Nonlinearity**: Small actions can have large reactions. “*The Butterfly Wings Metaphor*”
THE COMPUTER CRASH OF THE MILLENNIUM!

JANUARY 1, 2000

ALL BANKS WILL FAIL!

FOOD SUPPLIES WILL BE DEPLETED!

ELECTRICITY WILL BE CUT OFF!

THE STOCK MARKET WILL CRASH!

VEHICLES USING COMPUTER CHIPS WILL STOP DEAD!

TELEPHONES WILL CEASE TO FUNCTION!

DOMINO EFFECT WILL CAUSE A WORLDWIDE DEPRESSION!
Nonlinear Effects

• The **Toronto SARS** outbreak occurred in two waves—March to April and April to July 2003. In total, 44 people in Canada died from **SARS**.

• 2014: Mexico City sees spike in H1N1 swine flu cases, 68 people dead
Damiano Soup Kitchen, Duluth, Minnesota
Space Shuttle Disasters

- **Challenger** disaster  
  January 28, 1986

- **Columbia** disaster  
  February 1, 2003
Nonlinearity

• Vicious circle: From working to homeless
• Virtuous circle: Youth homeless center staff story
Roméo Dallaire

Force Commander of the UN Assistance Mission to Rwanda, 1993-1994

Shake Hands with the Devil

The Failure of Humanity in Rwanda

"Extraordinary, wrenching lyrical power."—Montreal Gazette
EVALUATION OF THE IMPLEMENTATION OF THE PARIS DECLARATION

3rd Meeting Of The International Reference Group

Ayodya Resort Bali - Indonesia, December 7-10, 2010
Within a period of three months in 1994, an estimated 800,000 people were killed as a result of civil war and genocide in Rwanda. Large numbers were physically and psychologically afflicted for life through maiming, rape and other trauma; over two million fled to neighbouring countries and maybe half as many became internally displaced within Rwanda. This human suffering was and is incomprehensible. The agony and legacy of the violence create continuing suffering, economic loss and tension both inside Rwanda and in the Great Lakes Region.
The worldwide proliferation in recent years of so-called complex emergencies. These tend to have multiple causes, but are essentially political in nature and entail violent conflict. They typically include a breakdown of legitimate institutions and governance, widespread suffering and massive population displacements, and they often involve and require a range of responses from the international community, including intense diplomacy and conflict resolution efforts, UN policing actions, and the provision of multilateral and bilateral humanitarian assistance by official and private agencies.
A complex emergency tends to be very dynamic, characterized by rapid changes that are difficult to predict. Thus complex issues are raised regarding the timing, nature and scale of response. The Rwanda complex emergency shares all these characteristics and more.
Although some evaluations of international assistance for complex emergencies have been carried out, experience from the planning and execution of large-scale aid for relief, rehabilitation and reconstruction has not been extensively documented and assessed. Recognizing both the magnitude of the Rwanda emergency and the implications of complex disasters for constricted aid budgets, the Danish Ministry of Foreign Affairs, through its development cooperation wing, Danida, proposed a Joint Evaluation of Emergency Assistance to Rwanda.
This initiative resulted in the launching of an unprecedented multinational, multi-donor, joint evaluation effort, with the formation of a Steering Committee at a consultative meeting of international agencies and NGOs held in Copenhagen in November 1994. This Committee was composed of representatives from 19 OECD-member bilateral donor agencies, plus the European Union and the Development Assistance Committee (DAC) secretariat of the OECD; 9 multilateral agencies and UN units; the two components of the International Red Cross and Red Crescent Movement (ICRC and IFRC); and five international NGO organizations.
Co-evolution, co-creation

Bumblebees and the flowers they pollinate have coevolved so that both have become dependent on each other for survival.
Five Paris Declaration Principles

1. Country ownership
2. Alignment
3. Harmonization
4. Mutual accountability
5. Managing for results
Responsibility: Process Use

The impacts of being involved in the evaluation process for those countries, donors, and participants involved.
High Degree of Process Use

Process use refers to and is indicated by individual changes in thinking and behavior, and program or organizational changes in procedures and culture, that occur among those involved in evaluation as a result of the learning that occurs during the evaluation process. Evidence of process use is represented by the following kind of statement after an evaluation: "The impact on our program came not just from the findings but from going through the thinking process that the evaluation required."
RELATIONSHIPS

EVALUATION OF THE IMPLEMENTATION OF THE PARIS DECLARATION

3rd Meeting Of The International Reference Group
Ayodya Resort Bali - Indonesia, December 7-10, 2010

Wise executives tailor their approach to fit the complexity of the circumstances they face.
Wise evaluators tailor their approach to fit the complexity of the circumstances they face.
Conditions that challenge traditional model-testing evaluation

- High innovation
- Development
- High uncertainty
- Dynamic
- Emergent
- Systems Change

Adaptive Management
Evidence-based Practice

Evaluation grew up in the “projects” testing models under a theory of change that pilot testing would lead to proven models that could be disseminated and taken to scale:

The search for best practices and evidenced-based practices
Fundamental Issue: How the World Is Changed

Top-down dissemination of “proven models” versus Bottoms-up adaptive management
Models vs. Principles

Identifying proven principles for adaptive management (bottoms-up approach) versus Identifying and disseminating proven models (top down approach)
The international movement to strengthen national evaluation capacities
Complexity Theory
as a
Theory of Change
EVALUATION CONTRASTS

Traditional linear evaluations...

1. Testing models

Complexity-based Evaluation...

1. Tracking and understanding adaptations
Traditional Evaluation…

2. Render definitive judgments of success or failure:

Does the program work?

Complexity-based Evaluation…

2. Rendering nuanced, disaggregated feedback & generating learnings for adaptation & development:

What works for whom in what ways under what conditions?
<table>
<thead>
<tr>
<th>Traditional Evaluation...</th>
<th>Complexity-based Evaluation...</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. INDEPENDENCE:</td>
<td>3. RELATIONSHIP-FOCUSED,</td>
</tr>
<tr>
<td>Evaluator external,</td>
<td>COLLABORATIVE</td>
</tr>
<tr>
<td>independent, objective</td>
<td>Evaluator a facilitator</td>
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<td></td>
<td>and learning coach</td>
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<td>bringing evaluative</td>
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<td>thinking to the table,</td>
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<td>co-evolution,</td>
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<tr>
<td></td>
<td>co-creation</td>
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Traditional Evaluation…

4. CERTAINTY:
✓ Predetermined outcomes
✓ Fix the design upfront
✓ Predetermined indicators
✓ Fixed questions

Complexity-based Evaluation…

4. FLEXIBILITY
✓ Emergent outcomes
✓ Flexible design
✓ Emergent indicators
✓ Dynamic questions
Traditional Evaluation...

5. Linear cause-effect thinking and logic models

Complexity-based Evaluation...

5. Systems and complexity thinking with attention to dynamics, permeable boundaries, interdependencies, and emergent interconnections
Complex Dynamic Systems

- Interrelationships
- Open boundaries
- Diverse perspectives
Understanding the Elephant from a Complex Dynamic Systems Perspective
Global Systems Change Evaluation
The international movement to strengthen national evaluation capacities
“We can not solve our problems with the same level of thinking that created them.”
From International to Global
Are we ready for....

*Evaluators without borders*
First, some context and perspective

- You can't see the Earth as a globe unless you get at least twenty thousand miles away from it.
- Only 24 humans ever went that far into outer space -- the three-person crews of the nine Apollo missions that traveled to the moon between 1968 and 1972.
THE BLUE MARBLE SHOT

- But only the 3 in the last Apollo mission saw a full Earth and took the first complete photo of Earth
December 7, 1972

- The first photograph taken of the whole round Earth
- The only one ever snapped by a human being.
- The Blue Marble Shot
Taking a Blue Marble Perspective
National boundaries: the result of war, colonialism, enslavement, exploitation, genocide, oppression, greed, politics, religious persecution....
Global problems transcend national and agency boundaries

- Climate change
- Economic turbulence
- Refugees
- Virulent infectious diseases
- Dying oceans
- Global cyber-terrorism
- International drug cartels
- Human trafficking
- Weapons trafficking
- Poverty and inequality
- Multi-national corporate collusion
Global problems....

• The definitions of the problems are disputed
• The “facts” are a matter of intense debate
• Politics and special interests dominate:
  -- national interests
  -- multi-national corporate interests
  -- agency agendas
  -- competition for resources
• The stakes are huge
“We can not solve our problems with the same level of thinking that created them.”
Where will we get and how will we train... 

• Blue Marble Evaluators 
• Global Systems Evaluators 
• World Systems Thinkers as Evaluators 
• Evaluators without borders, boundaries and blinders
Blue Marble Evaluation
Anthem 2016
Michael Quinn Patton
We are the world
We are the children
We are the ones who make a brighter day
So let's start giving
There is a choice we're making
Were saving our own lives
It's true we'll make a better day, just you and me

https://www.youtube.com/watch?v=LHsv9NJn2j0
Blue Marble
Evaluation Anthem

There comes a time
When we heed a certain call
When evaluation must evolve.
The Blue Marble calls us
To do what must be done
The future of our planet must be won.
We can’t go on
Pretending day by day
That our designs, as now done,
Are adequate.
We must now become *World Savvy* rigorously
And the truth be told
Through global data we unfold.
Chorus -- Everyone

We are the world’s evaluators
We are the ones who take a global view—eval-uat-ing.
There’s a need we’re serving,
To use a systems lens
Evaluating complex changes globally.
There are projects failing
To take a whole world view
To see
Inter-connected-ness
We must now become *World Savvy* rigorously
And the truth be told
Through global data we unfold.
So right here, and right now
As political dynamics unfold,
And the winds of change blow,
    as far as we can see,
The global currents swirl
Tumultuously
And we track the rippling results

And we track the rippling results
WE, EVALUATORS, document the changing world....
We have to create innovative and adaptive evaluation approaches for a complex, dynamic world.

We have to share successes and failures.

As we look ahead, to global initiatives, and beyond to future evaluation challenges,

Global Systems Change Evaluations and *Blue Marble Evaluators* are on the global agenda.
Chorus -- Everyone

We are the world’s evaluators
We are the ones who take a global view—eval-uat-ing.
There’s a need we’re serving,
To use a systems lens
Evaluating complex changes globally.
I evaluate; therefore, I am.
References


Website sample chapter:

website for the book:
http://www.guilford.com/cgi-bin/cartscript.cgi?page=pr/patton.htm&dir=research/res_eval&cart_id=824067.29797