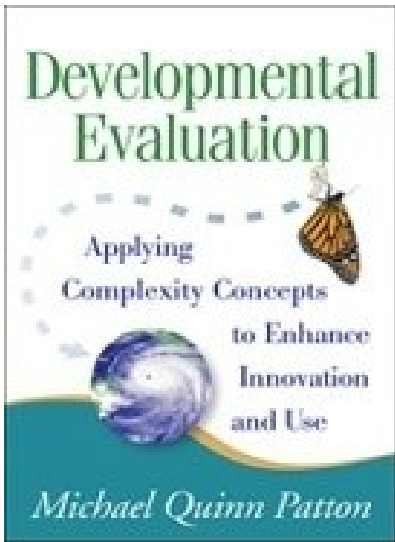


Developmental Evaluation



Michael Quinn Patton

Kolding, Denmark
September 8, 2016

Developmental Evaluation Exemplars

Principles in Practice

**edited by Michael Quinn Patton,
Kate McKegg, and Nan Wehipeihana**

**Burkina
Faso**



Research on Social Innovators' Perceptions of Evaluation



Ubuntu

The spirit of interpersonal interaction that pervades sub-Saharan Africa, *ubuntu* emphasizes the idea that:

“A person is a person because of other people.”

Ubuntu

The introduction to *The Fifth Discipline Fieldbook*, companion volume to Peter Senge's classic book on learning organization, *The Fifth Discipline*, begins with an explanation of the expression *Sawu bona*, meaning “I see you”, used by the tribes of northern Natal in South Africa to greet one another. The response is usually *Sikhona*, meaning “I am here.” The authors go on to explain, “The order of the exchange is important: until you see me, I do not exist. It's as if, when you see me, you bring me into existence.”

Ubuntu

Opening:

Sawu bona,
meaning
“I see you.”

Response:

Sikhona,
meaning
“I am here.”

Opening Exercise

1. Introduce yourselves to each other at the table from oldest to youngest:
respecting elders and valuing youth.
2. The eldest begins each subsequent intro by saying, “*Sawu bona*” (I see you.)
3. Respond: “*Sikhona*” (I am here.) Share some expertise or perspective you bring to the group.
4. Come up with a name for your group that integrates your shared expertise & perspective.

Interpretive Frameworks

- May 2003 *Harvard Business Review* "The High Cost of Accuracy." Kathleen Sutcliffe and Klaus Weber.

They concluded that "the way senior executives interpret their business environment is more important for performance than how accurately they know their environment."

They further concluded that it is a waste of resources to spend a lot of money increasing the marginal accuracy of data available to senior executives compared to the value of enhancing their capacity to interpret whatever data they have.

Executives were more limited by a lack of capacity to make sense of data than by inadequate or inaccurate data.

In essence, they found that interpretive capacity, or "mind-sets," distinguish high-performance more than data quality and accuracy.

Evaluation's Traditional Interpretive Framework

Original Primary Options

Formative

and

Summative

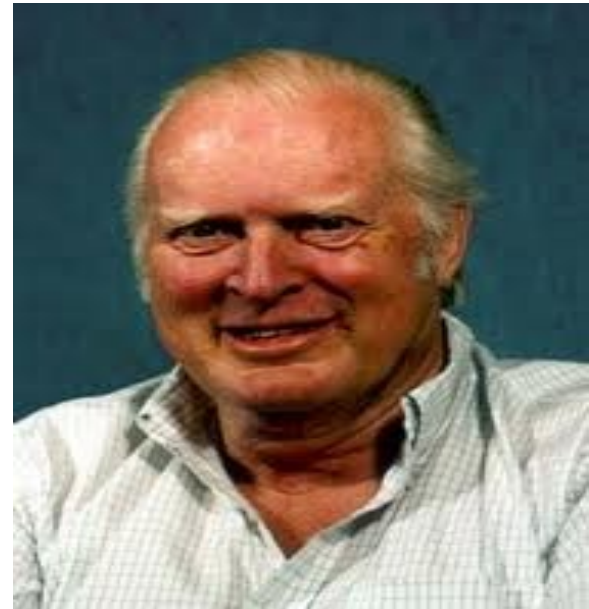
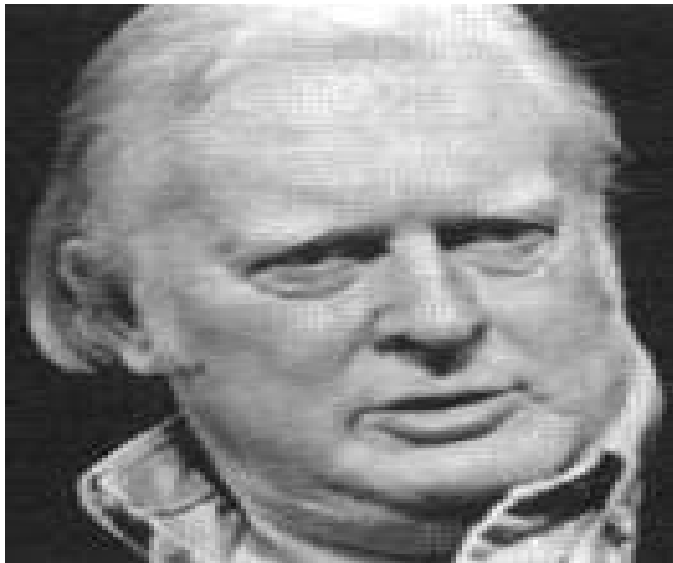
Evaluation

(Mid-term and End-of-Project Reviews)

Michael Scriven(1967).

“The methodology of evaluation.”

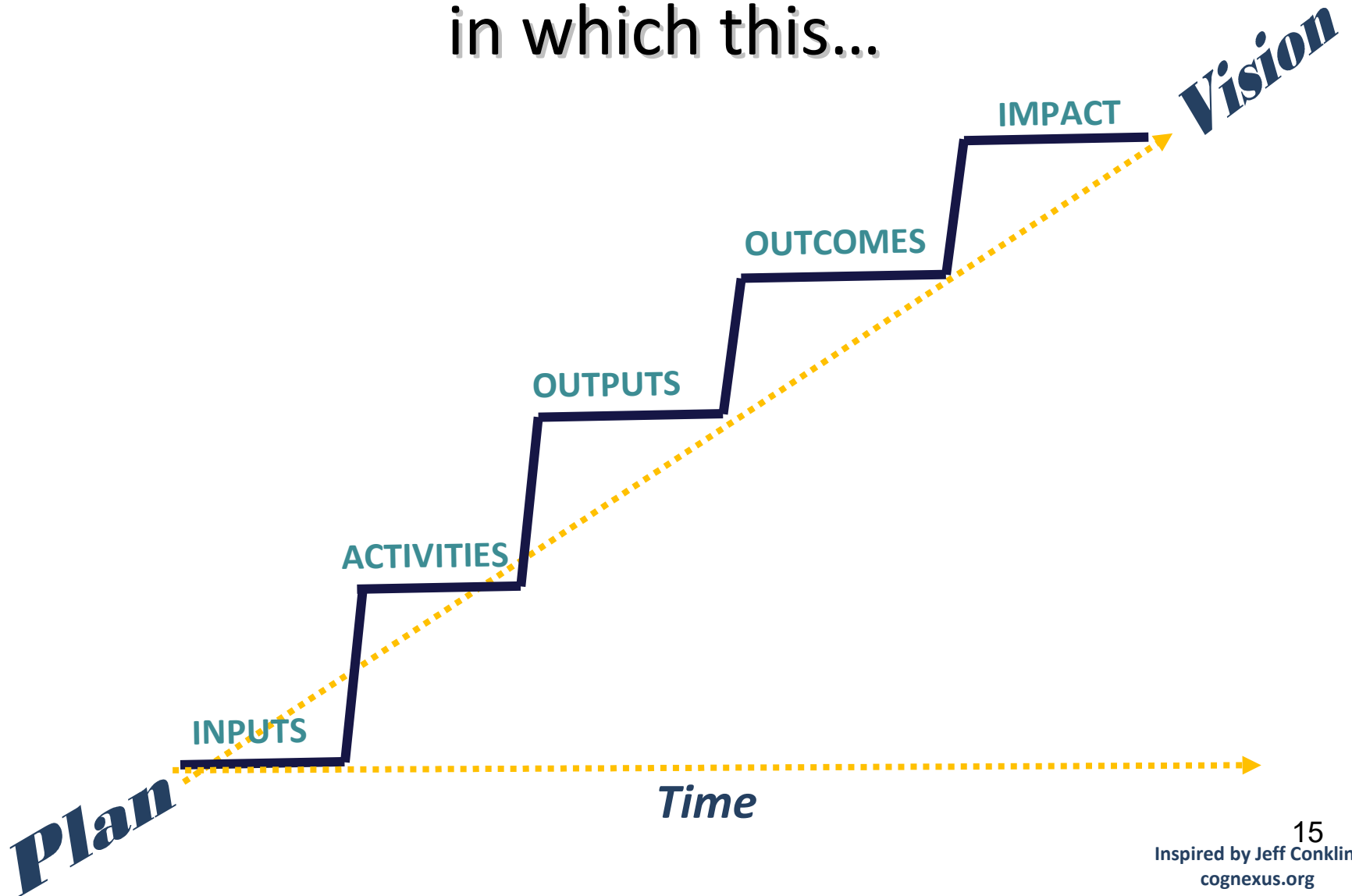
Pp. 39-83 in Ralph W. Tyler et al. (eds.) *Perspectives of Curriculum Evaluation*. AERA Monograph Series on Curriculum Evaluation, 1. Chicago: Rand McNally



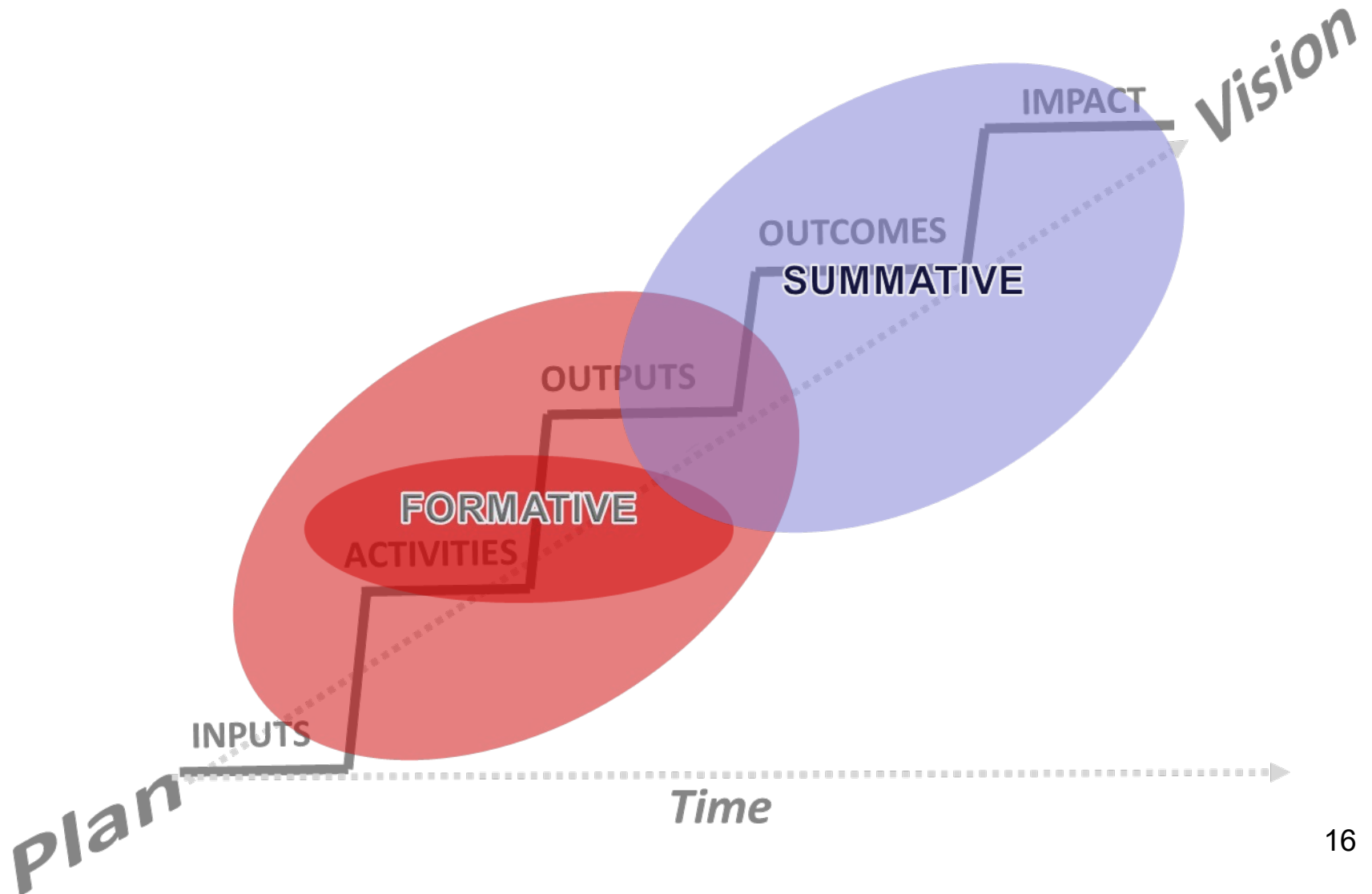
Blandin Community Leadership Program



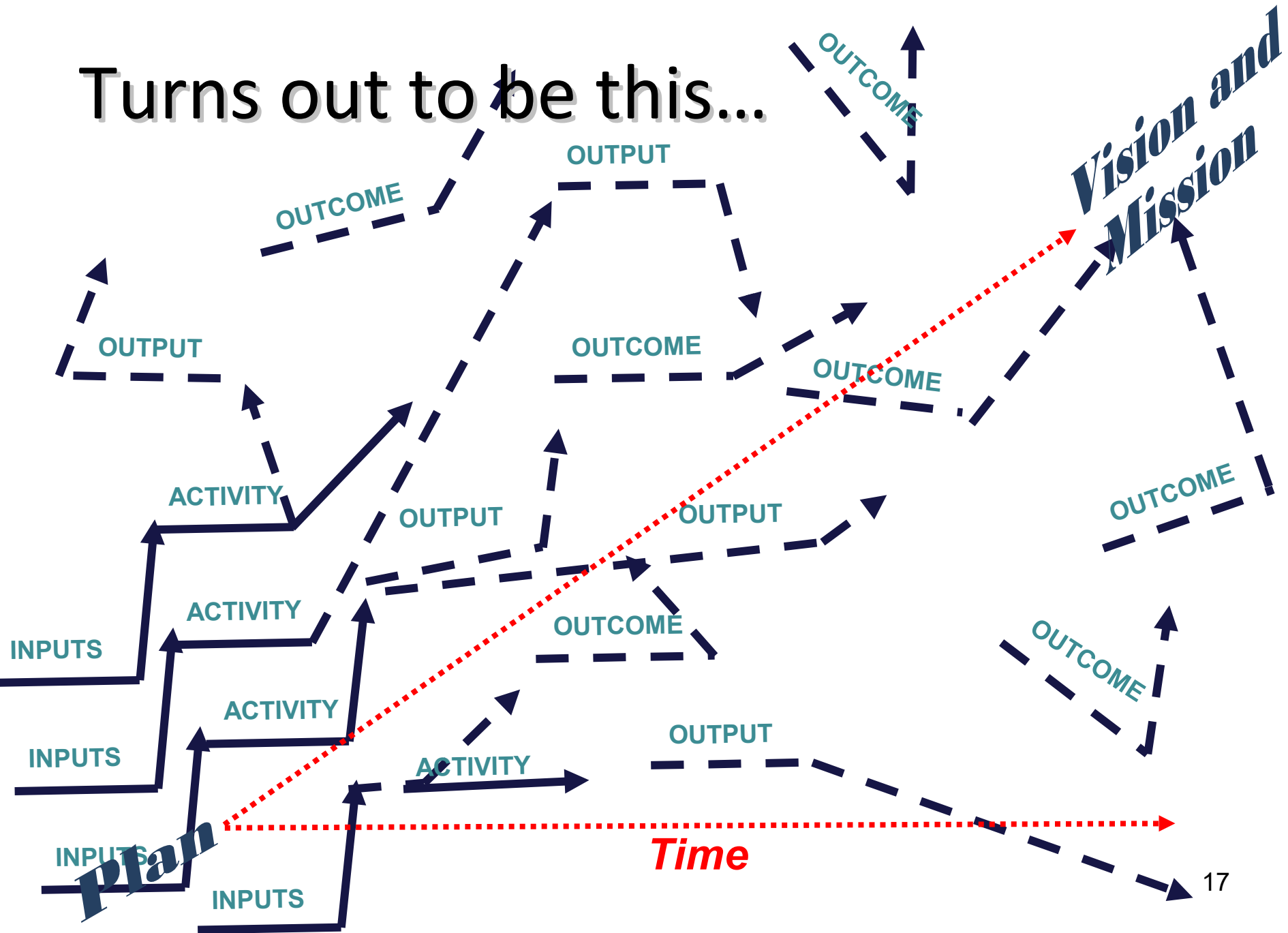
Complex development situations are ones
in which this...



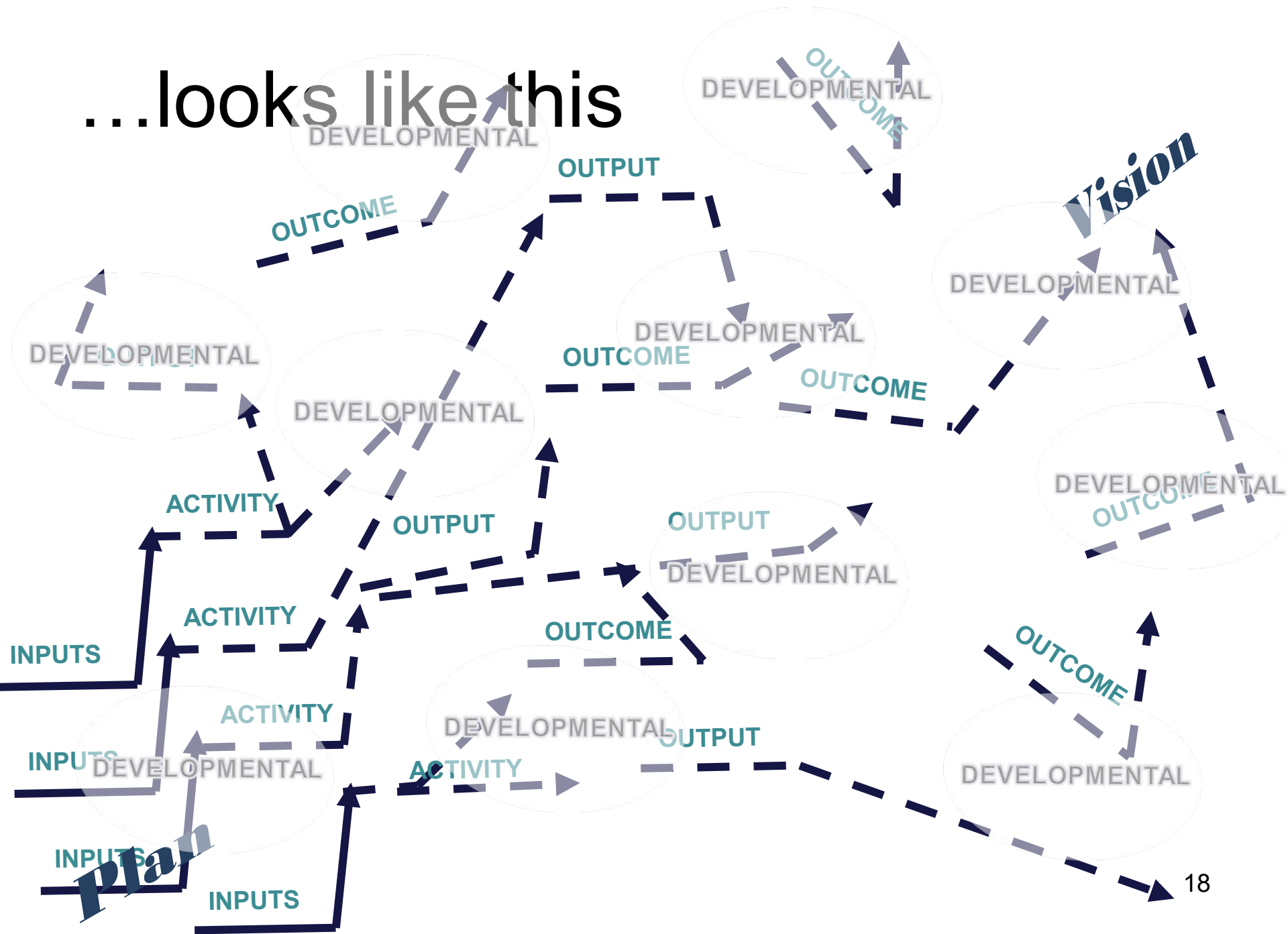
And this...



Turns out to be this...



...looks like this



Uncertainty and Emergence

“No battle plan ever survives contact with the enemy.”

Field Marshall Helmuth
Carl Bernard von Moltke

“Everyone has a plan...until he gets hit.”

Former World Heavyweight
boxing champion, Mike Tyson

Tom Peters (1996) *Liberation Management* :

“READY. FIRE. AIM.”

Improvement **versus** **Development**

Check-in Question #1

A leadership program increases the break times from 15 minutes to 30 minutes to allow more time for informal participant interaction. Is this...

1. An improvement
2. A development

Check-in Question # 2

An employment program designed for and offered to secondary school drop-outs opens up to immigrants from other countries. Is this...

1. An improvement
2. A development

Improvements versus developments

Program Improvements	Program Developments
1. Add a new topic to a training curriculum.	1. Change the entire scope, sequence and delivery of the curriculum for a new target group.
2. Provide staff training to enhance the skills of current staff.	2. Change job descriptions and re-conceptualize the priorities, qualifications and needed competencies of staff.
3. Expand the recruitment effort to a wider target area.	3. Fundamentally change the recruitment strategy, for example, instead of direct advertising working through referral agencies.

Improvements versus developments

4. Expanding the staff to serve increasing numbers under the same basic model.	4. Adding staff to significantly change the staff-participant ratio in order to provide more individualized and intensive attention to participants.
5. Fine-tune the program delivery based on participant feedback, for example, providing longer breaks and more small group exercises to supplement lectures during training workshops.	5. Replacing face-to-face workshop training with exclusively on-line training and support.
6. Add healthier food to children's pre-school program lunches.	6. Make lunch an educational experience engaging with children about food and nutrition, involving them in food preparation, and giving them homework assignments related to home nutrition.

Small group exercise

Distinguishing improvement from development

In an area of your expertise, distinguish what would constitute a program improvement from a program development.

AES Best Evaluation Policy and Systems Award

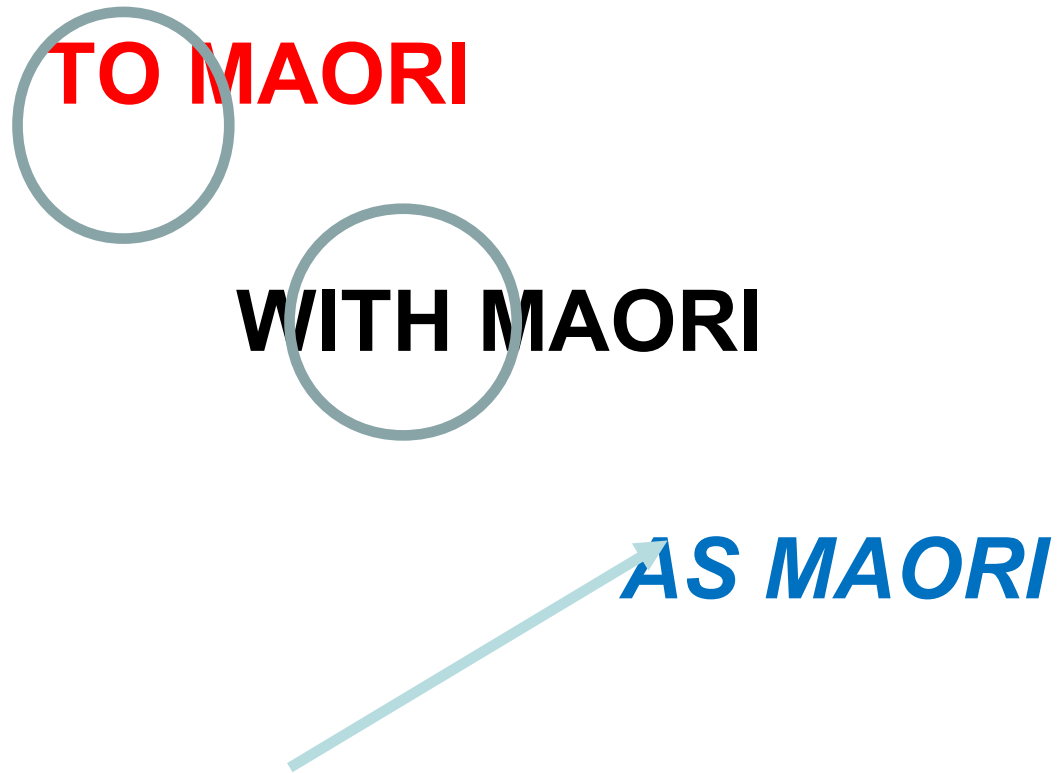
Recognizes work developing the best evaluation policy, integrated evaluation system, evaluation program, framework and/ or implementation of evaluation policies, systems, programs or frameworks. Also recognizes work undertaken in partnership with clients or users who have championed the evaluation and 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



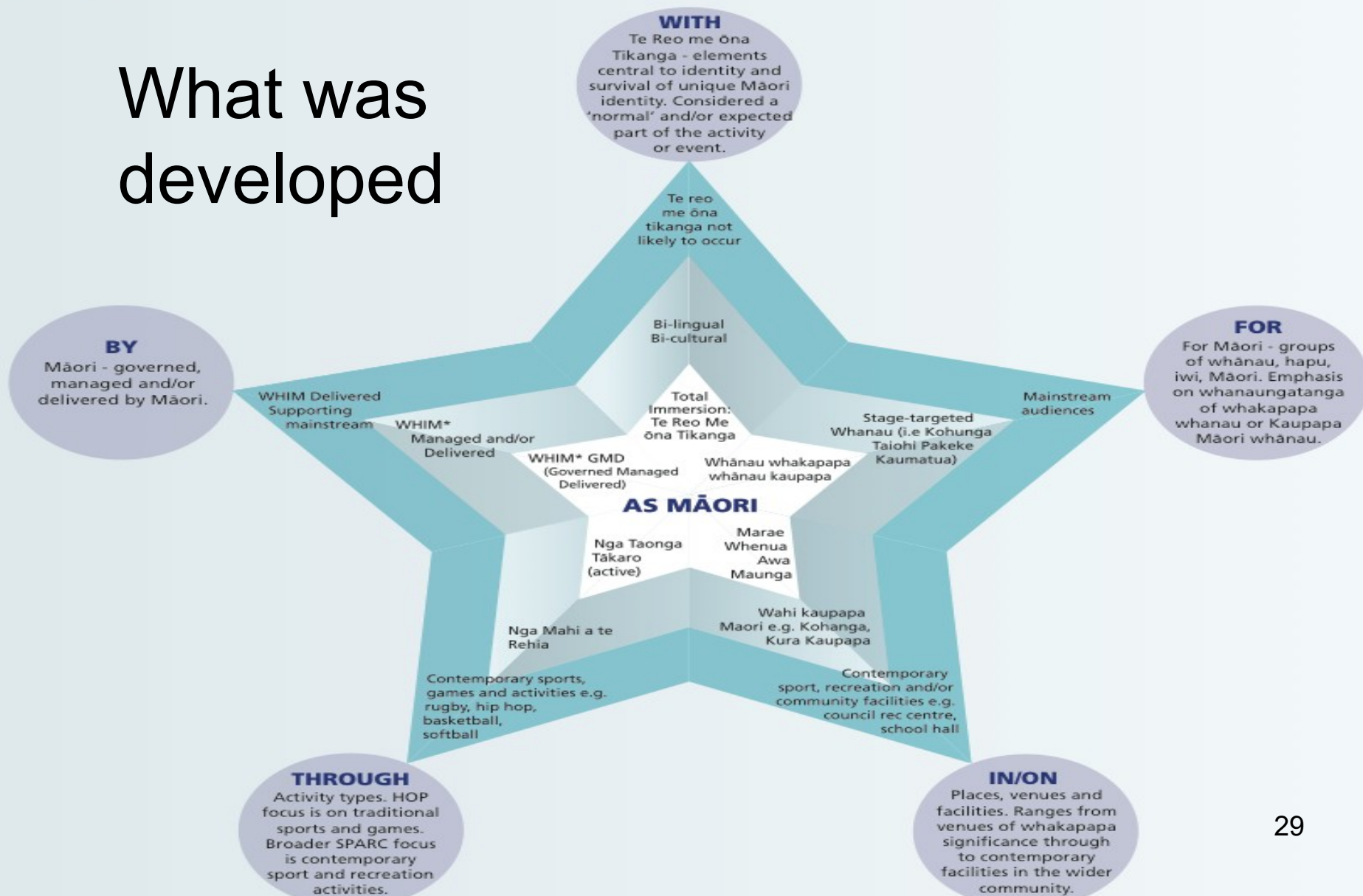
He Oranga Poutama Developmental Evaluation



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

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

What was developed





Our learning about DE

- DE is responsive to culture and cultural context
- As an evaluation approach it is a cultural chameleon in that it takes on and is sensitive to local context
- It is not method prescriptive, so it is able to sit comfortably within an Indigenous values base
- It allows evaluation to affirm and privilege indigenous language (te reo Māori), cultural practices (tikanga Māori), concepts and knowledge (whakaaro).

Developmental Evaluation Defined

Purpose: Developmental evaluation (DE) informs and supports innovative and adaptive **development** in complex dynamic environments.

DE brings to innovation and adaptation the processes of asking evaluative questions, applying evaluation logic, and gathering and reporting evaluative data to support project, program, product, and/or organizational **development** with timely feedback.

Key DE Characteristics

- Focus on *development* (versus improvement, accountability or summative judgment)
- Takes place in complex dynamic environments
- Feedback is rapid (as real time as possible).
- The evaluator works *collaboratively* with social innovators to conceptualize, design and test new approaches in a long-term, on-going process of adaptation, intentional change, and *development*.

Key DE Characteristics

- The DE evaluator can be part of the intervention team.
- The evaluator's primary functions are to elucidate the innovation and adaptation processes, track their implications and results, and facilitate ongoing, real-time, data-based decision-making in the developmental process.
- DE becomes part of the intervention.

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."

Conditions that challenge traditional model-testing evaluation

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



**Adaptive
Management
and
Developmental
Evaluation**

Purposes

Purpose

Challenge

Implications

1	Ongoing development	Implemented in complex & dynamic environment	No intention of becoming fixed; identifies effective principles
2	Adapting effective principles to new contexts	Innovative initiatives: Develop 'their own' version	Knowledge disseminated; sensitivity to context, capabilities & priorities

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 scaling of
“proven models” with

Fidelity Evaluation

versus

Bottoms-up adaptive management
and

Developmental Evaluation

Models vs. Principles

Identifying proven principles for
adaptive management
(bottoms-up approach)

versus

Identifying and disseminating
proven models
(top down approach)

5 Purposes

Purpose

Challenge

Implications

3	Pre-formative development of model	Dynamic situations require innovative solutions; Model does not exist	New models move into evaluation & others remain developmental
4	Major cross-scale developmental evaluation	Disrupt existing system; scale & systems change add levels of complexity	Adaptive cross-scale innovations assume complex dynamics: agility, responsiveness

Harvard Center for the Developing Child

FOI consists of three primary components:

1.Science that provides a continuous pipeline of discoveries and hypotheses (from the biological, behavioral, and social disciplines) that are communicated effectively for application in policy and practice.

2.Intervention Strategies that are designed, tested, and refined through the Translational Science Model, often within the context of an “innovation cluster.” They include small-scale pilots as well as strategies for increasing the population impacts of large-scale, evidence-based interventions.

3.A Learning Community that includes people and organizations united by a common vision, engaged in shared learning to accelerate innovation, promoting early adoption of promising strategies, and testing pathways to impact at scale.

5 Purposes

Purpose

Challenge

Implications

5. Developing a rapid response in turbulent environment:

Existing responses no longer effective as conditions change:

Planning, execution & evaluation occur simultaneously.

natural disasters,
civil unrest,
political turmoil,
famine.../

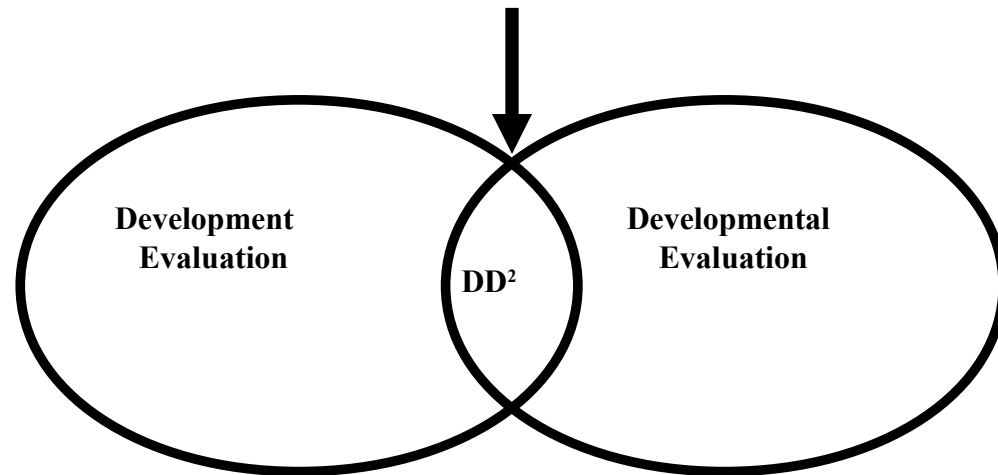
turbulence,
instability,
dynamic,
high uncertainty.../

Rapid feedback,
adaptation, & agile
responses.

Other names

- Real time evaluation
- Emergent evaluation
- Action evaluation
- Adaptive evaluation

**DD² = Developmental evaluation used
for development evaluation**

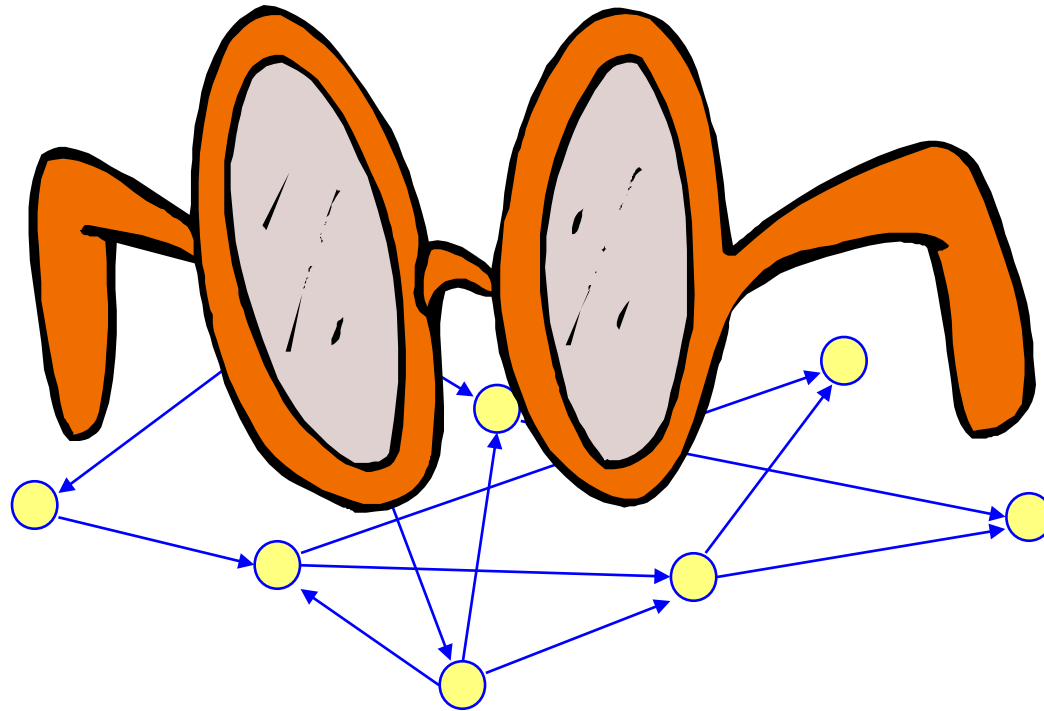


Challenges:

**Situation
Recognition
and
Appropriate
Evaluation
Designs**

The nature of **EXPERTISE**

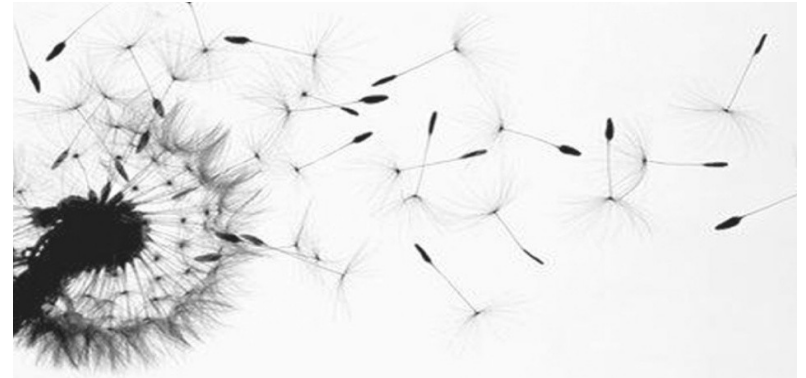
Seeing Through A Complexity Lens



"You don't see something until you have the right metaphor to let you perceive it". Thomas Kuhn ₄₇

***Getting to Maybe:
How the World Is
Changed?***

Frances Westley,
Brenda Zimmerman,
Michael Q. Patton
Random House
Canada, 2006



THIS BOOK IS FOR THOSE WHO ARE NOT HAPPY WITH THE WAY THINGS ARE AND WOULD LIKE TO MAKE A DIFFERENCE. THIS BOOK IS FOR ORDINARY PEOPLE WHO WANT TO MAKE CONNECTIONS THAT WILL CREATE EXTRAORDINARY OUTCOMES. THIS IS A BOOK ABOUT MAKING THE IMPOSSIBLE HAPPEN. GETTING TO MAYBE: HOW TO CHANGE THE WORLD.

“A Leader's Framework for Decision Making” by David J. Snowden and Mary E. Boone, *Harvard Business Review*,

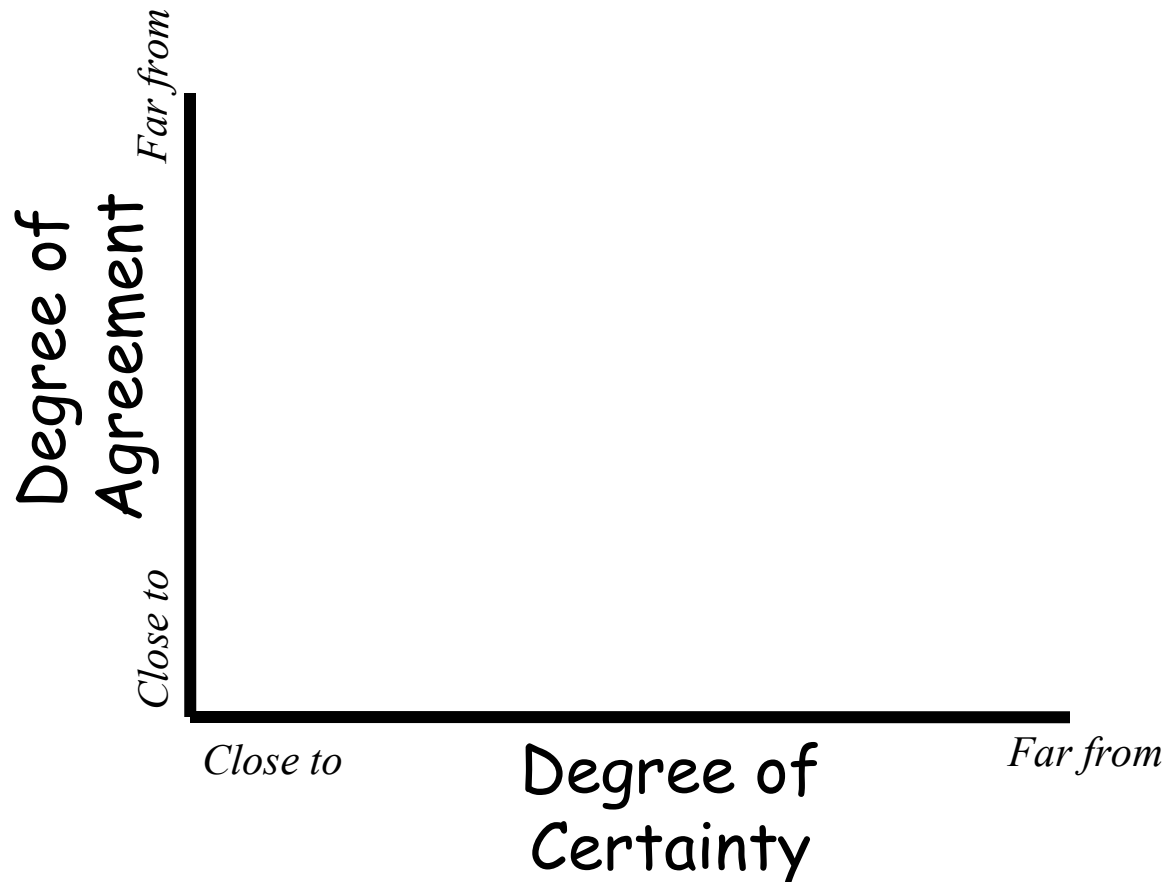
November, 2007:

Wise executives tailor their approach to fit the complexity of the circumstances they face.

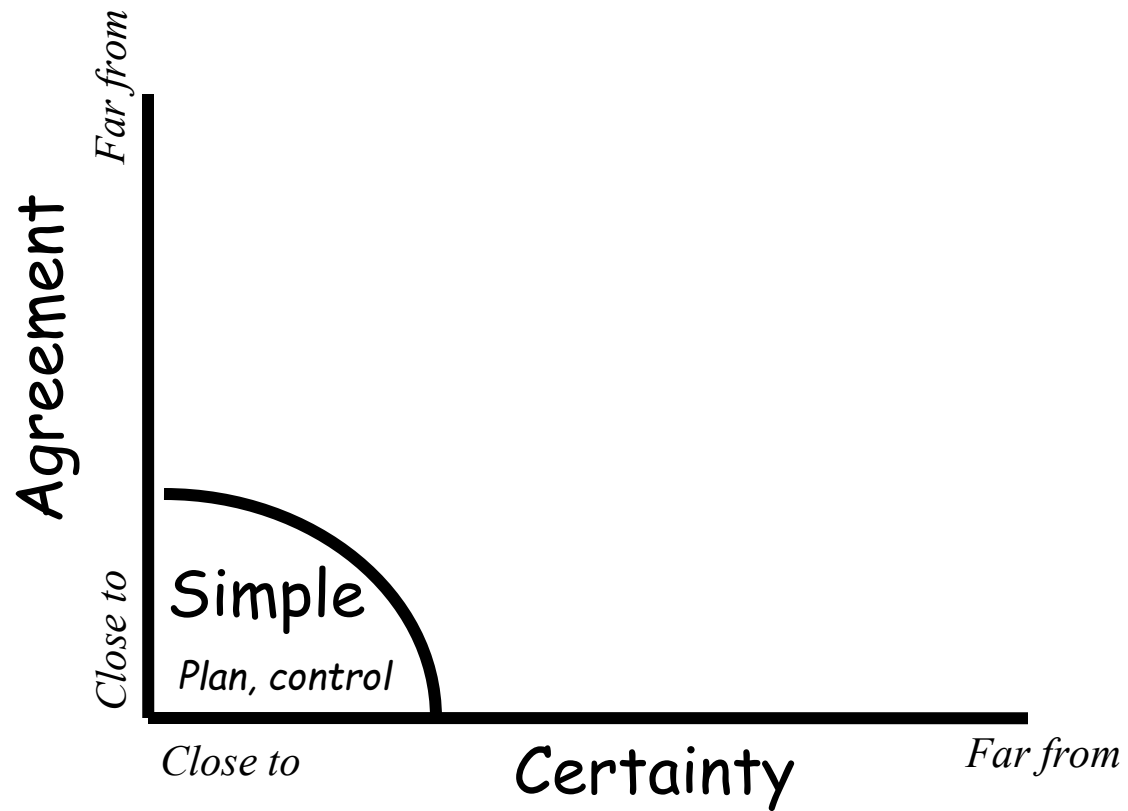
Conceptual Options

- **Simple**
- **Complicated**
- **Complex**

Situation Analysis Matrix: Mapping the Territory



Simple Space



Simple

Following a Recipe

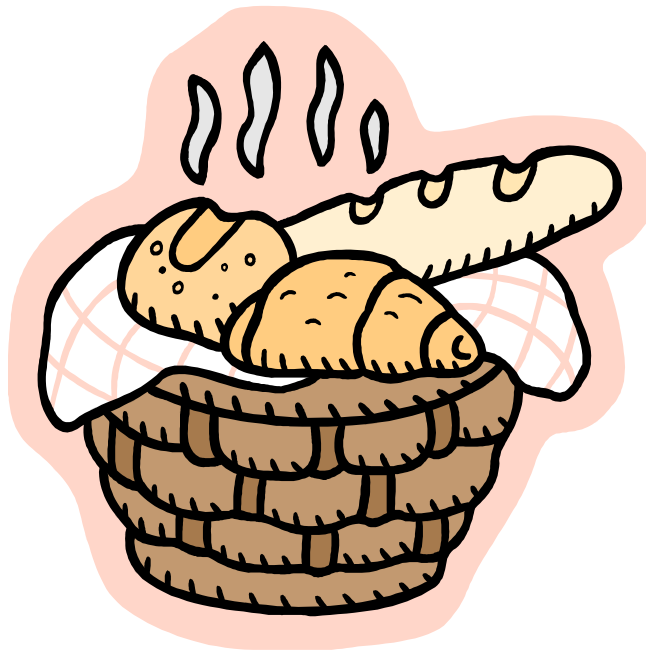
- **The recipe is essential**
- **Recipes are tested to assure replicability of later efforts**
- **No particular expertise; knowing how to cook increases success**
- **Recipes produce standard products**
- **Certainty of same results every time**

Complicated

A Rocket to the Moon

Complex

Raising a Child

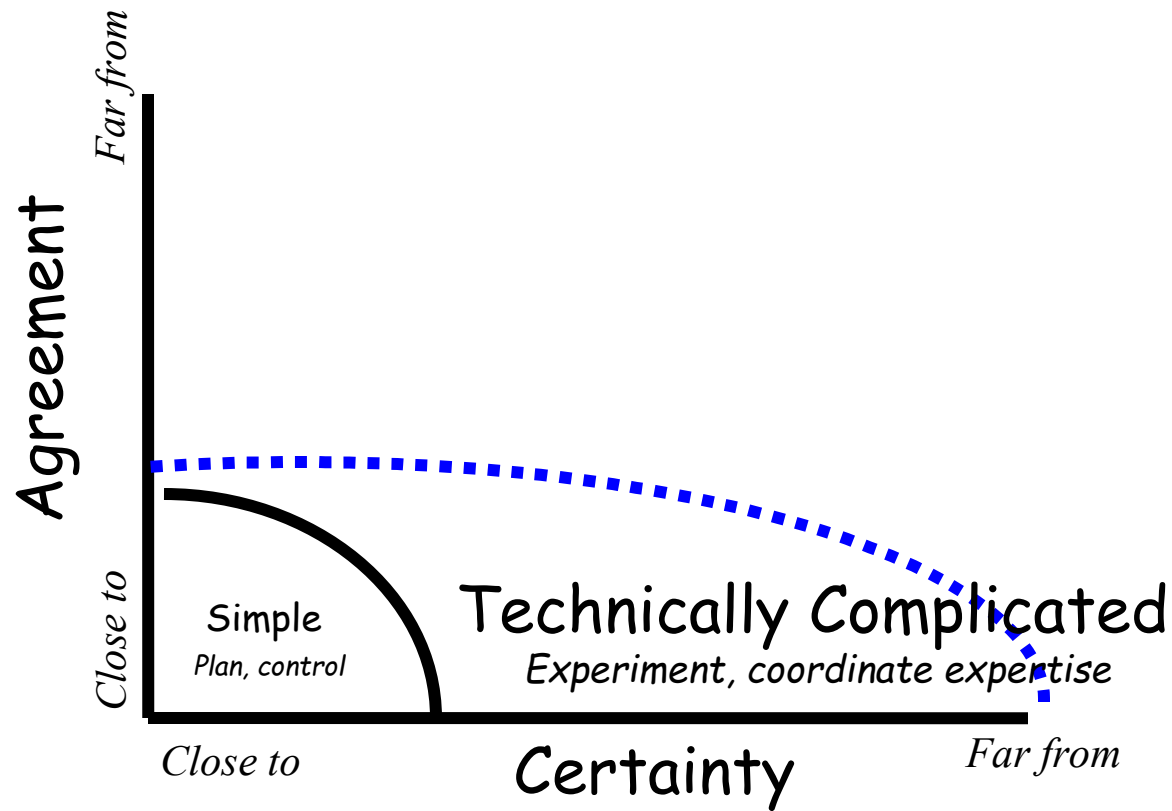


POLIO GLOBAL
ERADICATION
INITIATIVE



every last child

Technically Complicated



Simple

Following a Recipe

- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipes produce standard products
- Certainty of same results every time

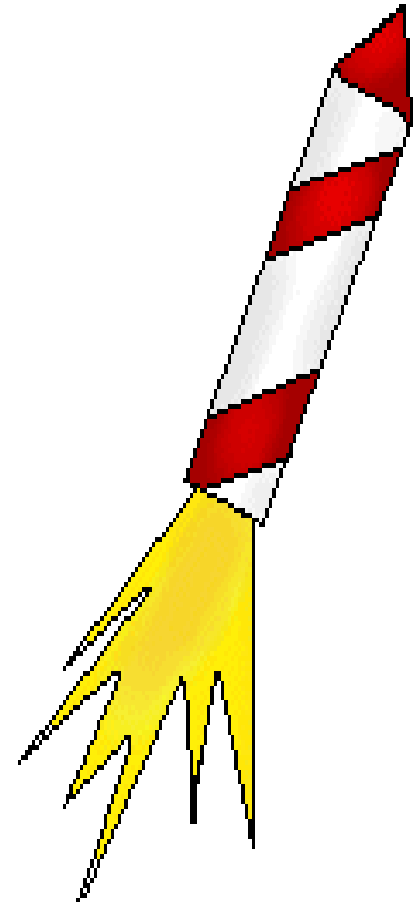
Complicated

A Rocket to the Moon

- Formulae are critical and necessary
- Sending one rocket increases assurance that next will be ok
- High level of expertise in many specialized fields + coordination
- Rockets similar in critical ways
- High degree of certainty of outcome

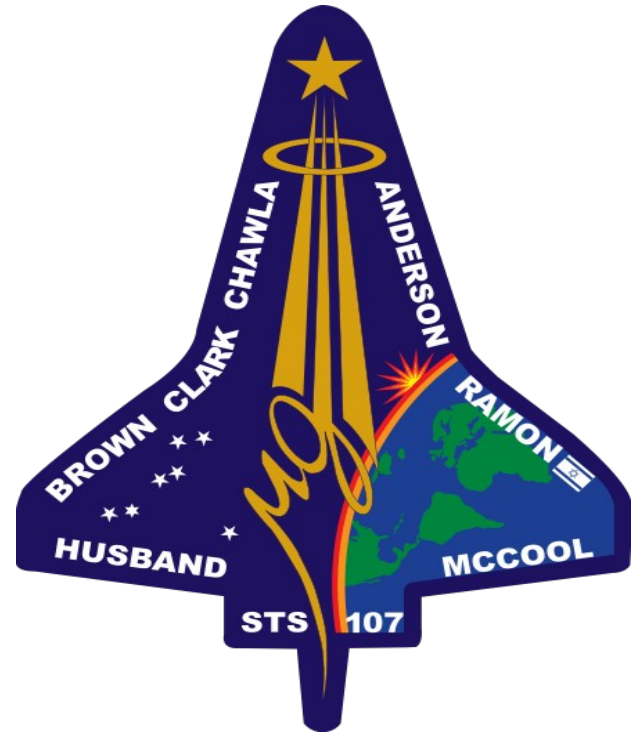
Complex

Raising a Child

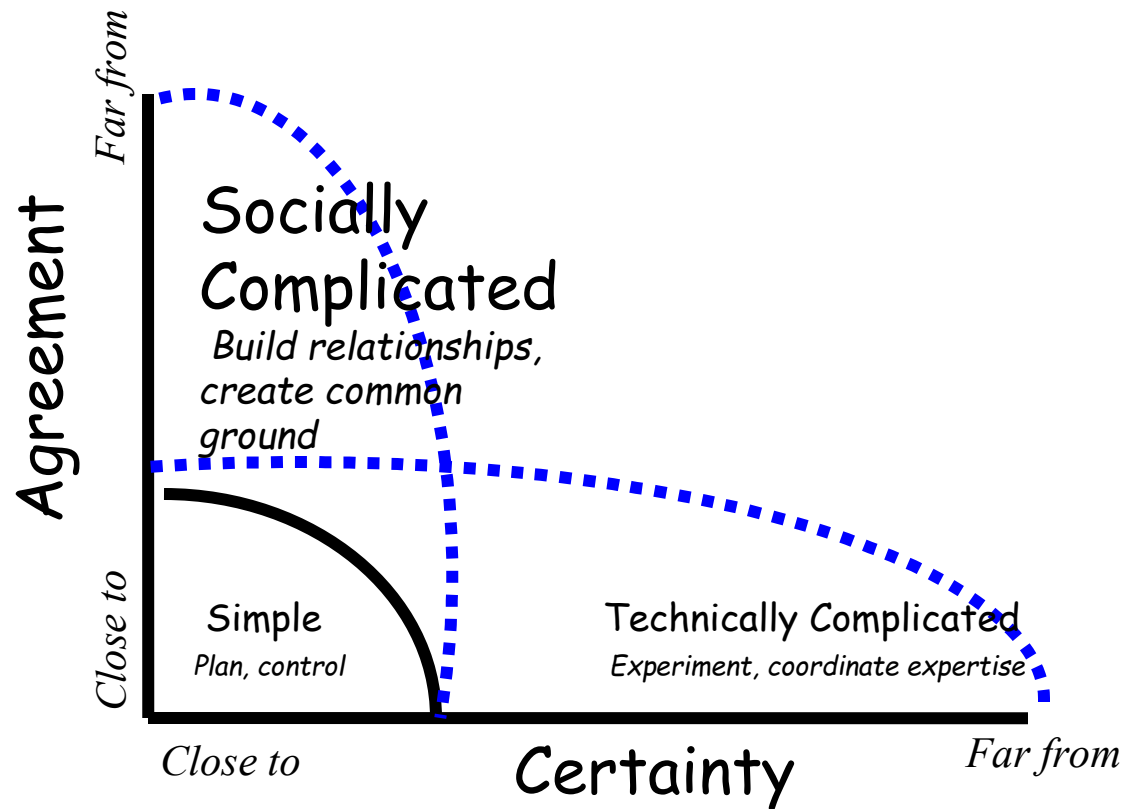


Space Shuttle Disasters

- *Challenger* disaster
January 28, 1986
- *Columbia* disaster
February 1, 2003



Socially Complicated



Socially complicated

Implementing human rights agreements, like gender equity or outlawing child labor

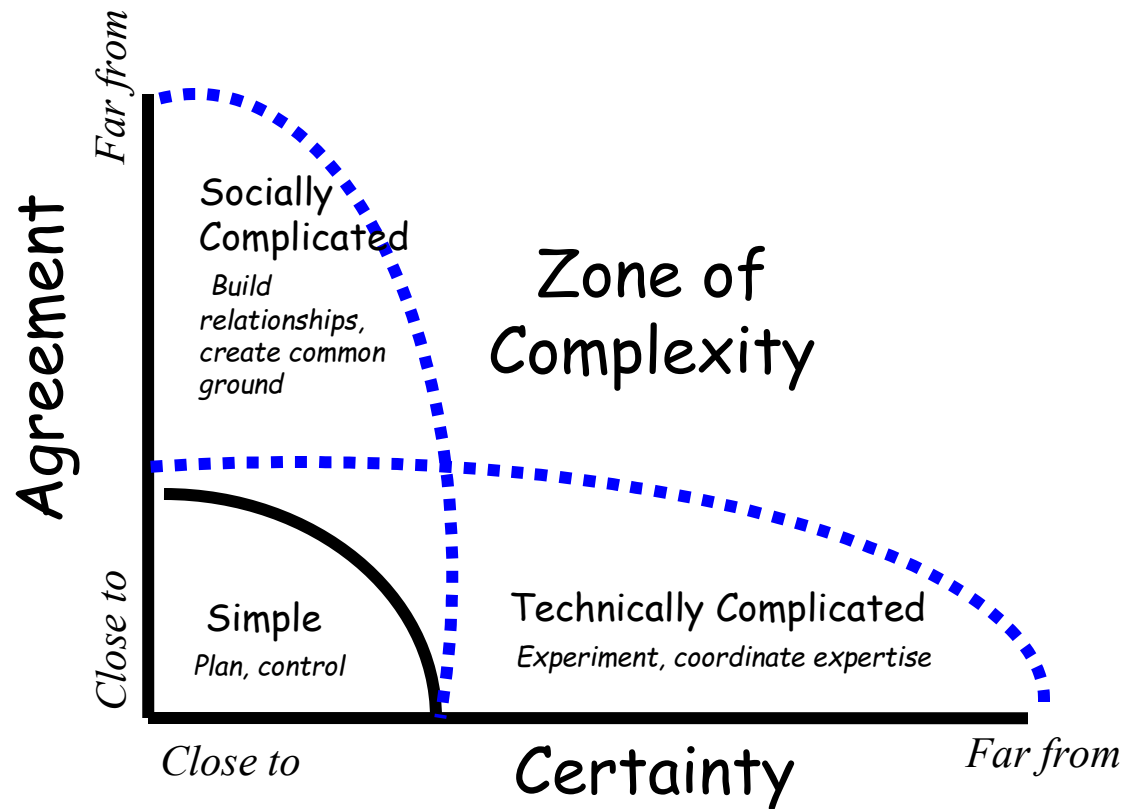
Environmental Initiatives

- ❖ **Many different and competing stakeholders**
- ❖ **Diverse vested interests**
- ❖ **High stakes**

Socially complicated situations

**pose the challenge
of coordinating and
integrating
many players**

Know When Your Challenges Are In the Zone of Complexity



Simple

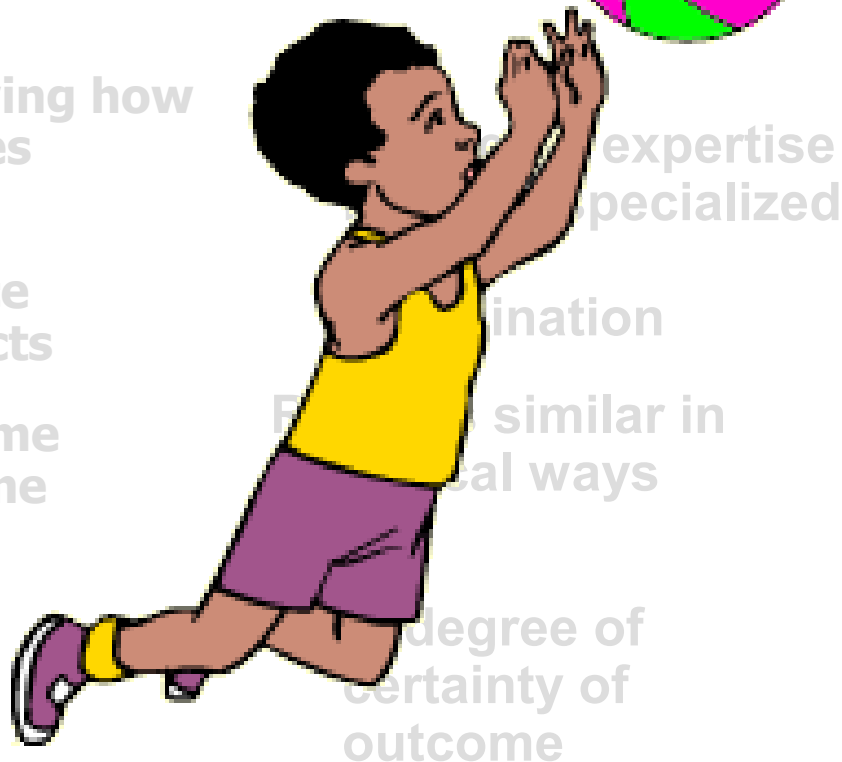
Following a Recipe

- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipes produce standard products
- Certainty of same results every time

Complicated

A Rocket to the Moon

Sending one rocket increases assurance that next will be on



expertise specialized

ination

similar in
cal ways

degree of
certainty of
outcome

Complex

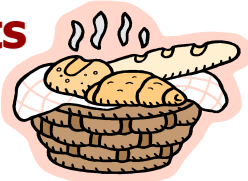
Raising a Child

- Formulae have only a limited application
- Raising one child gives no assurance of success with the next
- Expertise can help but is not sufficient; relationships are key
- Every child is unique
- Uncertainty of outcome remains

Simple

Following a Recipe

- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipe notes the quantity and nature of "parts" needed
- Recipes produce standard products
- Certainty of same results every time



Complicated

A Rocket to the Moon

- Formulae are critical and necessary
- Sending one rocket increases assurance that next will be ok
- High level of expertise in many specialized fields + coordination
- Separate into parts and then coordinate
- Rockets similar in critical ways
- High degree of certainty of outcome



Complex

Raising a Child

- Formulae have only a limited application
- Raising one child gives no assurance of success with the next
- Expertise can help but is not sufficient; relationships are key
- Can't separate parts from the whole
- Every child is unique
- Uncertainty of outcome remains



“A Leader's Framework for Decision Making” by David J. Snowden and Mary E. Boone, *Harvard Business Review*,

November, 2007:

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*

Contingency-based Evaluation

- Situational analysis & responsiveness
- Context sensitivity
- Clarify and focus on intended users: stakeholder analysis
- Clarify and focus on intended uses
- Methodological appropriateness
- Criteria for evaluating the evaluation: credibility, meaningfulness

Example

The McGill-McConnell Leadership Program Example

Simple elements

Complicated elements

Complex elements

Simple outcomes

- **Increase knowledge and skills of participants**

Evaluation: Pre-post data and documentation of learning

Complicated Impacts

- **Change participants' organizations**

Evaluation:
Case studies
of
organizational change

Complex Vision

- Infuse energy into the moribund not-for-profit (voluntary) sector
- Make the sector more dynamic
- Create network of leaders who actively engage in change

Evaluating the Complex

- **Real time follow-up of network connections and actions**
- **Follow-up is an intervention**
- **Rapid feedback of findings permits infusion of resources in support of emergent outcomes**

Table practice exercise

Identify an intervention (program, policy, initiative) in your arena of expertise:

What aspects are...

simple?

complicated?

complex?

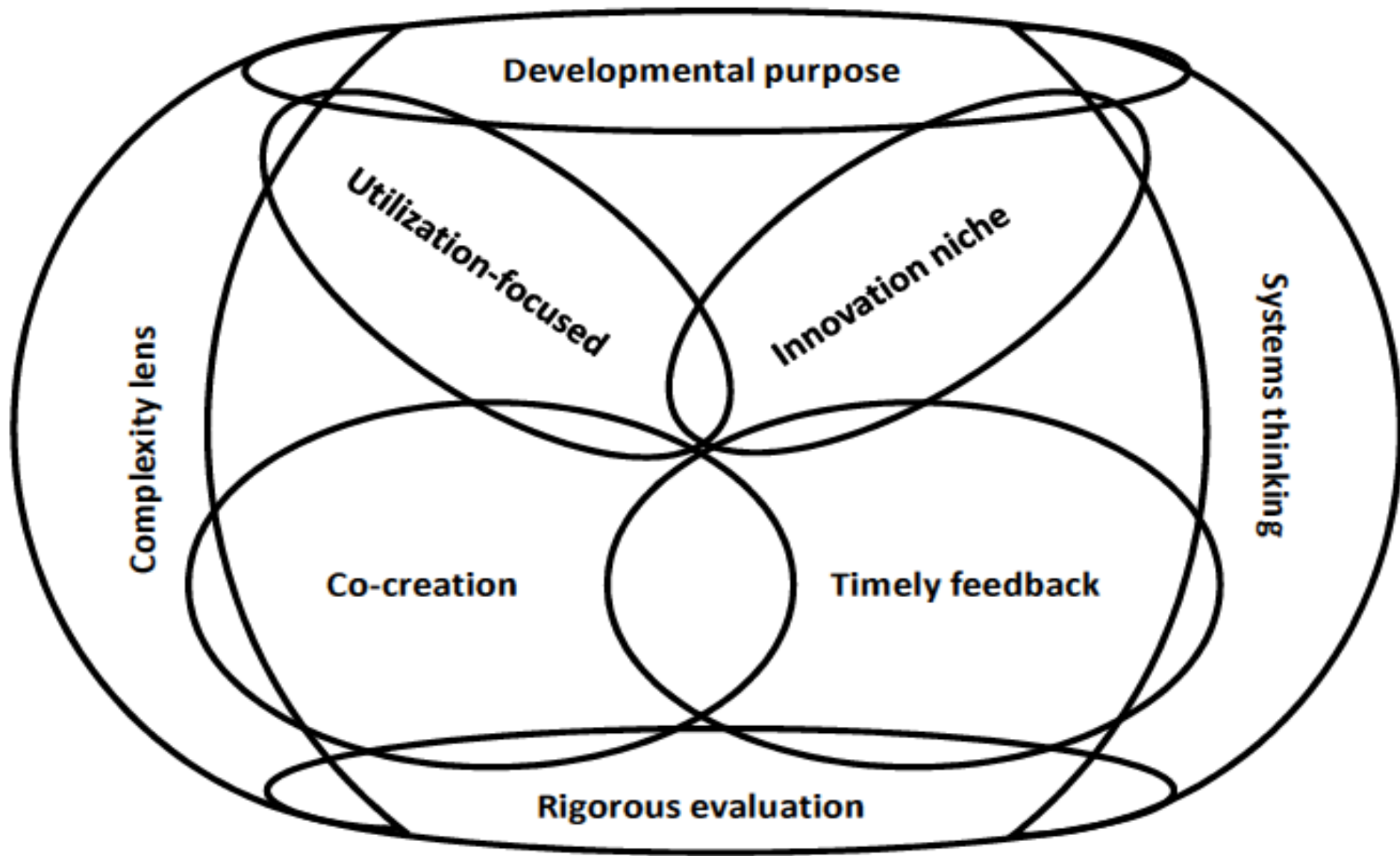
DE Situations

- Peace and conflict mitigation
- Community-based collaborations
- Volatile issues: Immigration
- Advocacy campaigns
- New disease outbreaks: Ebola, Zika
- Spread of new technologies
- Collaborations of all kinds
- Systems changes

The 8 Essential Principles of Developmental Evaluation

DE Principles

- 1. Developmental purpose***
- 2. Evaluation rigor***
- 3. Utilization focus***
- 4. Innovation niche***
- 5. Complexity perspective***
- 6. Systems thinking***
- 7. Co-creation***
- 8. Timely feedback***

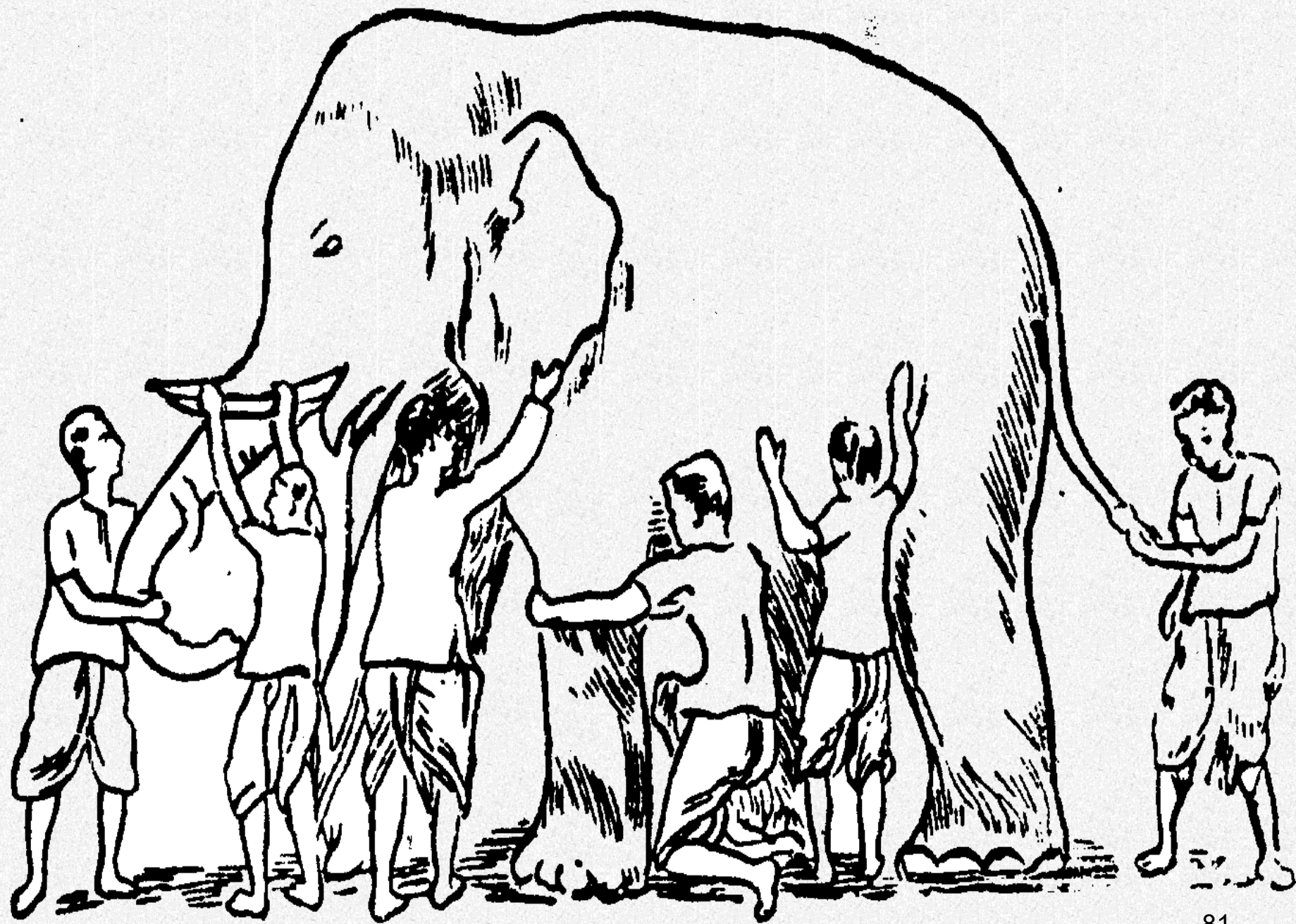


Systems Change



Understanding the Elephant from a Systems Perspective





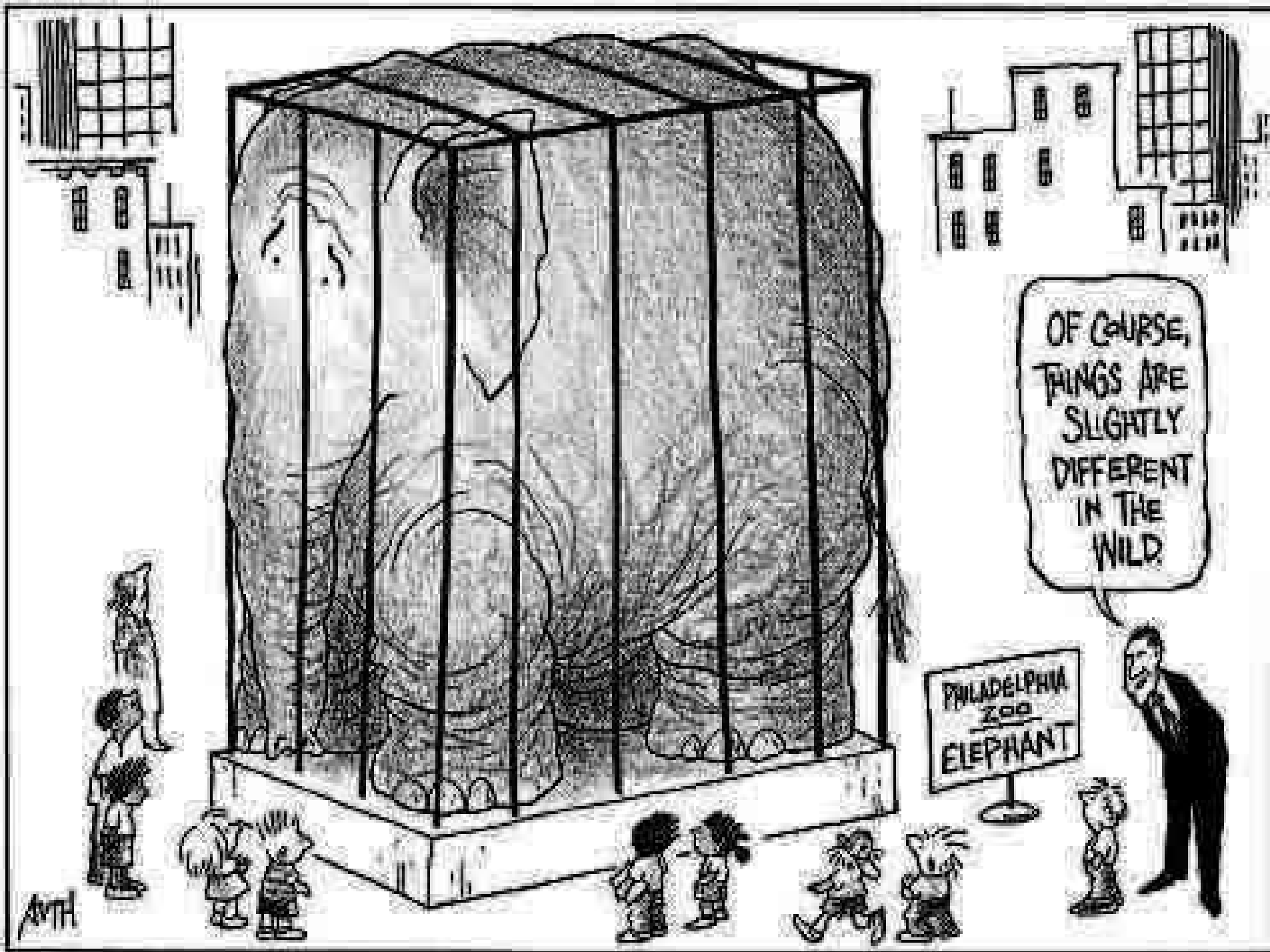












The relationship between what goes in and what comes out



What
conceptual
framework
informs
front-end
evaluation
work?

Teen Pregnancy Program Example

Logic Model for Pregnant Teens Program

1. Program reaches out to pregnant teens



2. Pregnant teens enter and attend the program (participation)



3. Teens learn prenatal nutrition and self-care (increased knowledge)



4. Teens develop commitment to take care of themselves and their babies (attitude change)

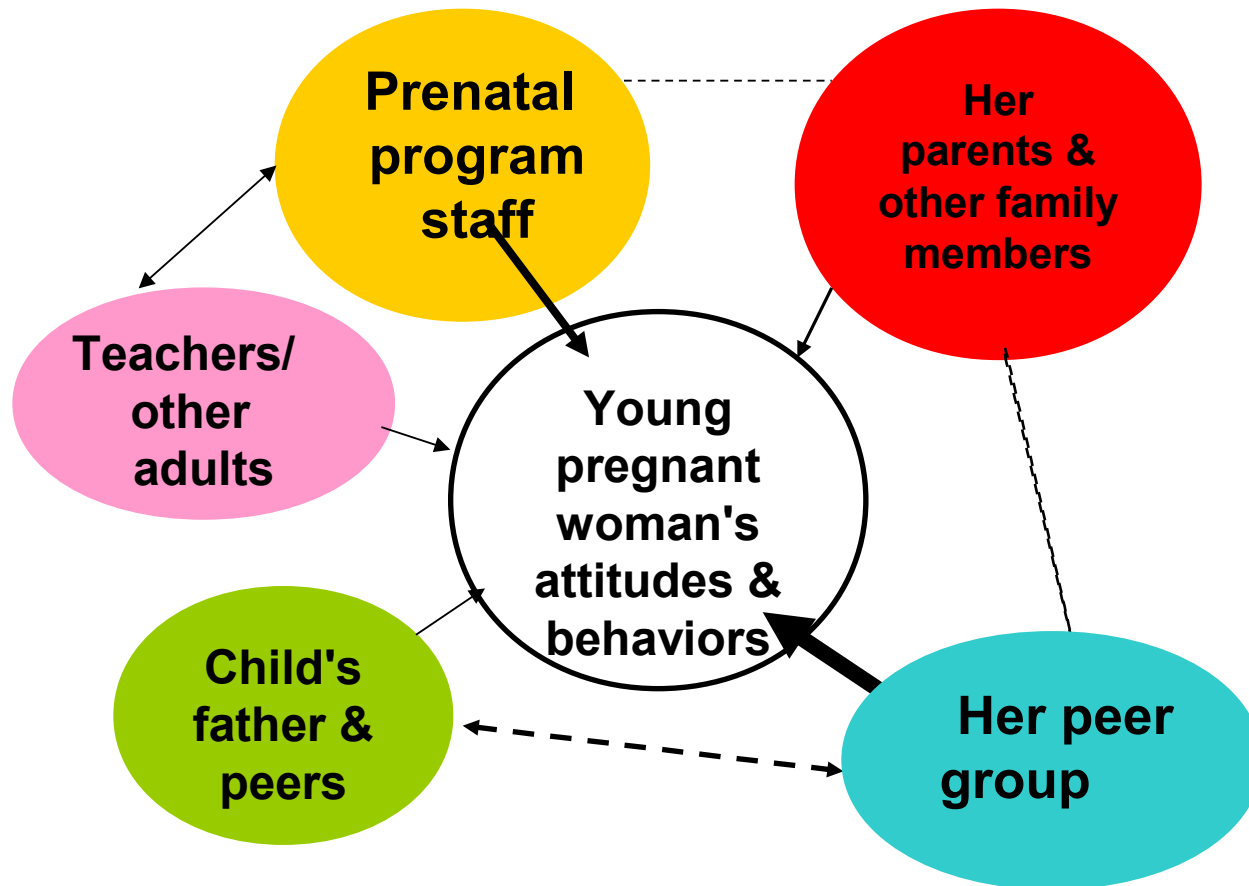


5. Teens adopt healthy behaviors: no smoking, no drinking, attend prenatal clinic, eat properly (behavior change)

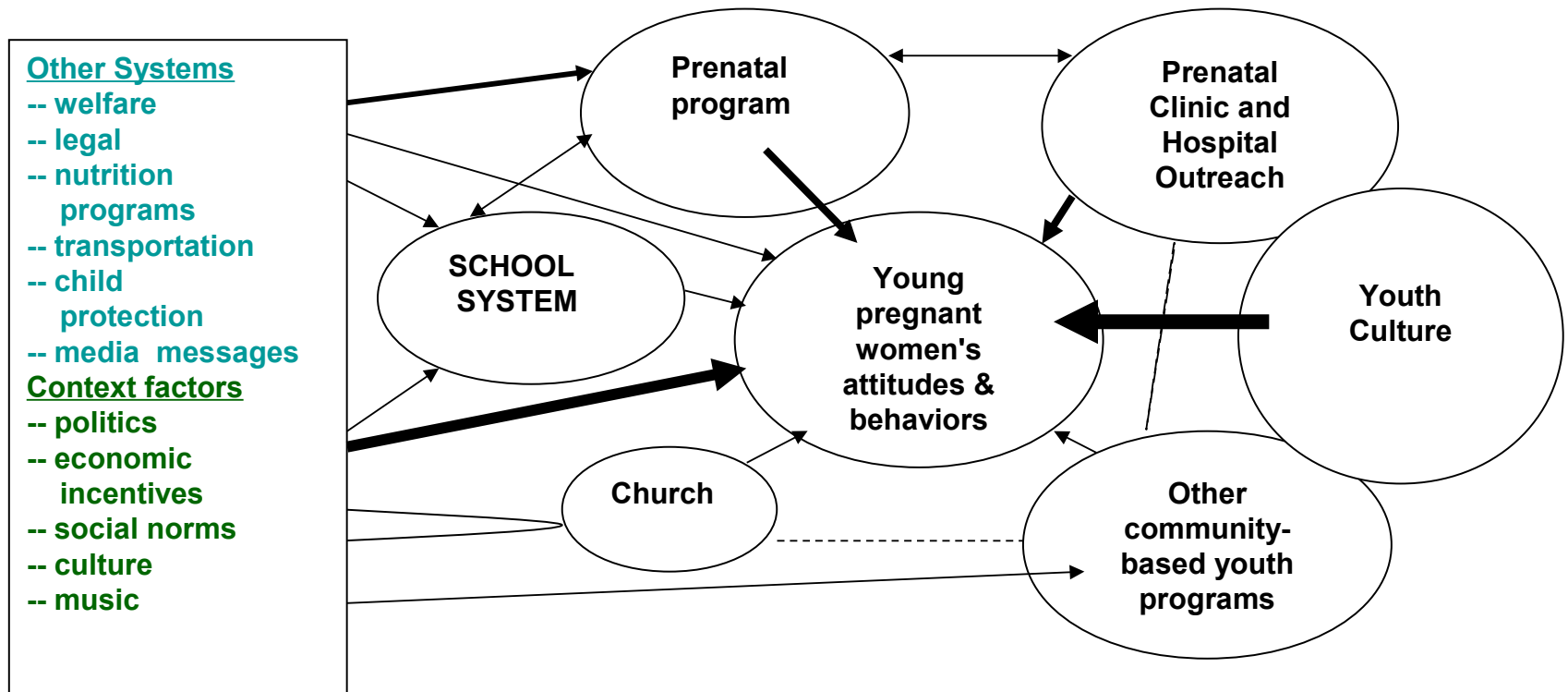


6. Teens have healthy babies (desired outcome)

Systems web showing possible influence linkages to a pregnant teenager



Program systems web showing possible institutional influences affecting pregnant teenagers:



Police and sleep apnea

- Bangladesh examples

Using Different System Lenses to Understand a “*particular*” System

Biologic System

- Emergence
- Coordination/synergy
- Structure, Process, Pattern
- Vitality

Economic System

- Inputs/Outputs
- Cost/Waste/Value/Benefits
- Customers/Suppliers

Political System

- Power
- Governance
- Citizenship
- Equity

Sociologic System

- Relationships
- Conversations
- Interdependence
- Loose-tight coupling
- Meaning/sense

SYSTEM DIMENSIONS

Anthropologic System

- Values
- Culture/Milieu

Mechanical / Physical System

- Flow
- Temporal Sequencing
- Spatial Proximities
- Logistics
- Information

Psychological System

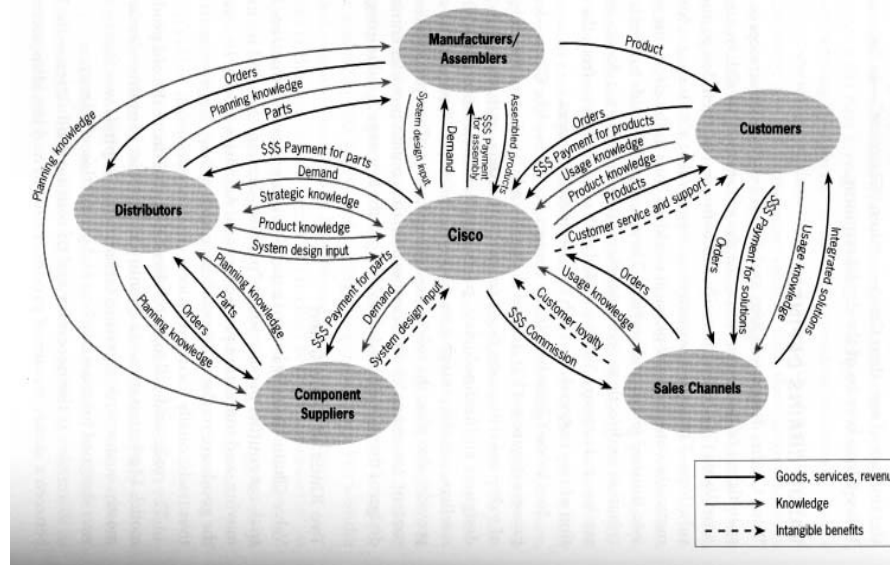
- Organizing
- Forces Field
- Ecological/Behaviour Settings

Information System

- Access
- Speed
- Fidelity/utility
- Privacy/security
- Storage

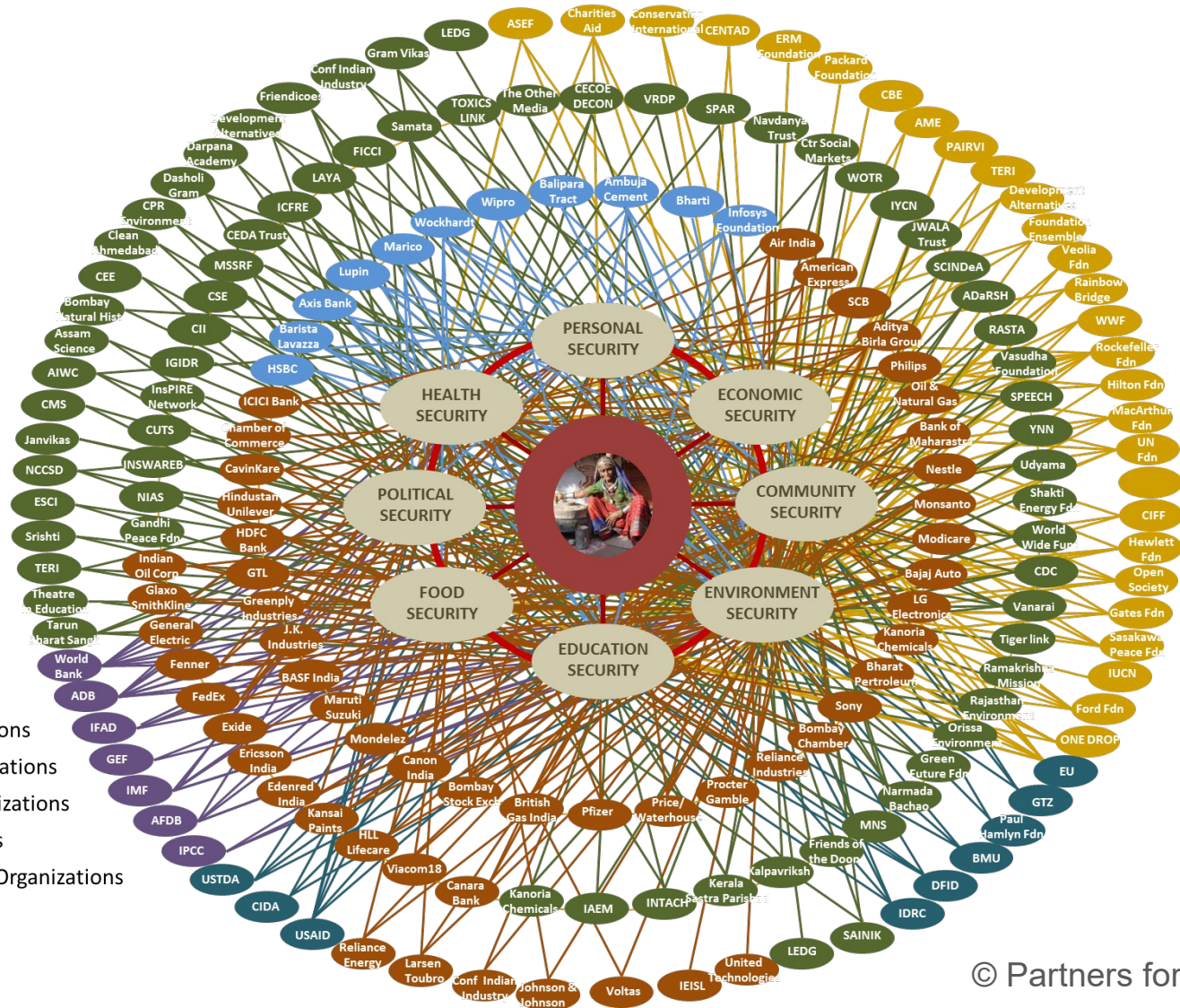
Map Systems as Webs

FIGURE 4-1 Cisco Value Map

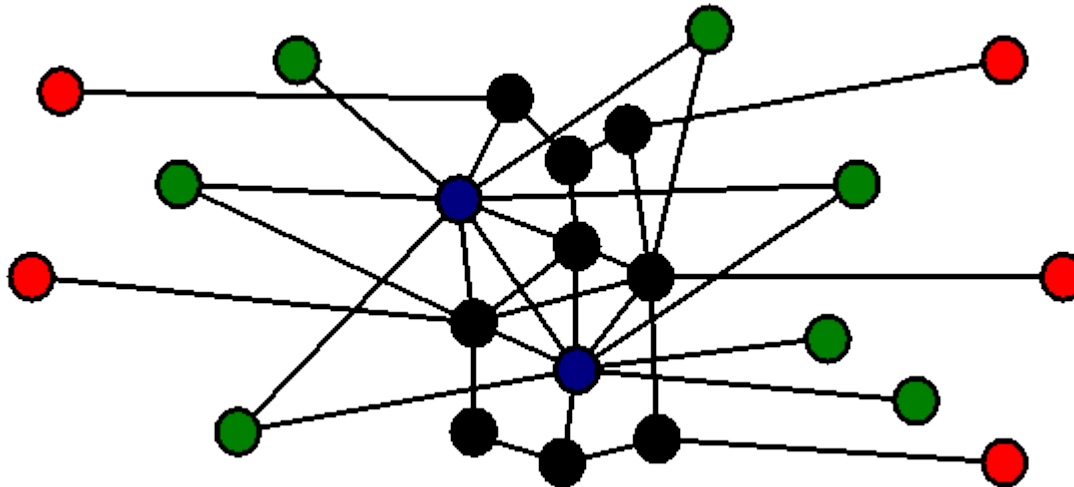


Source: Digital Capital: Harnessing the Power of Business Webs,
By Don Tapscott, David Ticoll and Alex Lowy

Stakeholders



Complex Dynamic Systems Configuration



HIV/AIDS Example

- Hits every system: health, family, social, religious, economic, political, community, international
- Requires multiple interventions on multiple fronts in all subsystems simultaneously
- Resulting reactions, interactions, consequences dynamic, unpredictable, emergent, and ever changing

Global Economic Complexity

Alan Greenspan, Final speech to world's
Central Bankers, Jackson Hole, Wyoming
August 26, 2005

- “In the absence of a single variable, or at most a few, that can serve as a reliable guide, policymakers have been forced to fall back on an approach that entails the interpretation of the full range of economic and financial data.”

- “Despite extensive efforts to capture and quantify what we perceive as the key macroeconomic relationships, our knowledge about many critical linkages is far from complete and, in all likelihood, will remain so. Every model, no matter how detailed or how well conceived, designed, and implemented, is a vastly simplified representation of the world, with all of the intricacies we experience on a day-to-day basis.”

- “We all temper the outputs of our models and test their results against the ongoing evaluations of a whole array of observations that we do not capture in either the data input or the structure of our models. We are particularly sensitive to observations that appear inconsistent with the causal relationships of our formal models.”

Oct 8, 2007 on *The Daily Show*

“I was telling my colleagues the other day...I’d been dealing with these big mathematical models for forecasting the economy, and I’m looking at what’s going on the last few weeks and I say, “Y’know, if I could figure out a way to determine whether or not people are more fearful, or changing to euphoric... I don’t need any of this other stuff. I could forecast the economy better than any way I know. The trouble is, we can’t figure that out. I’ve been in the forecasting business for 50 years, and I’m no better than I ever was, and nobody else is either.” Alan Greenspan.

***The Age of Turbulence: Adventures in a
New World, 2007, by Alan Greenspan***

Dealing with the Unexpected and Unpredicted

Creative Challenge

Situational adaptability:

- Contingency-based evaluation
- Appropriateness
 - Using standard forms of evaluation
and
 - Going beyond standard forms
when appropriate and useful

Being Open: How hard is this to do?

My Colorado experience....

“The range of what we think and do is limited by what we **fail** to notice. And **because** we fail to notice **that** we fail to notice, there is little we can do to change, **until** we notice how failing to notice shapes our thoughts and deeds.”

Scottish psychiatrist, R. Laing

Paradigms and Lenses

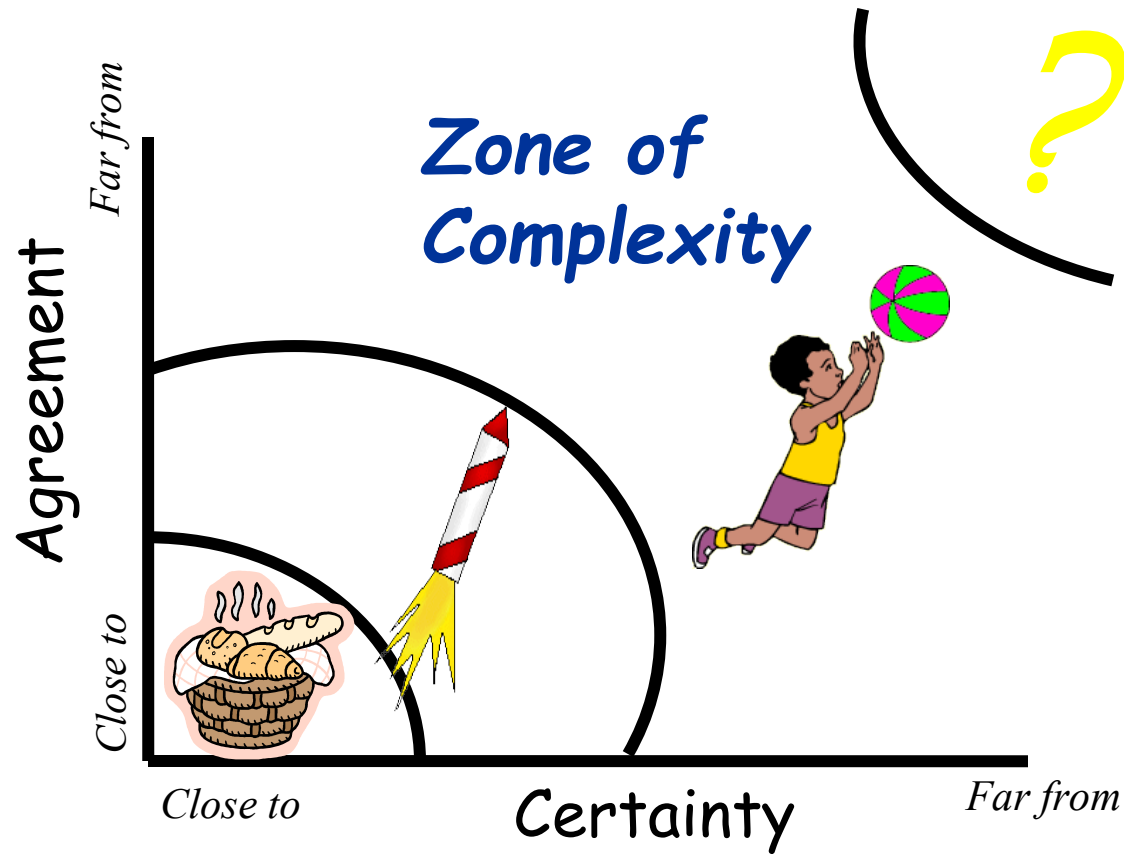
- **The importance of interpretive frameworks**
- **Complexity as an interpretive framework**

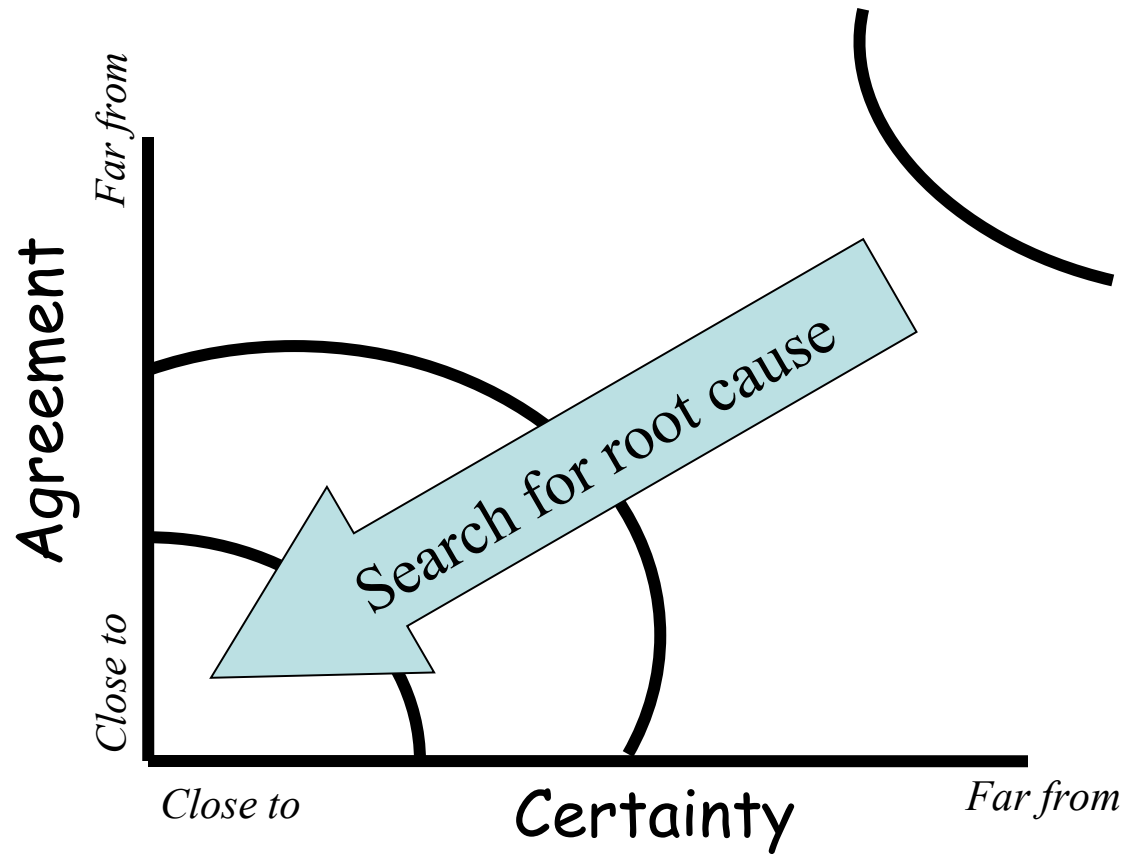
***Getting to Maybe:
How the World Is
Changed?* 2006**

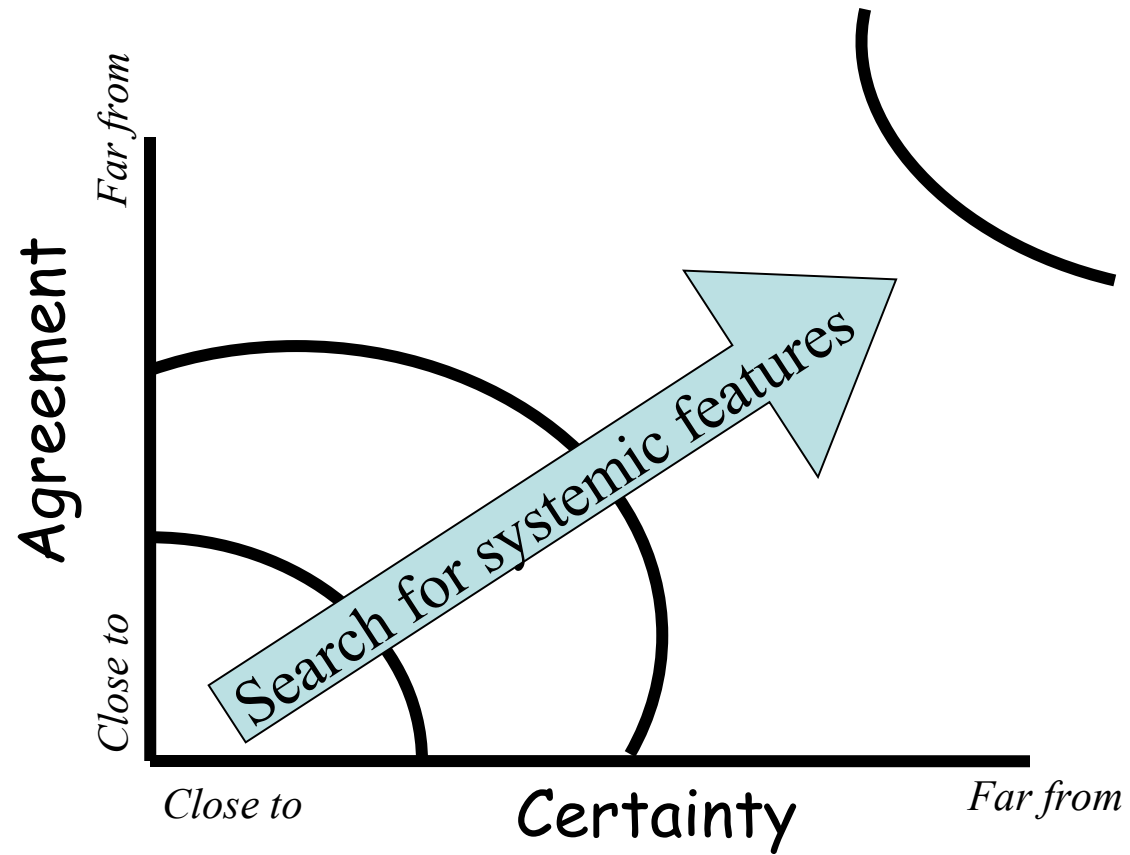
Frances Westley, Brenda
Zimmerman, Michael Q. Patton
Random House Canada,

Complex Situations

- **Highly emergent (difficult to plan and predict)**
- **Highly dynamic, rapidly changing**
- **Relationships are interdependent and non-linear rather than simple and linear (cause-effect)**







Contingency-based Developmental Evaluation

Improvement **versus** **Development**

Beyond
just
Summative
and
Formative

Beyond Static Accountability Models

Conditions that challenge traditional model-testing evaluation

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



**Adaptive
Management**

CONTRASTS

Traditional evaluations...

- **Testing models**

Complexity-based, Developmental Evaluation...

- **Supporting
innovation and
adaptation**

Traditional Evaluation...

- **Render definitive judgments of success or failure**

Developmental Evaluation...

- **Provide feedback, generate learnings, support direction or affirm changes in direction in real time**

Traditional Evaluation...

- Render definitive judgments of success or failure
- **Measure success against predetermined goals**

Developmental Evaluation...

- Provide feedback, generate learnings, support direction or affirm changes in direction
- **Develop new measures and monitoring mechanisms as goals emerge & evolve**

Traditional Evaluation...

- **Evaluator external, independent, objective**

Developmental Evaluation...

- **Evaluator part of a team, a facilitator and learning coach bringing evaluative thinking to the table, supportive of the organization's goals**

Traditional Evaluation...

- **Evaluator determines the design based on the evaluator's perspective about what is important. The evaluator controls the evaluation.**

Developmental Evaluation...

- **Evaluator collaborates with those engaged in the change effort to design an evaluation process that matches philosophically and organizationally.**

Traditional Evaluation...

- **Design the evaluation based on linear cause-effect logic models**

Developmental Evaluation...

- **Design the evaluation to capture system dynamics, interdependencies, and emergent interconnections**

Traditional Evaluation...

- **Aim to produce generalizable findings across time & space** .

Developmental Evaluation...

- **Aim to produce context-specific understandings that inform ongoing innovation**

Traditional Evaluation...

- **Accountability
focused on and
directed to external
authorities and
funders.**

Developmental Evaluation...

- **Accountability
centered on the
innovators' deep
sense of
fundamental values
and commitments –
and learning.**

Traditional Evaluation...

- **Accountability to control and locate blame for failures**

Developmental Evaluation...

- **Learning to respond to lack of control and stay in touch with what's unfolding**
- **And thereby respond *strategically***

Traditional Evaluation...

- **Evaluation often a compliance function delegated down in the organization**

Developmental Evaluation...

- **Evaluation a leadership function:**

*Reality-testing,
results-focused,
learning-oriented
leadership*

Traditional Evaluation...

- **Evaluation engenders *fear of failure.***

Developmental Evaluation...

- **Evaluation supports *hunger for learning.***

Conditions

- **High innovation**
- **Development**
- **High uncertainty**
- **Dynamic**
- **Emergent**

Challenge:

**Matching the evaluation
process and design to the
nature of the situation:**

**Contingency-based
Evaluation**

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