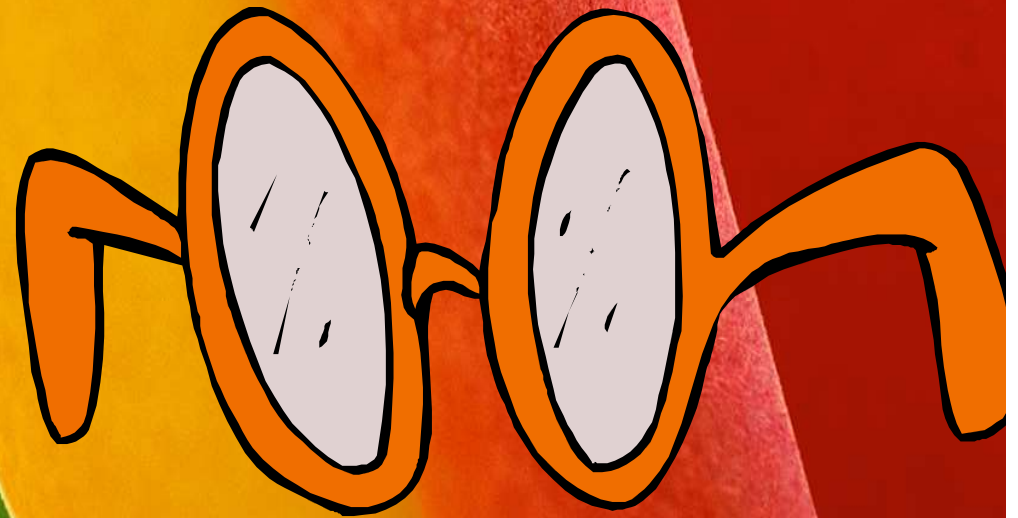# *Principles-Focused Evaluation*

Michael Quinn Patton
September 8, 2016
Kolding, Denmark

"It is not the responsibility of knights errant to discover whether the afflicted, the enchained and the oppressed whom they encounter on the road are reduced to these circumstances and suffer this distress for their vices, or for their virtues: the knight's sole responsibility is to succour them as people in need, having eyes only for their sufferings, not for their misdeeds."

— Miguel de Cervantes Saavedra, *Don Quixote*

The Niche of Principles-Focused Evaluation

- Unit of analysis (evaluand)
- Approach to programming
- Way to navigate complex dynamic systems
- Approach to evaluation
- Fundamental to *Developmental Evaluation*

Evaluation

Traditional

Evaluating…

- Grants
- Projects & Programs
- Clusters of grants
- Goal attainment
- Outcomes
- Implementation

Generating…

- Lessons
- Recommendations

Nontraditional & New Directions:

Evaluating…

- Mission fulfillment
- Strategy
- Advocacy campaigns
- Policy change
- Systems Change
- Complex dynamic interventions

4

Innovations & Challenges:
Evaluating…

- Community impacts
- Regional initiatives
- Environmental ecosystem sustainability
- Networks and collaborations
- Leadership
- Inclusiveness and diversity
- Innovation
- Collective impact
- Scaling
- PRINCIPLES

5

Paris Declaration Principles

1. Ownership: *Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.*

2. Alignment: *Donor countries align behind these objectives and use local systems.*

3. Harmonisation: *Donor countries coordinate, simplify procedures and share information to avoid duplication.*

4. Results: *Developing countries and donors shift focus to development results and results get measured.*

5. Mutual accountability: *Donors and partners are accountable for development results.*

Vibrant Communities Principles, Canada

1. Poverty Reduction – a focus on reducing poverty as opposed to alleviating the hardships of living in poverty

2. Comprehensive Thinking & Action – addressing the inter-related causes of poverty rather than its individual symptoms

3. Multisectoral Collaboration – engaging individuals and organizations from at least four key sectors – business, government, non-profit and persons who've experienced poverty – in a joint effort rather than one sector

4. Community Asset-Building – building on community strengths rather than focusing on its deficits

5. Learning & Change – embracing a long term process of learning and change rather than simply undertaking a series of specific interventions
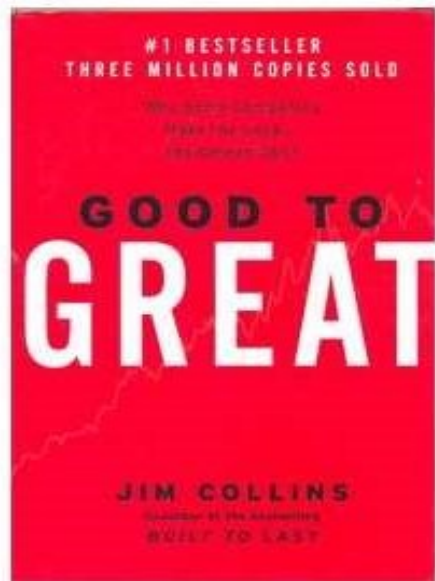
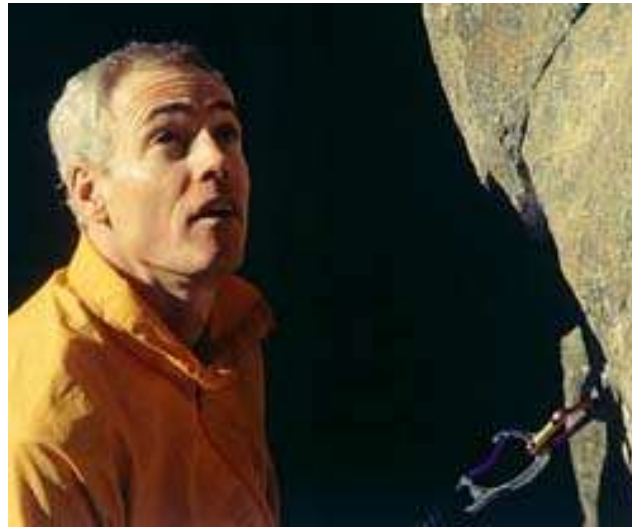9 evidence-based, guiding principles to help youth overcome homelessness

February 2014

Developed by the Homeless Youth Collaborative on Developmental Evaluation
Technical Assistance by Michael Quinn Patton, PhD and Nora F. Murphy, PhD
Supported by the Otto Bremer Foundation
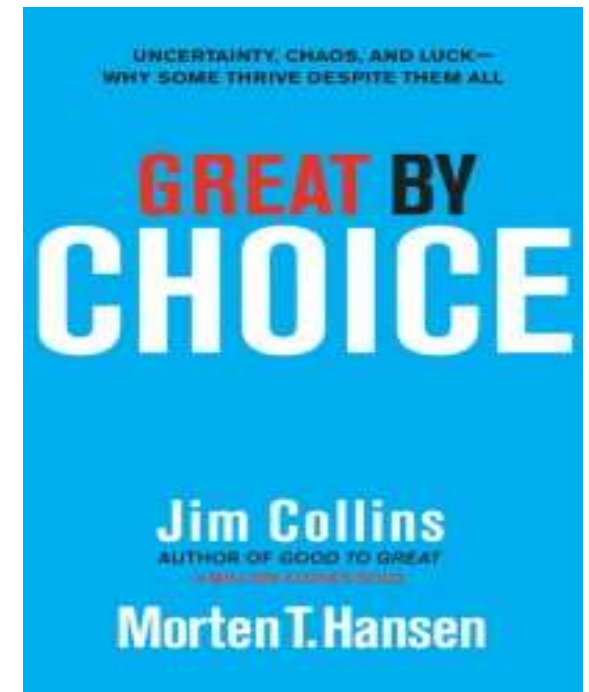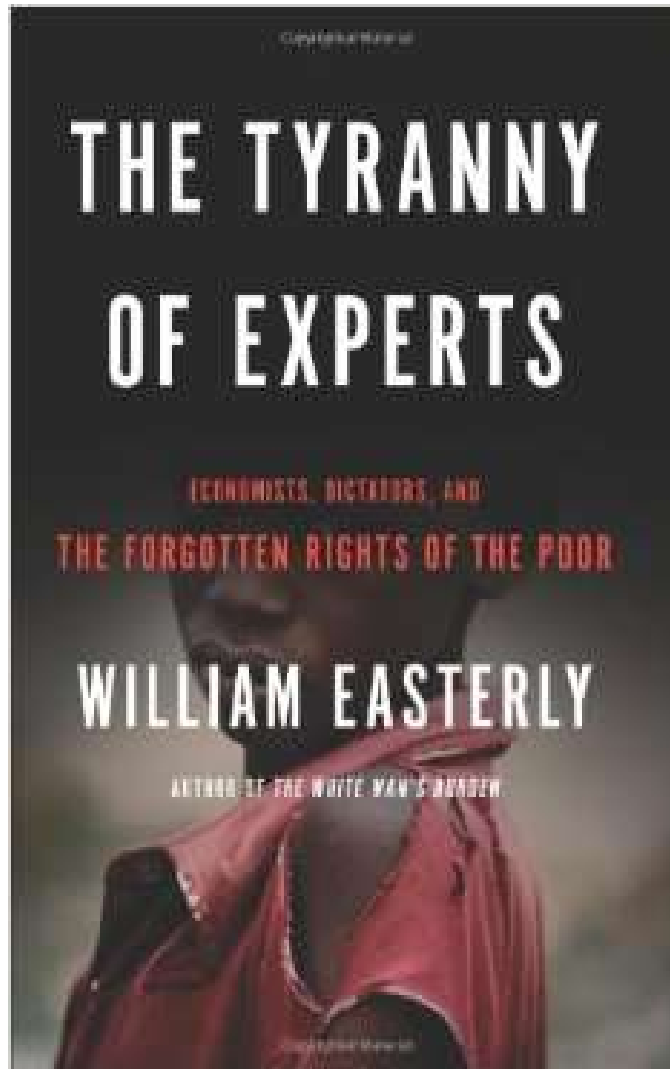
2001

PRINCIPLES

2012

THE TYRANNY OF EXPERTS

ECONOMISTS, DICTATORS, AND
THE FORGOTTEN RIGHTS OF THE POOR

WILLIAM EASTERLY

AUTHOR OF THE WHITE MAN'S BURDEN

"It is critical to get the principles of action right before acting."

Effectiveness Principles

An effectiveness principle is a statement that provides guidance about how to think or behave toward some desired result (either explicit or implicit), based on norms, values, beliefs, experience, and knowledge. The statement is a *hypothesis* until evaluated within some context to determine its relative meaningfulness, truth, feasibility, and utility for those attempting to follow it.

How are principles useful?

1. Principles inform choices at forks in the road.

2. Principles are grounded in values about what matters to those who develop, adopt, and attempt to follow them.

3. Principles provide direction, but not detailed prescription, so they offer opportunities to adapt to different contexts, changing understandings, and varied challenges.

4. Principles must be interpreted and applied contextually and situationally to ensure their relevance.

5. Principles are the rudder for navigating complex dynamic systems.

What difference do principles make?

6. Principles, when based on experience, knowledge, and evidence about how to be effective, can enhance effectiveness

7. Principles require judgment in application so their effectiveness is somewhat dependent on the quality of decision-making and judgment-rendering in applying and evaluating them

8. Principles have opposites that point in a contrary direction, so they force consideration of alternative courses of action based on comparing competing principles.

9. Principles point to consequences, outcomes, and impacts.

10. Principles can be evaluated for both process (implementation) -- and results so that their hypothetical effectiveness and relevance can be tested.

Principles-focused evaluation questions

1. Is the principle meaningful to those to whom it is meant to provide guidance?

2. Is the principle adhered to?

3. If adhered to, does it lead toward desired results?

What principles informed these designs?

10 Danish Chair Design Principles

- *Minimalist*, for example, minimal use of material
- Organic functionality
- Utility and pragmatism
- Affordability
- Aesthetic Elegance
- Comfort
- Versatility
- Endurance
- Simplicity
- Inspirational

America's favorite chairs

GUIDE

For Effectiveness Principles

SMART Goals
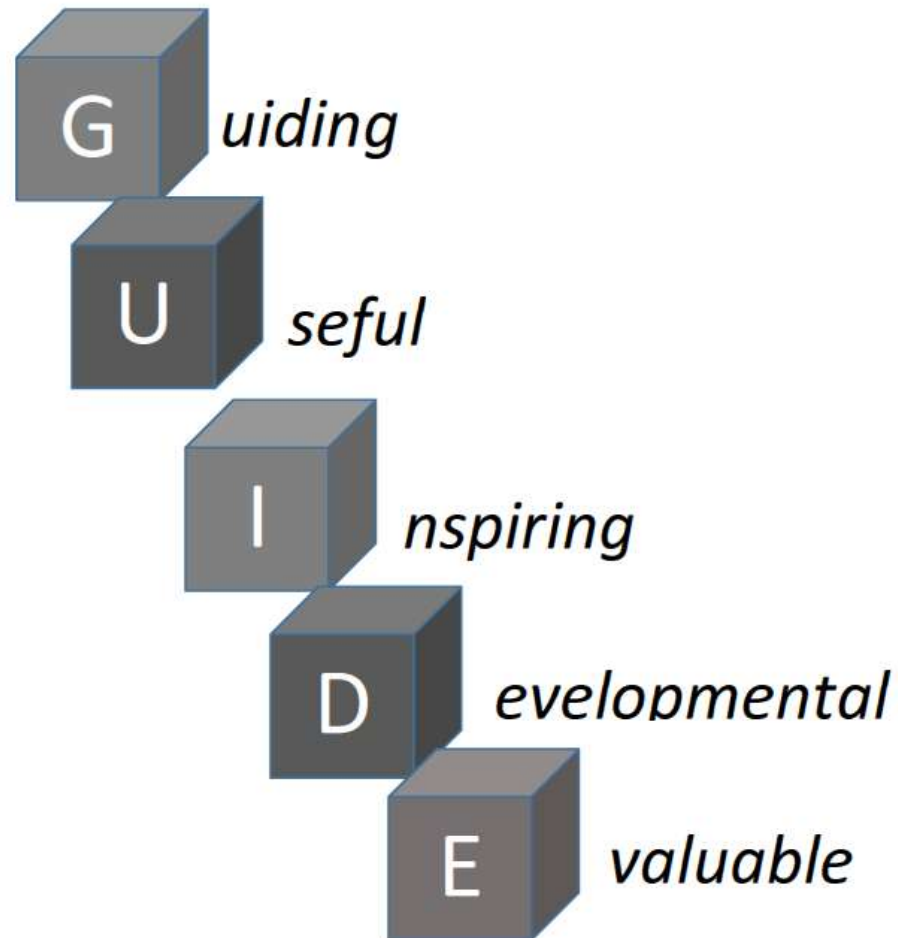

S pecific
M easurable
A chievable
R ealistic
T imely

Note: R is sometimes *Relevant* rather than Realistic; T is sometimes *Time-bound*, not Timely.

GUIDE Framework

GUIDE Framework for Effectiveness Principles

G uiding

U seful

I nspiring

D evelopmental

E valuable

RECIPES vs PRINCIPLES

REPLICATION RECIPE

Add 1/4 teaspoon of salt

ADAPTIVE PRINCIPLE

Season to taste & situation

Managing email

"Wow! I've got one from someone I know!"

Exercise

Rule:

30 minutes of aerobic exercise each day

Principle:

Exercise regularly at a level that supports health and is sustainable given your health, life style, age, and capacity.

Investing	For individual small investors, own only three diversified mutual funds and no more than 10 individual stocks, which is all a small investor needs and can manage.	For individual small investors, own as few or as many mutual funds and stocks as you can understand, regularly monitor and reasonably manage
Staff meetings	Start each week with a staff meeting of no more than one hour.	Hold staff meetings at regular intervals and as needed based on the nature of the staff and the purpose of staff meetings.
Education	Every primary school-age child should read at least 15 minutes a day.	Children should read regularly and consistently based on their interest and ability.
Exercise	Engage in 30 minutes of aerobic exercise every day.	Create a regular exercise regimen that is sustainable to meet your fitness and health goals given your age and lifestyle.

		lifestyle.
Evaluation	Deliver the final report by the date specified in the contact or terms of reference.	Target delivery of the findings to be useful for informing important decisions and actions. Monitor emergent issues that may influence and change the timing of when findings will be most useful to primary intended users.

G Guiding.

> A principle is prescriptive. It provides advice and guidance on what to do, how to think, what to value, and how to act to be effective. It offers direction. The wording is imperative: *Do this*. The guidance is sufficiently distinct that it can be distinguished from contrary or alternative guidance.

Utilization-Focused Evaluation

4th Edition

Michael Quinn Patton

SAGE

ESSENTIALS *of* UTILIZATION-FOCUSED EVALUATION

MICHAEL QUINN PATTON

SAGE

U-FE Principle

Focus on Intended Use

by

Intended Users

Utilization-focused evaluation principle:

Focus on intended use, by and with intended users,

in every aspect of, and at every stage of, an evaluation.

Now let's examine that principle against the five GUIDE criteria.

The utilization-focused evaluation principle prescribes identifying intended users from the beginning and involving them in determining how an evaluation will be used, then designing the evaluation accordingly. Alternative and contrary principles are: Design an evaluation to be credible to scholars. Attend to use when you have findings to be used. Worry about accuracy not use. Identifying and articulating alternative possible principles clarifies a particular principle's guidance.

U Useful

A high quality principle is useful in informing choices and decisions. Its utility resides in being actionable, interpretable, feasible, and pointing the way toward desired results for any relevant situation.

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The purpose of the utilization-focused evaluation principle is to enhance actual use of an evaluation by those for whom and with whom it is being done. It can be applied to any evaluation situation. The principle advises focusing on use throughout the evaluation, from the beginning, not just at the end when findings are ready. That's useful advice; not easy, but doable, interpretable, and actionable.

I Inspiring

Principles are values-based, incorporating and expressing ethical premises, which is what makes them meaningful. They articulate what matters, both in how to proceed and the desired result. That should be inspirational.

The utilization-focused evaluation principle values use. Valuing use is both an ethical and pragmatic stance. It implies that evaluations should not be done as a matter of compliance or window dressing, but should be conducted so as to be useful -- and actually used. This, the principle asserts, is the evaluator's calling. This is what makes evaluation worthwhile, meaningful, and a contribution to solving societal problems and improving lives. To behave otherwise is wasteful and unethical. The desired result is enhanced use of the evaluation by those for whom it is intended for social betterment. For evaluators who care about a better world, use is the vehicle for realizing that noble vision, so the principle is hopefully inspiring, both in the vision it offers and the implication that the desired result (greater evaluation use) is possible by following the principle.

Principles-focused strategy and evaluation should inspire as well as provide direction

Outcomes should be inspirational

When asked about the bottom line for not-for-profit organizations, the great management guru Peter Drucker said:

"The end results are people with changed lives."
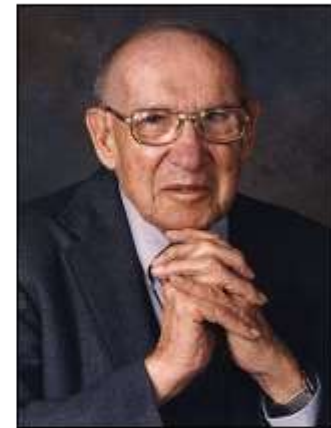
## Outcomes should specify how lives will he changed.

32

D Developmental

The developmental nature of a high quality principle refers to its adaptability and applicability to diverse contexts and over time. A principle is thus both context sensitive and adaptable to real-world dynamics, providing a way to navigate the turbulence of complexity and uncertainty. In being applicable over time, it is enduring (not time-bound), in support of ongoing development and adaptation in an ever-changing world.

The utilization-focused evaluation principle applies to any context in which an evaluation is being conducted. It applies across levels from local, to regional, to state, national, and international. It applies as an intervention, change initiative, policy or program develops and on through its implementation. It provides guidance for any number of intended uses, and applies to different purposes for evaluation (accountability, program improvement, strategy analysis, overall summative judgments of merit and worth, monitoring, or knowledge-generation).
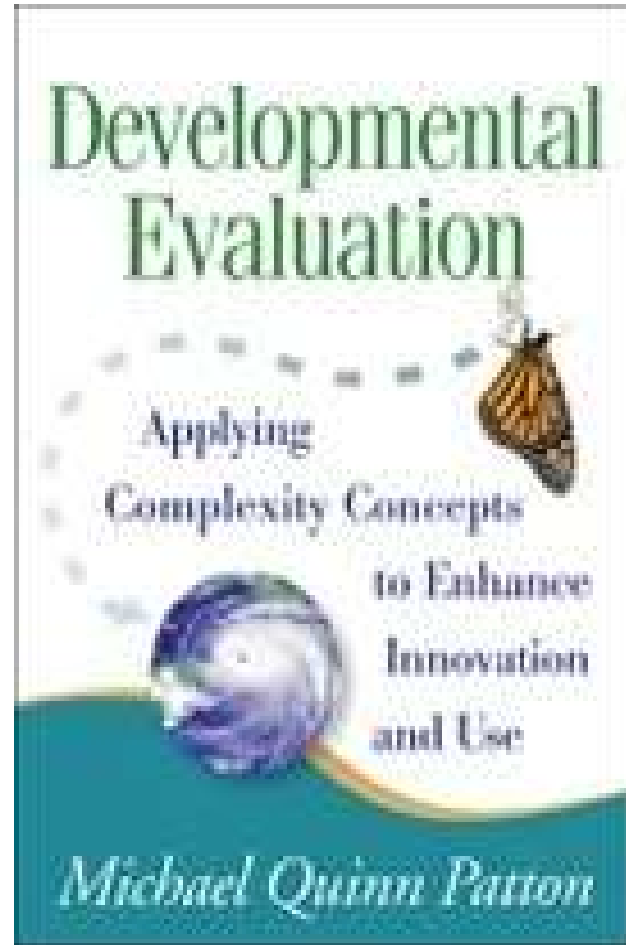
DE Purposes

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 interpreted, adapted to context through DE.

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**

Developmental purpose

Utilization-focused

Innovation niche

Complexity lens

Systems thinking

Co-creation

Timely feedback

Rigorous evaluation

38
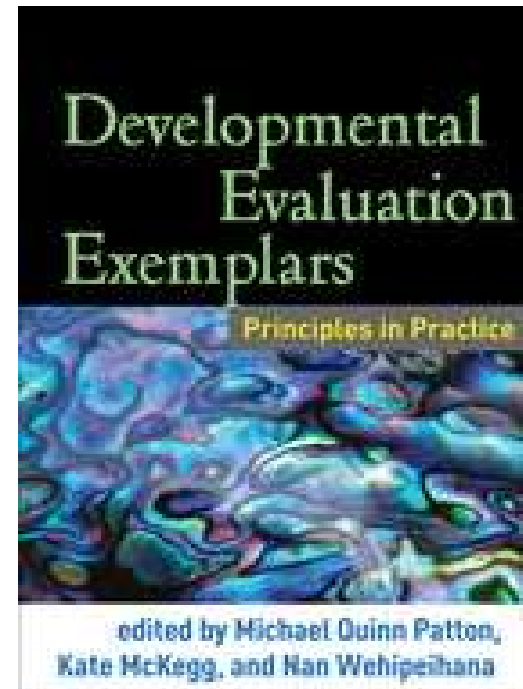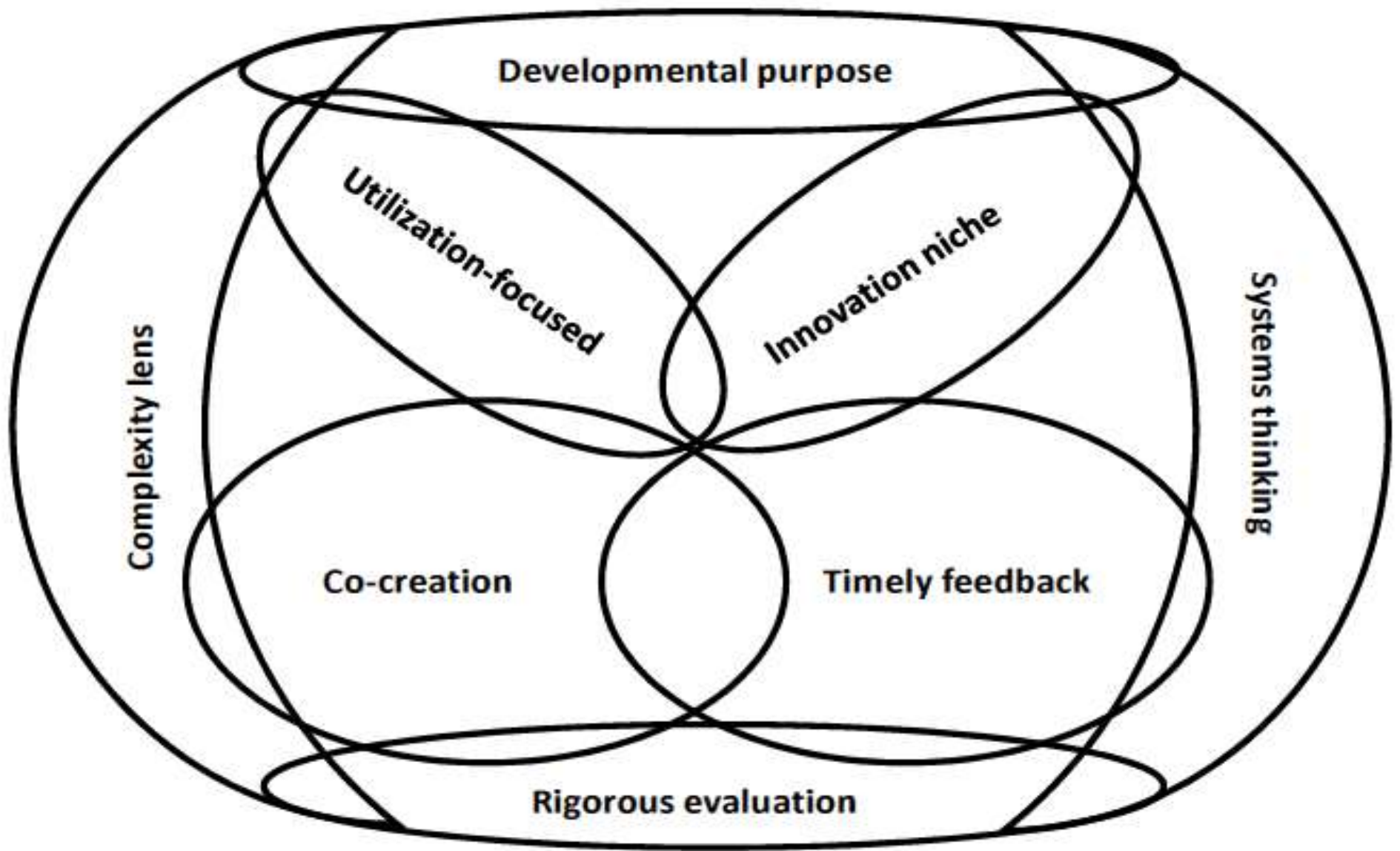
Principles-Focused Evaluation Serving Diverse Purposes

Evaluation purpose	Principles-focused evaluation questions	Concrete Examples
1. Formative evaluation	A principles-focused formative evaluation: How can the program's adherence to principles be improved?	The evaluation shows that staff in a program for homeless youth are interpreting the principle of "trauma-informed care" in different ways. Staff training to improve shared adherence to the principle is recommended.
2. Accountability	A principles-focused evaluation for accountability: Is the program following principles as specified in funding and policy mandates?	A major housing renovation project in a low income community mandates community consultation on playground and green space design. The evaluation documents the nature, extent, and types of community consultation and reports the findings in a public accountability report.
3. Knowledge-generating evaluation	A knowledge-generating principles-focused evaluation: What can be learned about the effectiveness of principles?	An online course following principles of online student engagement conducts an evaluation to gather and analyze feedback from faculty and students to generate lessons about the effectiveness of the online course principles that can be used in future online courses.

4. **Summative evaluation**	A summative principles-focused evaluation: Are the principles currently being followed relevant and effective? Should they be maintained, changed, or dropped altogether (and replaced with "best practices")?	An innovative higher education program follows learner-centered principles that give students major control over the curriculum. The evaluation gathers data from graduates and their employers about whether students learned what they needed to succeed with the
		findings used to judge if the learner-centered approach is working in the employment marketplace, or if a more employer-focused program should be designed and implemented.

5. Developmental evaluation	A principles-focused developmental evaluation: How are principles being applied in adaption of an innovation to new locations?	A microfinance program based on women's empowerment principles is evaluated to document how the principles of empowerment are being adapted in different cultures and among women with different characteristics: younger, older; married/unmarried; with and without children; with varying degrees of education.

SYSTEMS THINKING and COMPLEXITY THEORY

Getting to Maybe

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.

Transformative social movements were **problem-focused and principles-driven**

42

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

44

Models vs. Principles

Identifying <u>proven principles</u> for adaptive management

(bottoms-up approach)

versus

Identifying and disseminating

<u>proven models</u>

(top down approach)

CONTEXTUAL SCALING

- Options by context

- Principles-based adaptation

- DE documents and assesses adaptation

versus

HIGH FIDELITY REPLICATION

E Evaluable

A high quality principle must be evaluable. This means it is possible to document and judge whether it is actually being followed, and document and judge what results from following the principle. In essence, it is possible to determine if following the principle takes you where you want to go.

The utilization-focused evaluation principle can be evaluated by following up with intended users to find out if the evaluation was used in intended ways, and to get their feedback on the extent to which their involvement affected how they used the evaluation. There is a substantial literature reporting on evaluation of the utilization focused evaluation principle (Patton, 2008, 2012).

Three kinds of evidence-based interventions

- **Summative evaluation** of a single program, grant, or model.

- **Meta-analysis** of results for several programs/grants using the same model aiming at the same outcomes.

- **Synthesis of effective principles**: *Diverse interventions adhering to shared evidence-based principles.*

Principles...

- Unit of analysis (evaluand)
- Approach to programming
- Way to navigate complex dynamic systems
- Approach to evaluation
- Fundamental to *Developmental Evaluation*

Guiding

- Prescriptive -- provides advice and guidance
- Directional -- specifies direction and informs prioritie
- Effectiveness-oriented (active verb wording) --
  "Do this..." to be effective
- Distinctive from its opposite or alternative

Useful

- Points toward desired results
- Describes how to be effective
- Supports making choices and decisions
- Utility resides in being interpretable, doable, feasible, and actionable

Inspiring

- Values-based, ethically grounded
- Meaningful
- Is important, evokes a sense of purpose

Developmental

- Context sensitive
- Complexity adaptable
- Enduring (not time-bound)

Evaluable

- Can document & judge whether it is fol
- Can document & judge what results
- Can determine if it takes you where you

Your ????

SMART GOAL CRITERIA	SMART GOAL EXAMPLE
Specific -- precise outcome	Eradicate polio worldwide
Measurable -- quantitative, statistical precision	By 2017 no children will be paralyzed by the wild poliovirus. The World Health Organization (WHO) reports at least three years of zero confirmed cases due to indigenous circulation of wild poliovirus any place in the world.
Achievable -- a logic model or theory of change can be created to show how the goal will be achieved	*The four key strategies for eradicating poliomyelitis are:* *1) routine immunization of infants with OPV in the first year of life;* *2) supplementary immunization activities, national immunization days and sub-national immunization days (NIDs and SNIDs), during which all children under five years of age are vaccinated, regardless of whether they have been vaccinated before;* *3) mop-up campaigns, to ensure that every child is vaccinated and to break the final chains of transmission; and* *4) effective disease surveillance for acute flaccid paralysis (AFP) to find and investigate every newly paralysed child to determine if poliomyelitis is the cause of the paralysis.* http://www.unicef.org/newsline/poliopkabout-printer.htm
Relevant/Realistic-- results can reasonably be expected to be achieved with the inputs and activities specified in the logic model	Detailed WHO plan supported with WHO and philanthropic funding, e.g., The Bill and Melinda Gates Foundation, Rotary International, the US Centers for Disease Control and Prevention (CDC) and the United Nations Children's Fund (UNICEF).)

Timely/time-bound -- **target date for when outcome will be achieved**	No new cases of polio by the end of 2017 onward. http://apps.who.int/gb/ebwha/pdf_files/WHA69/A69_25-en.pdf

GUIDE PRINCIPLE FRAMEWORK APPLIED

USING POLIO ERDAICATION EXAMPLE

GUIDE PRINCIPLES CRIRERIA	GUIDE PRINCILE EXAMPLE
Guiding -- provides direction and informs priority-setting	Take a holistic approach to the polio eradication campaign. (Educate, support appropriate policy changes, and build health system capacity)
Useful – Informs decision-making; interpretable, feasible, and actionable.	Conduct the campaign so that communities value what has been provided in the immunization initiative and the lessons of effective immunization are captured and adapted for other health and development initiatives.
Inspiring -- values are explicit, motivational, and meaningful for ongoing, long-term engagement	Ensure the quality of the immunization campaign. Quality is as important as quantity (number vaccinated) for effectiveness long-term, therefore emphasize the quality of interactions with children and families in the eradication campaign to deepen their understanding and cooperation.
Developmental -- Context and complexity sensitive, enduring not time bound.	Adapt the campaign to local contexts by being aware of and sensitive to religious, cultural, economic, political, and social issues that can affect cooperation in the eradication campaign.
Evaluable – use mixed methods understanding that both qualitative and quantitative data will require interpretation & judgment	Focus on the countries where paralytic poliomyelitis due to wild poliovirus type 1 is endemic, e.g., Afghanistan and Pakistan; evaluate that the vaccinations are voluntary (not imposed) and that the campaign is holistic.

Hygge

Is this a principle?

Can it be treated as a principle?

Examples of Principles

Science

Evaluation

"Science isn't about authority or white coats; it's about following a method. That method is built on core principles:

- precision and transparency
- being clear about your methods
- being honest about your results, and
- drawing a clear line between the results, on the one hand, and your judgment calls about how those results support a hypothesis."

Shortlisted for the BBC Samuel Johnson Prize for Non-Fiction

Bad Science

Ben Goldacre

Half a million copies sold worldwide
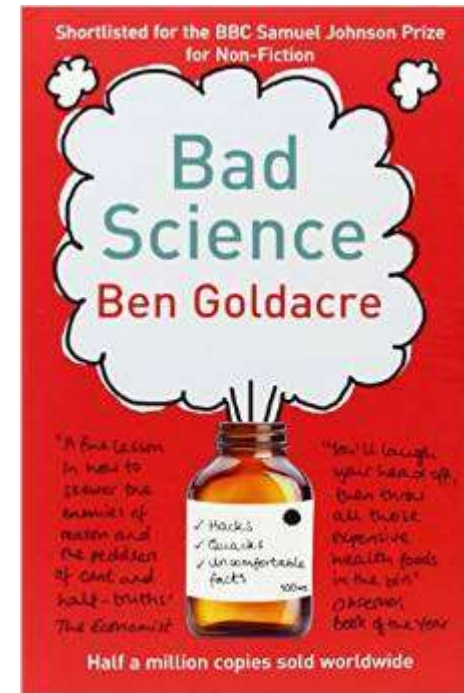
American Evaluation Association Guiding Principles For Evaluators

Resulting Principles. Given the diversity of interests and employment settings represented on the Task Force, it is noteworthy that Task Force members reached substantial agreement about the following five principles. The order of these principles does not imply priority among them; priority will vary by situation and evaluator role.

terraluna
COLLABORATIVE

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Evaluation Principles

❖AEA guiding principles

❖Participatory evaluation principles

❖Utilization-Focused Evaluation principles

❖Culturally competence evaluation principles

❖Indigenous peoples' research and evaluation principles

Principles

- Provide direction but not detailed prescription
- Are grounded in values about what matters
- Are based on evidence about how to be effective
- Must be interpreted and applied contextually,
- Require judgment in application
- Inform choices at forks in the road
- Are the rudder for navigating complex dynamic systems
- Point to outcomes and impacts
- Can be evaluated for both process (implementation) -- **and results**

Vibrant communities, Canada

In April 2002, fifteen communities and the three national sponsors met for a three day forum in Guelph, Ontario to create Vibrant Communities. They jointly developed an experiment designed to test a "new" way to tackle poverty in a way that acknowledged the complex nature of poverty and the challenge of achieving scale in poverty reduction efforts. The new way was not a model, but rather a set of five core principles that local communities agreed to follow in mounting locally unique campaigns:

Each community was represented by someone from the private, public and non-profit sector, as well as someone with experience living in poverty.

Principles

1. Poverty Reduction – a focus on reducing poverty as opposed to alleviating the hardships of living in poverty

2. Comprehensive Thinking & Action – addressing the inter-related causes of poverty rather than its individual symptoms

3. Multisectoral Collaboration – engaging individuals and organizations from at least four key sectors – business, government, non-profit and persons who've experienced poverty – in a joint effort rather than one sector

4. Community Asset-Building – building on community strengths rather than focusing on its deficits

5. Learning & Change – embracing a long term process of learning and change rather than simply undertaking a series of specific interventions

INSPIRED LEARNING

An Evaluation of Vibrant Communities' National Supports

2002 – 2012
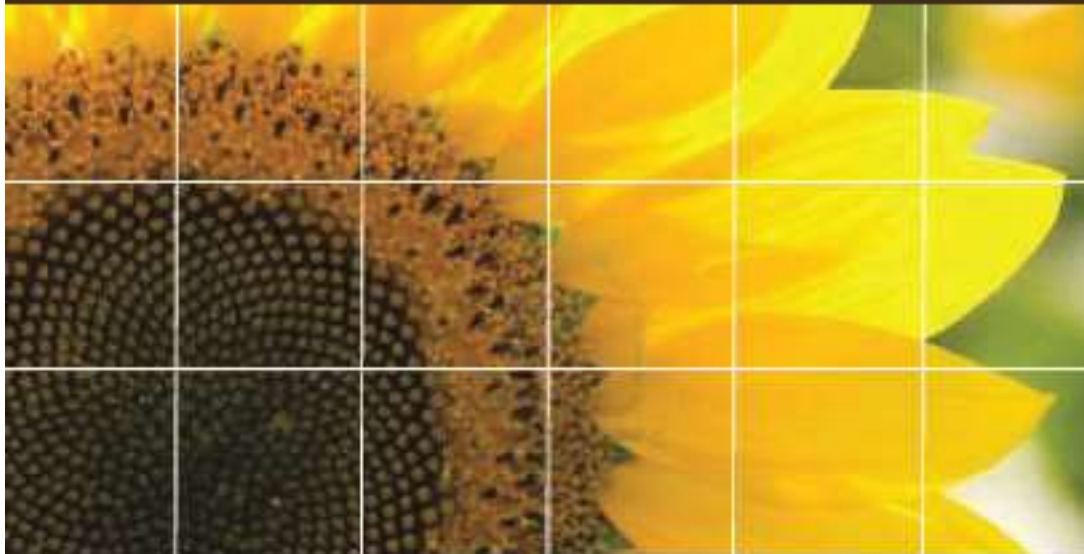
AES Best Evaluation Policy and Systems Award

2013 Award Winners: Nan Wehipeihana, 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?

Kate   Veronica   Nan   Kataraina

Hygge

Hygge is as **Danish** as pork roast and it goes far in illuminating the **Danish** soul.

In essence, **hygge** means creating a warm atmosphere and enjoying the good things in life with good people. The warm glow of candlelight is **hygge**.

Is *hygge* a principle? Try designing a program based on *HYGGE*. And design the evaluation.

Methods and design implications

- Sampling principles

- Surveys

- Interviewing

- Observing

- Document analysis

Evaluation methodological principles

1. Match methods to the situation and intended use by intended users

    (**not**, base methods on disciplinary prestige)

1. Judge methodological quality by *appropriateness* (**not** a rigid hierarchy of context-free rigor)

Evaluating Principles

The Evaluation of the Paris Declaration

Evaluation of the Evaluation

June, 2011

Evaluation of the Paris Declaration

The Paris Declaration on Aid Effectiveness

The Paris Declaration (2005) is a practical, action-oriented roadmap to improve the quality of aid and its impact on development. It gives a series of specific implementation measures and establishes a monitoring system to assess progress and ensure that donors and recipients hold each other accountable for their commitments. (OECD)

The Paris Declaration outlines the following five fundamental principles for making aid more effective:

Paris Declaration Principles

1. Ownership: *Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.*

2. Alignment: *Donor countries align behind these objectives and use local systems.*

3. Harmonisation: *Donor countries coordinate, simplify procedures and share information to avoid duplication.*

4. Results: *Developing countries and donors shift focus to development results and results get measured.*

5. Mutual accountability: *Donors and partners are accountable for development results.*

RELEVANCE

The Paris Declaration on Aid Effectiveness is a landmark international agreement and program of reform – the culmination of several decades of attempts to improve the quality of aid and its impacts on development.
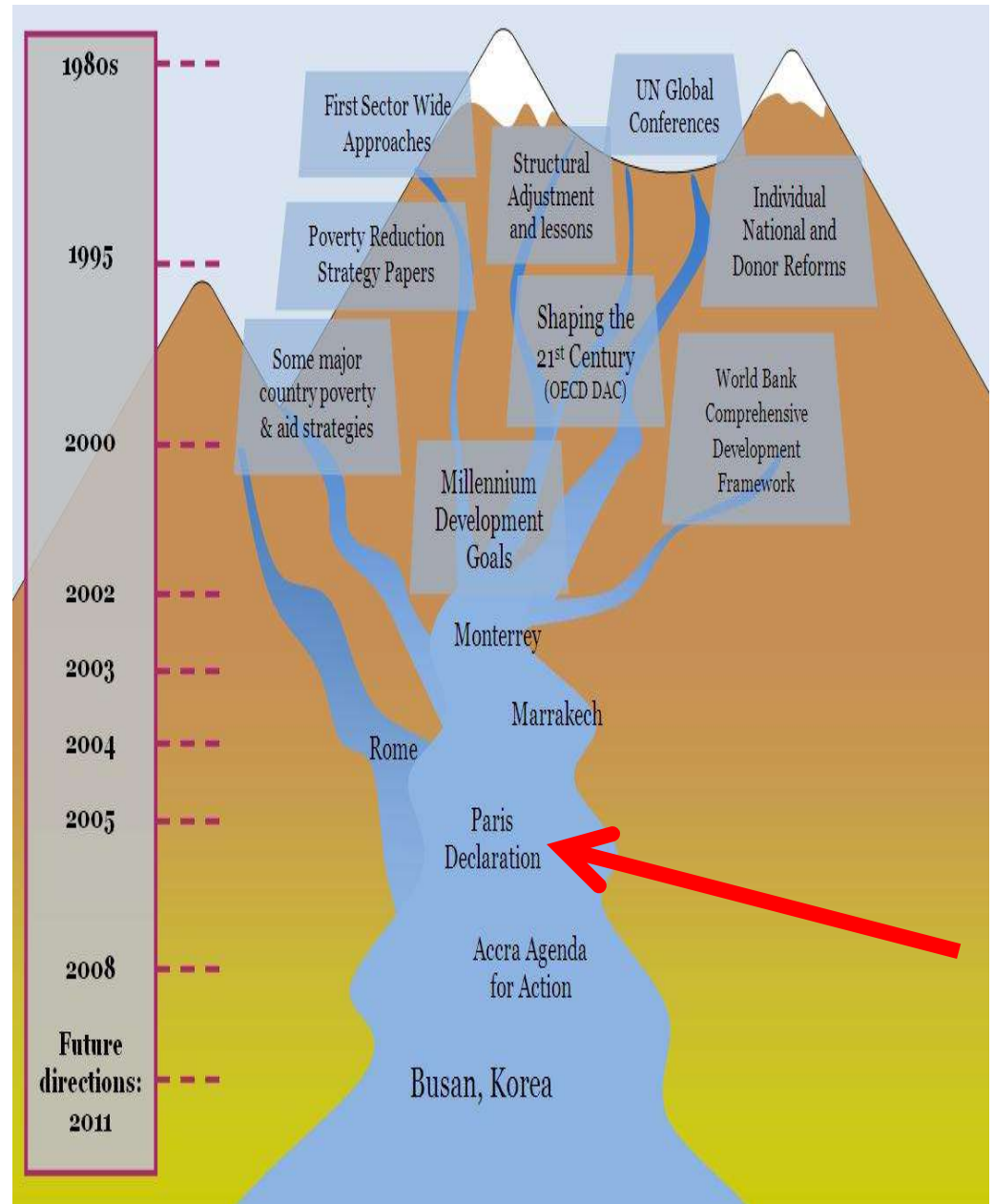
RELEVANCE

The Paris Declaration on Aid Effectiveness was endorsed in 2005 by over 100 countries including the more developed aid donor countries like the United States, developing countries from around the world, and international development institutions like the World Bank, the United Nations Development Group, and the Organization for Economic Co-operation and Development (OECD).

RELEVANCE

The stakes are huge: the critical need for better lives for billions of people (reflected in the approaching Millennium Development Goals for 2015); hundreds of billions of dollars committed to addressing poverty reduction; a web of international relationships; and growing, often skeptical, demands from many sides to see demonstrable results from development aid.

This Evaluation is therefore important both for accountability – assessing the reforms achieved or not achieved – and for learning to guide future improvements.

Five Paris Declaration Principles

1. **Country ownership**

2. **Alignment**

3. **Harmonization**

4. **Mutual accountability**

5. **Managing for results**

11 intended improvements for effective aid

1. Stronger national strategies and operational frameworks
2. Increased alignment of aid with country systems
3. Meeting defined measures and standards, e.g. in financial mgt.
4. Reduced duplication of donor effort, more cooperation
5. Reformed and simplified donor policies and procedures
6. Increased predictability of aid
7. Sufficient delegation to donor field staff
8. Sufficient integration of global initiatives
9. Increased capacity
10. Enhanced accountability
11. Reduced corruption and increased transparency

Background, process and limits for the Evaluation

Background

- The Declaration itself pledged an independent evaluation - itself a tool for mutual accountability

- Fully joint evaluation conducted over 4 years (Phase 1: 2007-8; Phase 2: 2009-11).
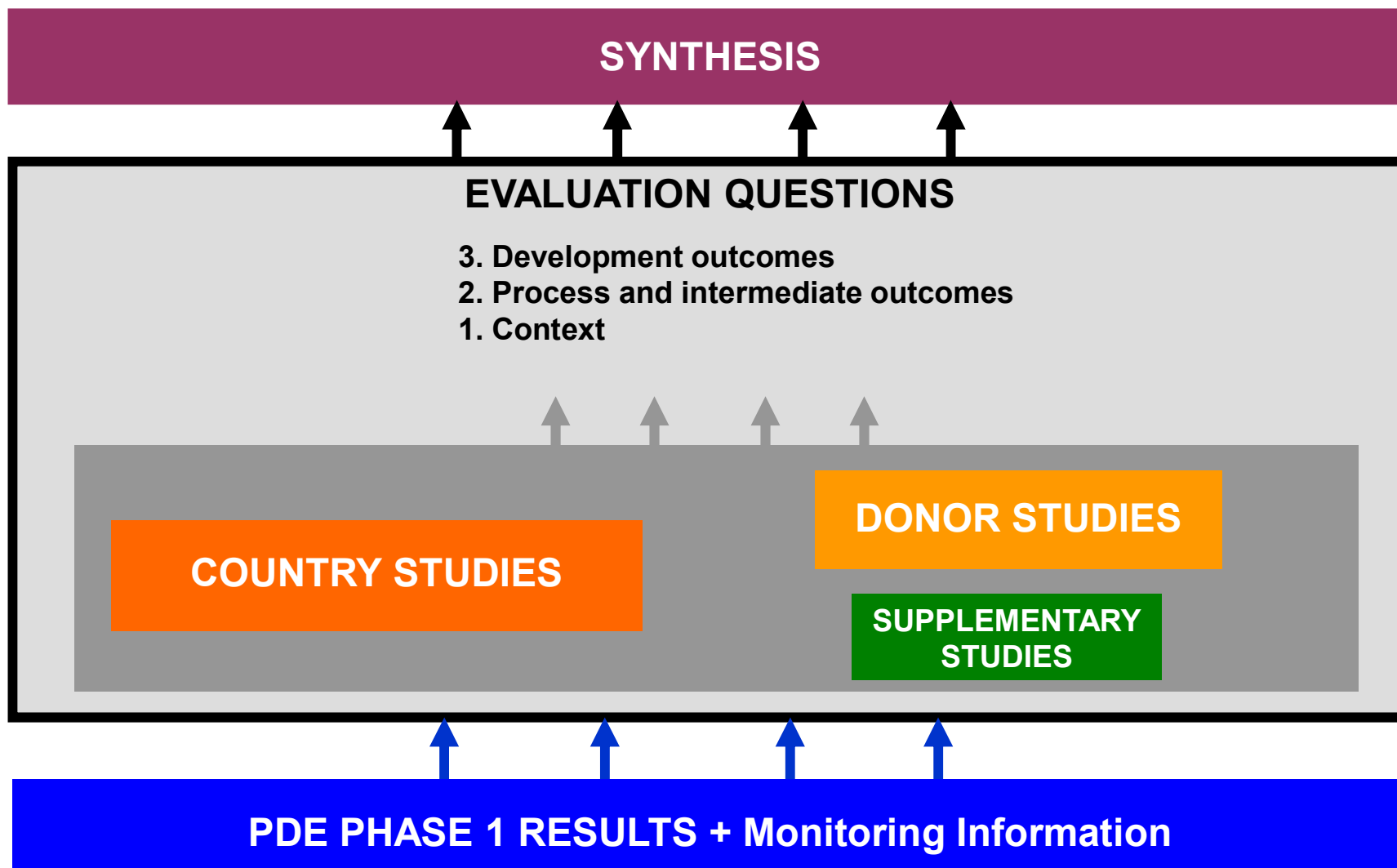
Evidence base

- 22 Country-level evaluations led by partner countries and managed in-country

- 18 Donor/agency HQ studies

- 7 Supplementary studies on key topics plus review of the most significant global literature

The Key Evaluation Questions

1. "What are the important factors that have affected the relevance and implementation of the Paris Declaration and its potential effects on aid effectiveness and development results?" (The Paris Declaration in context)

2. "To what extent and how has the implementation of the Paris Declaration led to an improvement in the efficiency of aid delivery, the management and use of aid and better partnerships?" (Process and intermediate outcomes)

3. "Has the implementation of the Paris Declaration strengthened the contribution of aid to sustainable development results? How?" (Development outcomes)

Evaluation of the Paris Declaration

Building blocks of the Evaluation

SYNTHESIS

EVALUATION QUESTIONS

3. Development outcomes
2. Process and intermediate outcomes
1. Context

COUNTRY STUDIES

DONOR STUDIES

SUPPLEMENTARY STUDIES

PDE PHASE 1 RESULTS + Monitoring Information

Relationships: A _joint_ evaluation

- **Based on the principles of the Paris Declaration: partner countries and development partners develop the evaluation framework/approach and execute the evaluation jointly**

- **The evaluation itself is a tool for mutual accountability:**

  - **22 Country-level evaluations led by partner countries and managed in-country (Phase 1=7, Phase 2=21)**

  - **18 Donor/agency HQ studies (phase 1=11, Phase 2=7)**

Relationships: Country Evaluations & Donor Studies
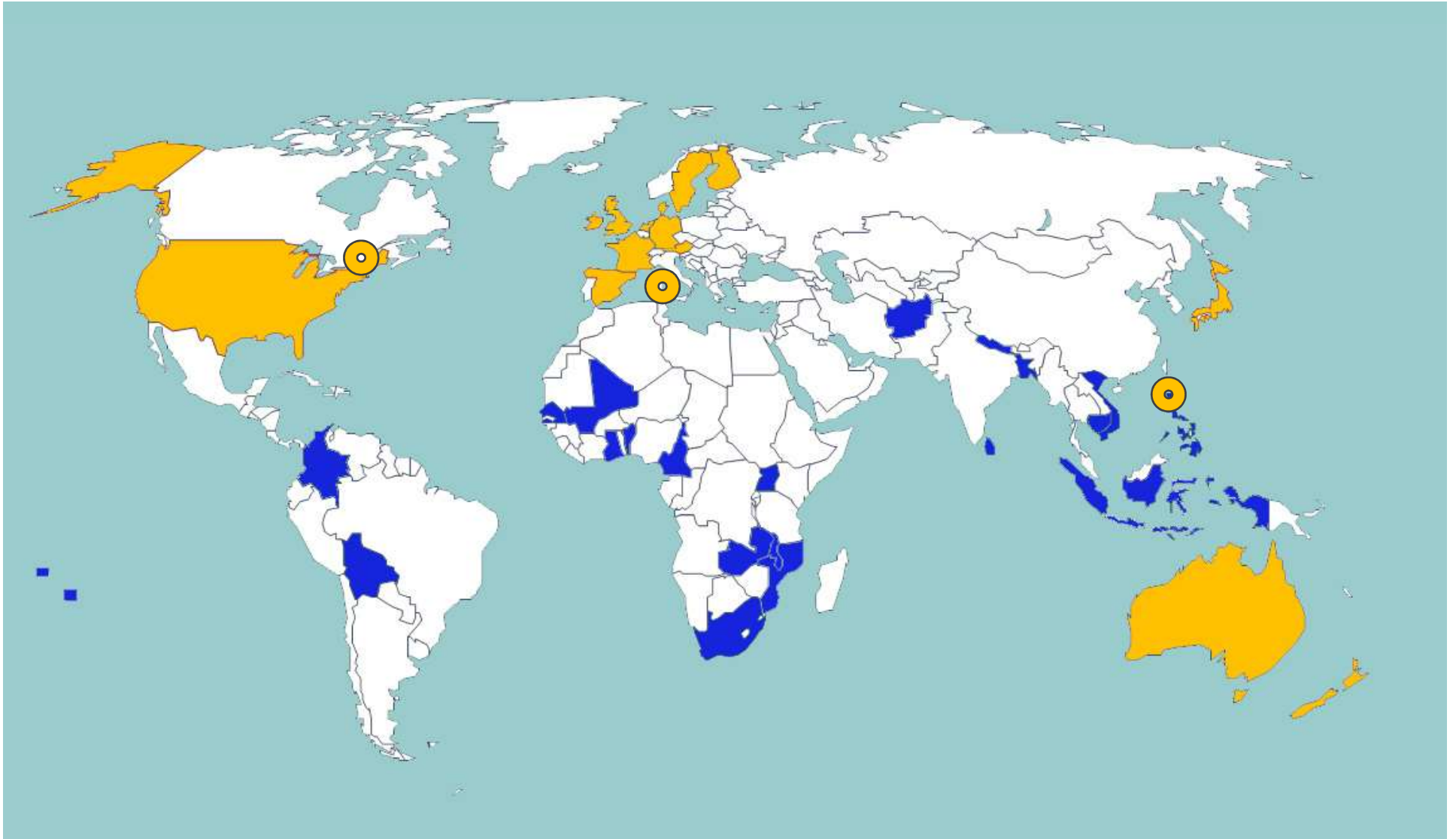
Relationships: Governance, management and implementation

- **International Reference Group (**40-plus reps. of governments, international Organizations and CSOs. Co-chaired by Malawi and Sweden)
- **Management Group** (Colombia, Malawi, Netherlands, Sweden, US, Vietnam)
- **Evaluation Secretariat** at DIIS
- **National/Agency Reference Groups and Evaluation Coordinators**
- **National/Agency Evaluation Teams** (with specified recruitment criteria, and common generic ToRs)
- **Core Evaluation Team** (7 Members, from Canada, Denmark, Nigeria, Peru, Sri Lanka, Malawi and the UK + resource persons)
- **High Level Peer Reviewers:** Dr. Mary Chinery-Hesse and Mr. Mark Malloch Brown.

RELATIONSHIPS

EVALUATION OF THE IMPLEMENTATION OF THE PARIS DECLARATION

3rd Meeting Of The International Reference Group

Ayodya Resort Bali - Indonesia, December 7-10, 2010

The Core Evaluation Team

- **Developed detailed methodology and provides support to country teams**

- **Was responsible for the synthesis of country and donor HQ evaluation results, those from Phase 1, and other studies, and for preparing the overall Evaluation Report**

- **Reported and was responsible to the Evaluation Management Group, through the Evaluation Secretariat**

- **Was competitively recruited (by international tender) by the Evaluation Management Group**

- **Comprise six international consultants and a number of associated members for specific tasks**

CORE INTERNATIONAL EVALUATION TEAM

Relationships: Managing the evaluation

Management Group (Colombia, Malawi, Netherlands, Sweden, US, Vietnam) responsible for:

- **Developing the overall evaluation framework and ToR for the Core Evaluation Team**
- **Coordinating and managing the evaluation process**
- **Guiding the component studies**
- **Developing and managing supplementary studies and synthesis of findings and recommendations**
- **Dissemination**

Evaluation Secretariat at the Danish Institute for International Studies

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RELATIONSHIPS: Team
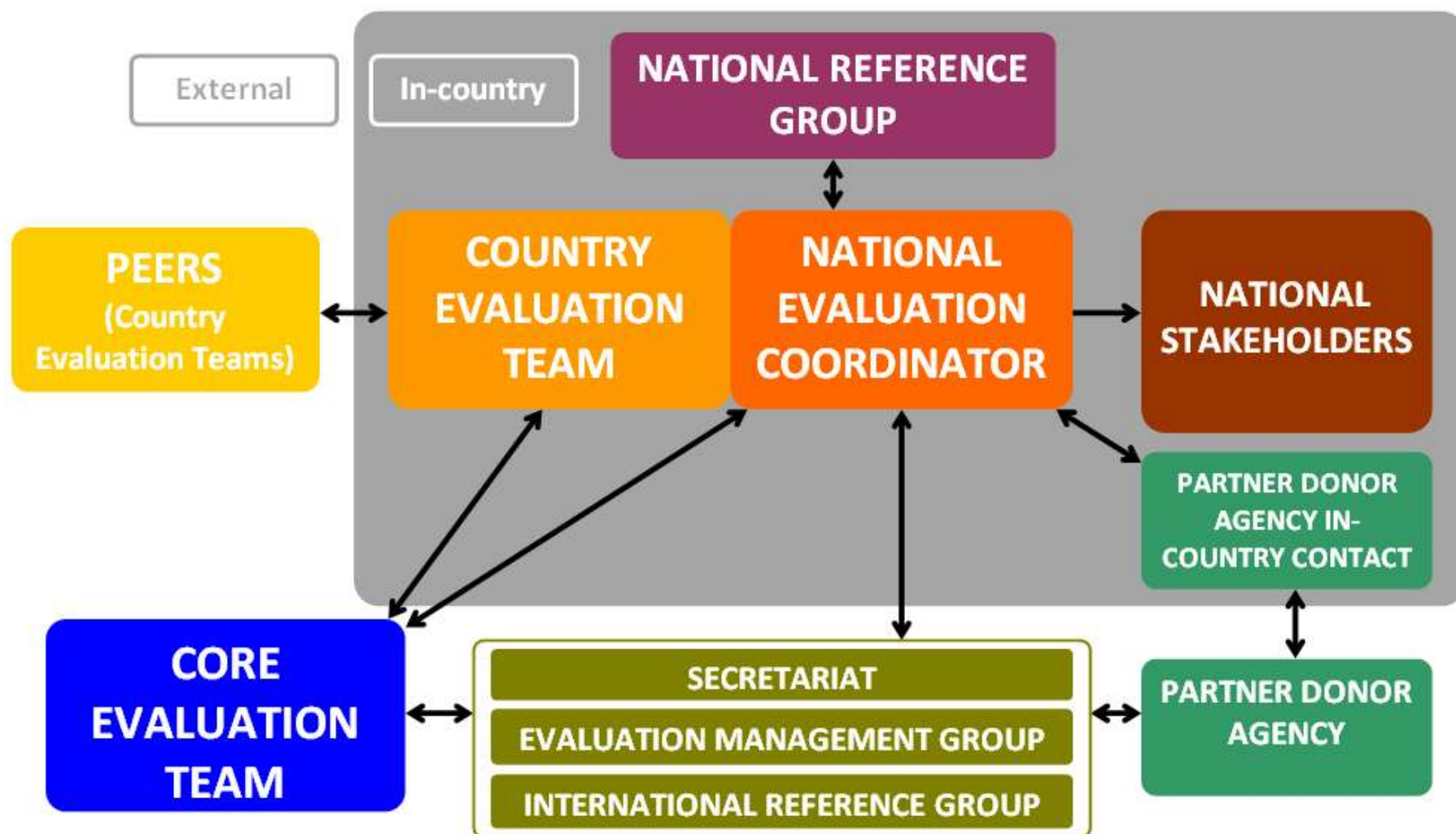
Evaluation metrics

- Distance
- Direction
- Speed

OVERALL FINDINGS

- **Country ownership** has advanced farthest
- **Alignment** and **harmonization** improved unevenly.
- **Mutual accountability** and **managing for results** lagging most
- Action on mutual accountability is now **the most important need** - backed by transparency and a realistic acceptance and management of risks

Clarity: The Central Messages

- **The Paris Declaration <u>has</u> contributed to change of behaviour – but unevenly so. Partner countries have moved further and faster than donors. Some donors more than others and some very little.**

- **The Paris Declaration <u>has</u> contributed to improve aid effectiveness – but much remains to be done.**

- **The Paris Declaration <u>has</u> contributed to better development results – but not across the board.**

- **The PD and AAA "campaign" remains relevant and has gained momentum – but needs nurturing to continue.**

Clarity: The central message

- **The global campaign to make international aid programmes more effective is showing results.**

- **But the improvements are slow and uneven in most developing countries and even more so among most donor agencies, although the changes expected of them are less demanding.**

Responsibility: Process Use

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

Meta-Evaluation

EVALUATION OF THE IMPLEMENTATION OF THE PARIS DECLARATION
3rd Meeting Of The International Reference Group
Ayodya Resort Bali - Indonesia, December 7-10, 2010

BALI - INDONESIA, Dec. 07, 2010

Meta-Evaluation Design & Methods

- Review all documents (complete transparency & access)
- Observe two International Reference Group (IRG) meetings: Indonesia in December, 2010; Copenhagen in April, 2011.
- Interview diverse stakeholders & participants
- Facilitate a reflective practice session with IRG participants
- Survey of country evaluators and IRG participants
- Observe Evaluation Management Group meetings and correspondence
- Review the draft and final report

Transparency & Dissemination:
Full reports and supporting materials

All documents from the Evaluation, including the full country evaluations and donor studies, can be found
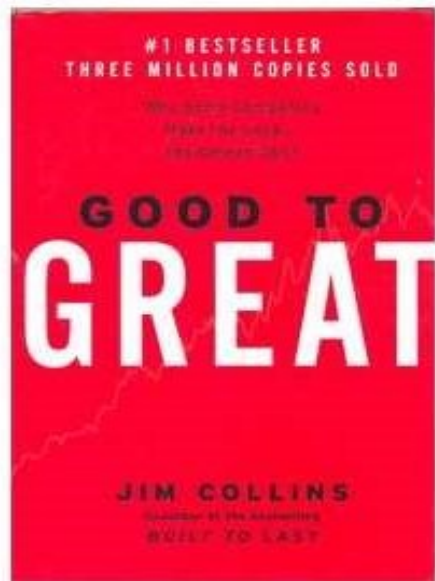
in English, French and Spanish

on

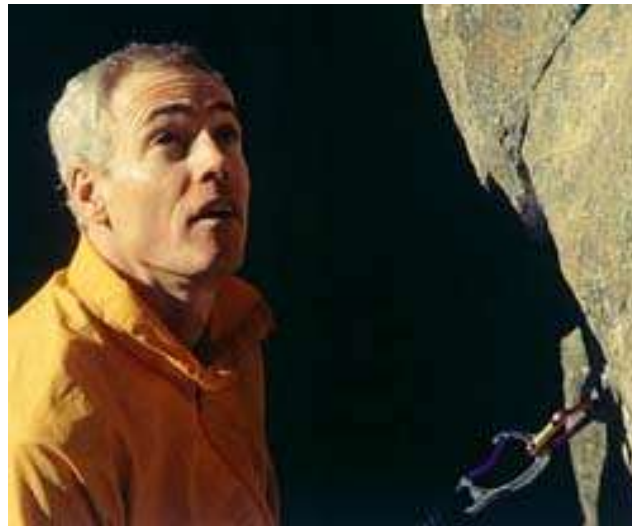**www.busanhlf4.org**

and

www.oecd.org/dac/evaluationnetwork/pde

These sites also have links to a number of videos illustrating key aspects of the Paris Declaration and the Evaluation
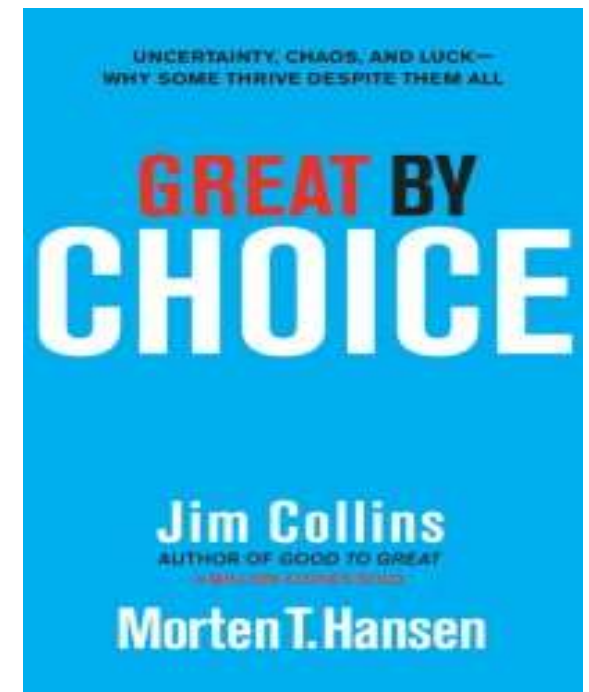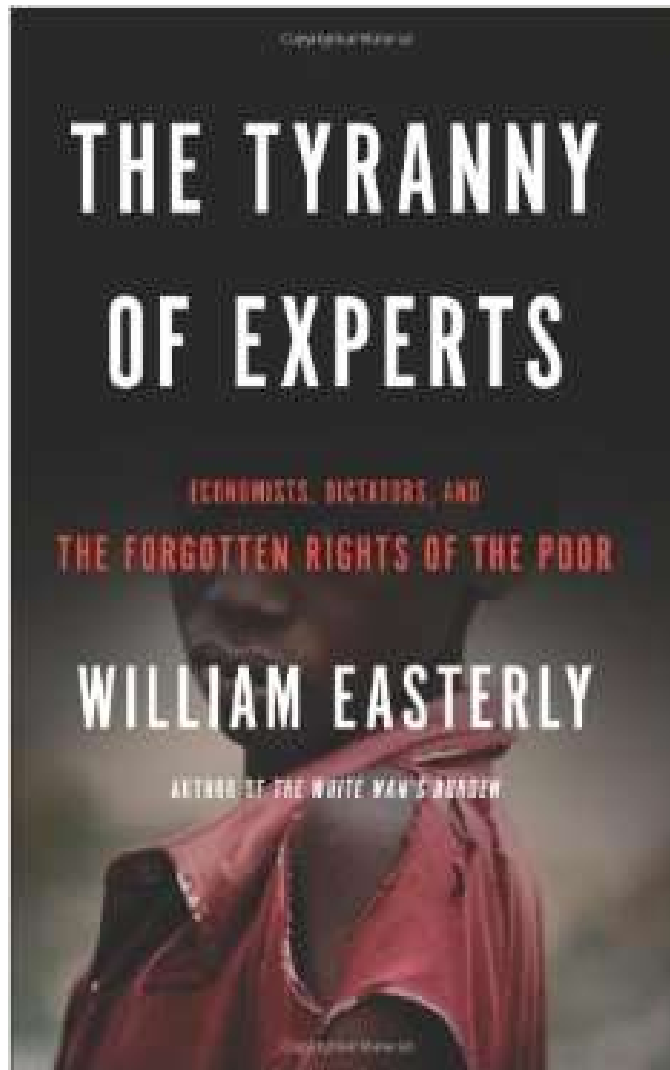
2001

PRINCIPLES

2012

THE TYRANNY OF EXPERTS

ECONOMISTS, DICTATORS, AND THE FORGOTTEN RIGHTS OF THE POOR

WILLIAM EASTERLY

AUTHOR OF THE WHITE MAN'S BURDEN

"It is critical to get the principles of action right before acting."

Introducing Evidenced-Based Principles to Guide Collaborative Approaches in Evaluation.

Whitmore, E., Shulha, L.M., Cousins, J.B., Gilbert, N., Al Hudib, H.

Introduction

Three years ago, our team began to consider the value of capturing the foundations of collaborative approaches in evaluation and transforming these into a useable resource for evaluators.

Why Principles?

The Oxford Dictionary definition of *principles* has guided our work. We have

conceptualized them as a "foundation for a system of belief or behaviour or

for a chain of reasoning"

terraluna
COLLABORATIVE

The principles presented here have been derived empirically. They stem

from the experiences of evaluators who have engaged in collaborative

approaches in a wide variety of evaluation settings and from the lessons

they have learned.

Principle: Clarify Motivation for Collaboration

Dimensions	Contributing Factors	Quotations (S- came from description of a successful collaborative approach; U- came from description of an unsuccessful collaborative approach)
Evaluation purpose	1. Expectations and understanding of the evaluation purpose/goals are clarified among the evaluator and the stakeholders invested in the evaluation.	1. (i) S-Our stakeholders are always involved in identifying the evaluation questions and this is successful to make sure we are collecting information that will be useful to them, and they have an idea from the very start of how they could use the information to make program decisions / (ii) U-Global misunderstanding of evaluation purposes for both the evaluation team and the main stake-holders / (iii) U-Unrealistic expectations about program outcomes/design
	2. Learning goals of evaluation are identified, valued and linked to program improvement and evaluation capacity building.	2. (i) S- The program managers greatly valued the potential for the evaluation to help them continuously improve the program / (ii) S-Capacity building- the staff were committed to learning HOW to conduct an evaluation / (iii) U- Data were used to justify the program rather than improve it. (iv) U-Only for accountability, not for learning.
Evaluator/sponsor expectations[1]	1. Sponsor expectations include engagement in a collaborative approach.	1. (i) U- Government renewal of the program was at stake in the evaluation and this made the program participants quite defensive/ (ii) U-If purpose is purely accountability and process is dictated from funder, collaborative approaches are more difficult to implement/ (iii) U-Funder used the evaluation to "force" collaboration not only among stakeholders in this project, but also demanded collaboration with four other collaborative evaluations.
	2. Intent and meaning of the collaborative approach is established early and reinforced over time.	2. S- the sponsor of the evaluation wrote a RFP asking specifically for a collaborative approach & I described in detail what that meant to me. When I was selected to do the evaluation we both knew we were committed to collaboration (which didn't make it easy, it just meant we both kept that goal salient when things got tricky)

Principle: Develop a Shared Understanding of Program Characteristics and Contexts

Dimensions	Contributing Factors	Quotations (S- came from description of a **successful** collaborative approach; U- came from description of an **unsuccessful** collaborative approach)
Knowledge of Program	1. Opportunities are built in for clarification and description of the program.	1. (i) S- Stakeholders and evaluator participated in conceptualizing the project, before it was even funded. As a result, project goals, objectives, implementation, and corresponding evaluation went smoothly/ (ii) S- Evaluator helped project leaders articulate their program objectives and learning outcomes for participants at the start of the program / (iii) S-Conducting interviews with program participants allowed funder stakeholders to understand how the program worked.
	2. Substantive program knowledge is acquired and used in decision making.	2. (i) S-Evaluator was not an "expert" in the program content area and absolutely needed stakeholders to provide clarity about how the data would be used and what the boundary conditions were for asking questions of intended beneficiaries / (ii) S-Stakeholders are closer to the program - important to leverage their knowledge in evaluation design / (iii) S-The stakeholders valued our relevant prior experience on very similar projects. They knew we had a reputation at NSF for doing good work on this type of project. They were very open and eager to work with us.
Knowledge of Organizational Culture	1. Forces creating organizational and program stability/instability are identified, monitored and, if possible, addressed.	1. (i) U-Significant organizational turnover occurred at the dissemination and use phase, so new leadership wanted to follow a new vision rendering the work irrelevant/ (ii) U-Program was in transition and difficult to find a consistent thread/voice among program participants.
	2. Organizational buy-in and capacity for evaluation is assessed, monitored and optimized.	2. (i) S-Excellent program manager who was intent on making sure that her program was successful, constantly improving and had the documentation to prove it/ (ii) S-Supervisors supported program developers, implementers and front-line staff to have time to work on evaluation / (iii) U-A mid-project change in administration decreased political support for the project, decreasing the motivation for stakeholders to participate.

Principle: Monitor the Degree to which Evaluation is Valued

Dimensions	Contributing Factors	Quotations (S- came from description of a **successful** collaborative approach; U- came from description of an **unsuccessful** collaborative approach)
Evaluation culture	1. Evidence-informed decision making is held in high regard at all levels of the organisation.	1. (i) S- The stakeholders believed in the value of using a rigorous evaluation design and data collection/analysis procedures (ii) U- The culture of the group receiving the evaluation was not one that fostered data use. They saw the evaluation as being for "someone else" or as a "proof of concept" to justify expenditures/ (iii) S- Program administrator was committed to collecting data and using information for program improvement, accountability and future funding purposes (iv) U- Funder did not emphasize data-based improvement or evaluation/ (iii)
	2. Evaluation activities are prioritized by the organization.	2. (i) S-The organization/stakeholders put evaluation on the top priority. Willing to spend time on it/(ii) S-Agency leadership supported and encouraged all levels of staff to participate (iii) S Evaluation was a frequent topic during staff meetings/ (iv) U-stakeholder did not really want an evaluation in the first place
	3. The value of the evaluation is made explicit by program leaders or evaluation champion(s).	3. (i) S- The evaluation had the buy in of agency management and staff at all levels / (ii) S- Key champions among stakeholders for evaluation, particularly within funder organization / (iii) S- Inclusion of the program recipients in the data collection was deemed necessary by the program sponsors and stakeholders/ (iv)U- Lack of basic understanding about evaluation activities amongst clients/ (v) U-Stakeholders did not understand the need for and cost of an external evaluation/ (vi) U-Funder used the evaluation to "force" collaboration not only among stakeholders in this project, but also demanded collaboration with four other collaborative evaluations.

Principle: Ensure Adequate Resources

Principle: Practice Participatory Processes

Principle: Foster Collaborative Relationships

Principle: Ensure Evaluation Technical Quality

Principle: Follow Through to Promote Desired Evaluation Consequences

Your ????