

Utilization- Focused Evaluation

4th Edition



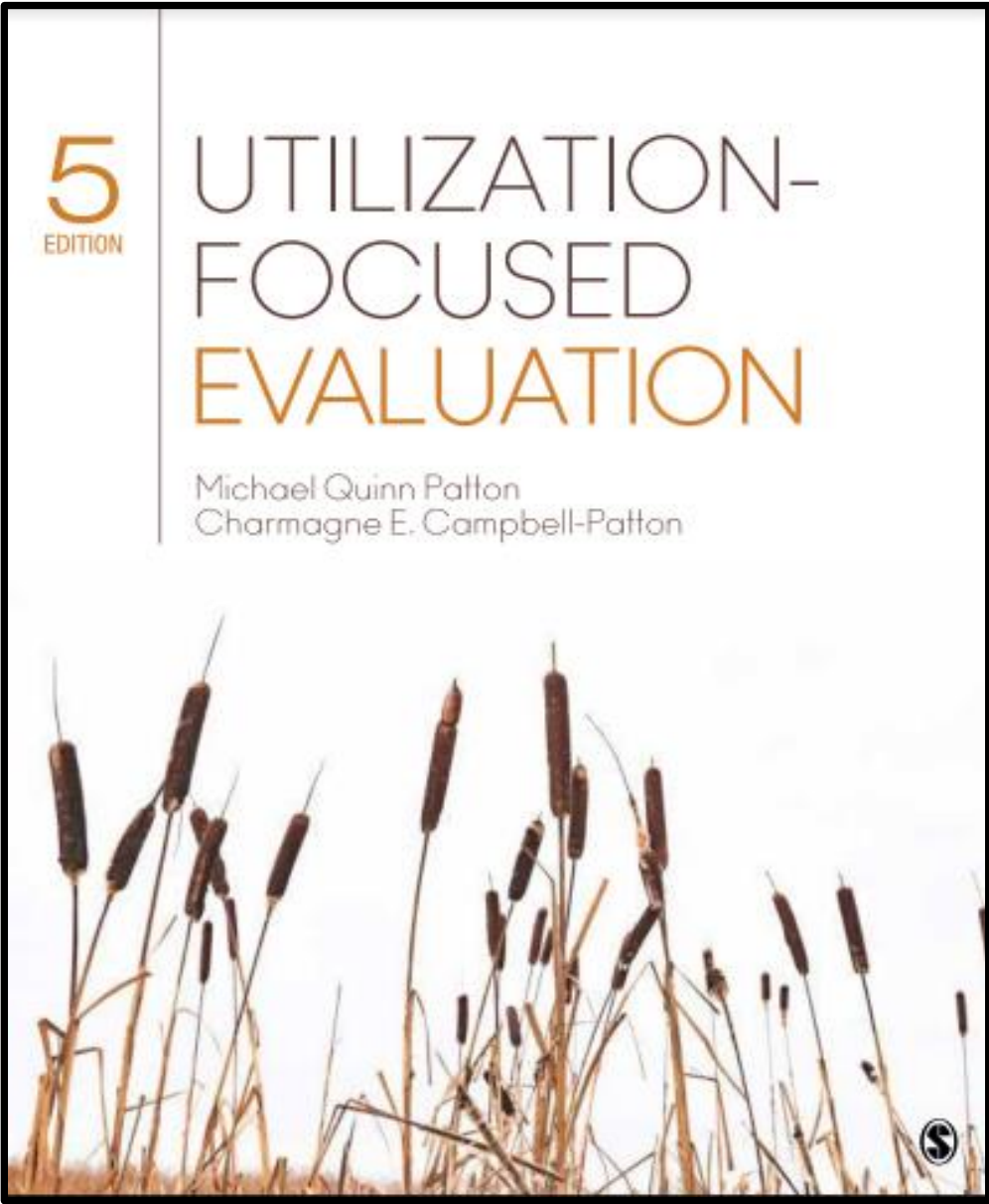
Michael Quinn Patton

Utilization-Focused- Evaluation for Transformation

Michael Quinn Patton

IDEAS onference

September 28, 2022





Khalil
Bitar



EVAL YOUTH

Intergenerational Evaluation

U-FE begins with the premise that evaluations should be judged by their utility and actual use. Therefore, evaluators should facilitate the evaluation process and design any evaluation with careful consideration of how everything that will be done, from beginning to end, will affect use.

USE

- Take use seriously by evaluating use, the source of our own accountability and ongoing learning/professional development
- Different from dissemination
- Different from producing reports
- Groundwork laid and expectations set at the beginning
- Doesn't happen naturally or automatically: requires skilled facilitation



Overarching Principle

Focus on intended use, by and with intended users, in every aspect of, and at every stage of, an evaluation.

Minimum Specifications > MIN SPECS

“Establish only those very few requirements necessary to define something, leaving everything else open to the creative evolution of the complex adaptive system” (Zimmerman et al., 2001, p. 161)



U-FE MIN SPECS

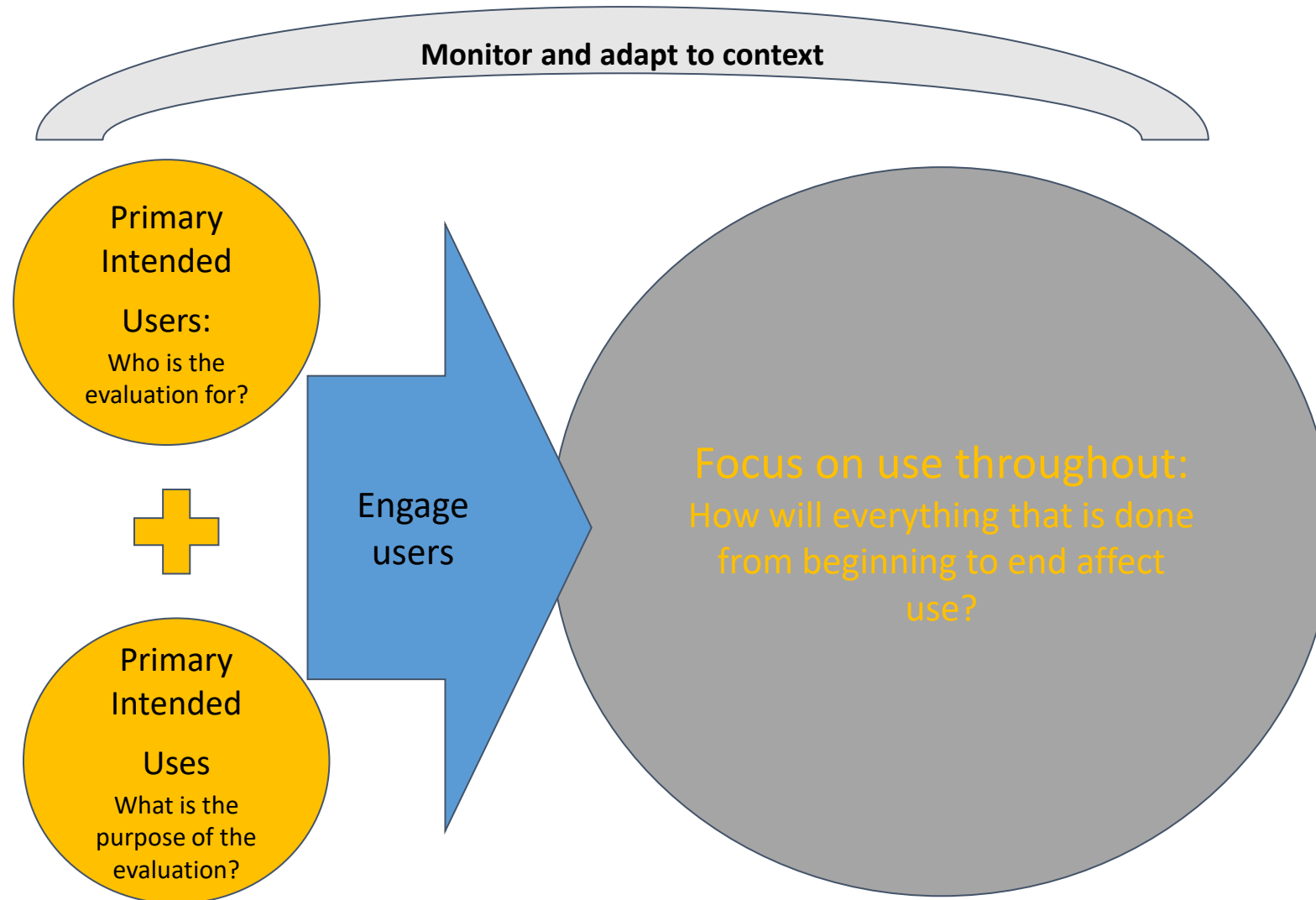
Core elements identify what is essential, that is, what is the minimum that must occur for an evaluation to be considered utilization-focused.



U-FE MIN SPECS

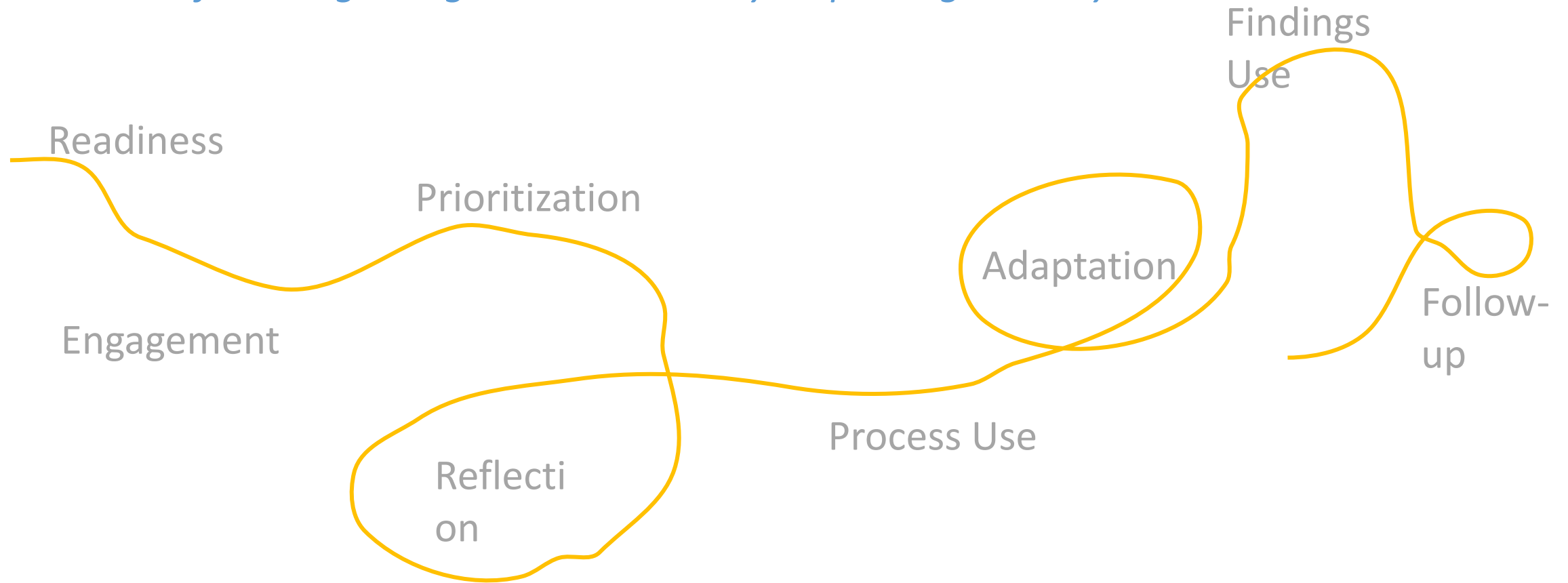
1. *Honor the personal factor.* Identify and engage primary users.
2. *Be purpose driven.* Focus on priority intended uses.
3. *Facilitate process use.* Be active-reactive-interactive-adaptive in engaging users in all aspects of the evaluation.
4. *Take a full-journey stance.* Focus on use from beginning to end and every step along the way.
5. *Adapt to context changes.* When the context for an evaluation changes, the evaluation may need to change.

MIN SPECS Framework for U-FE Thinking



Take a full-journey stance

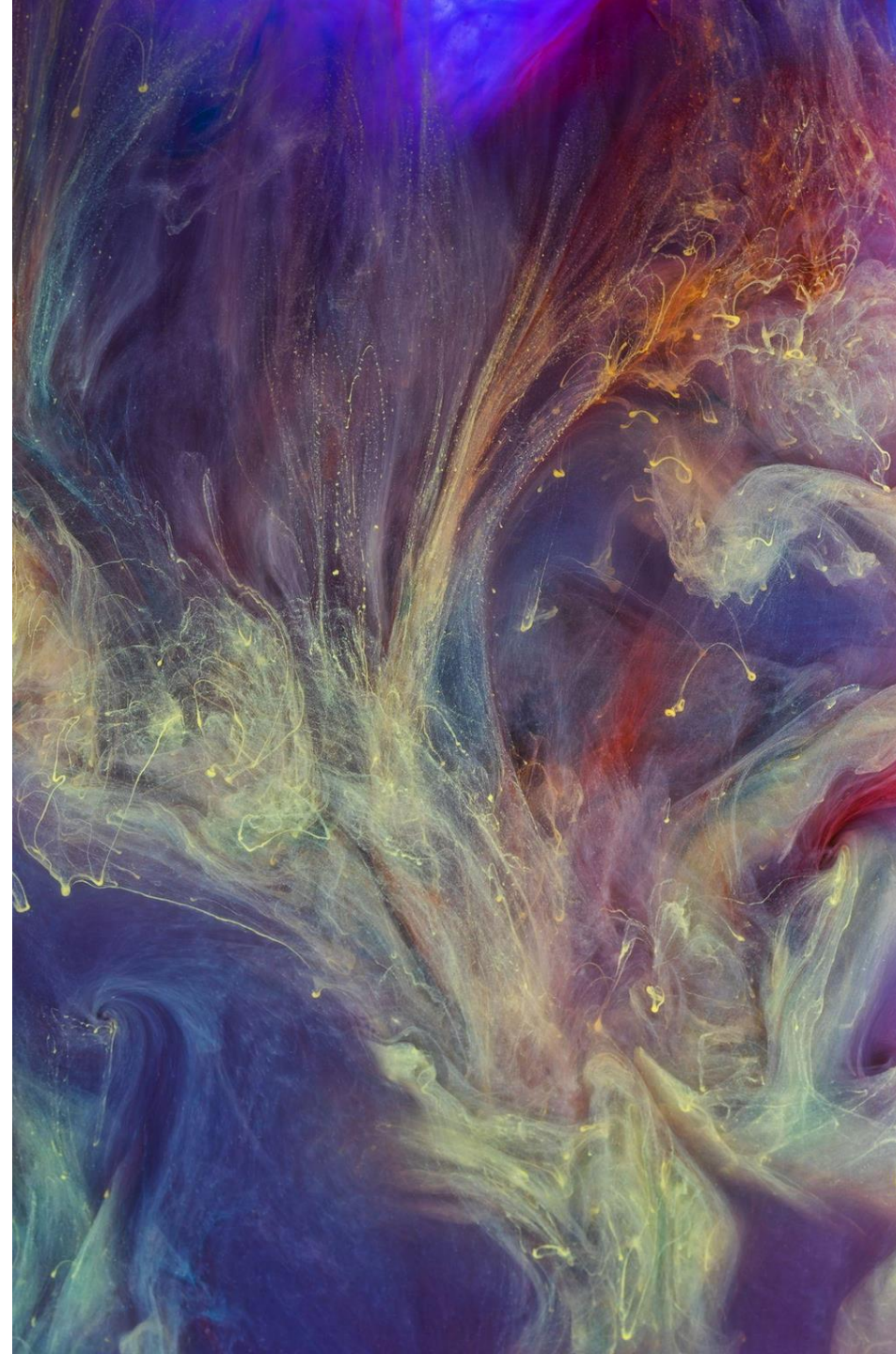
Focus on use from beginning to end and every step along the way.



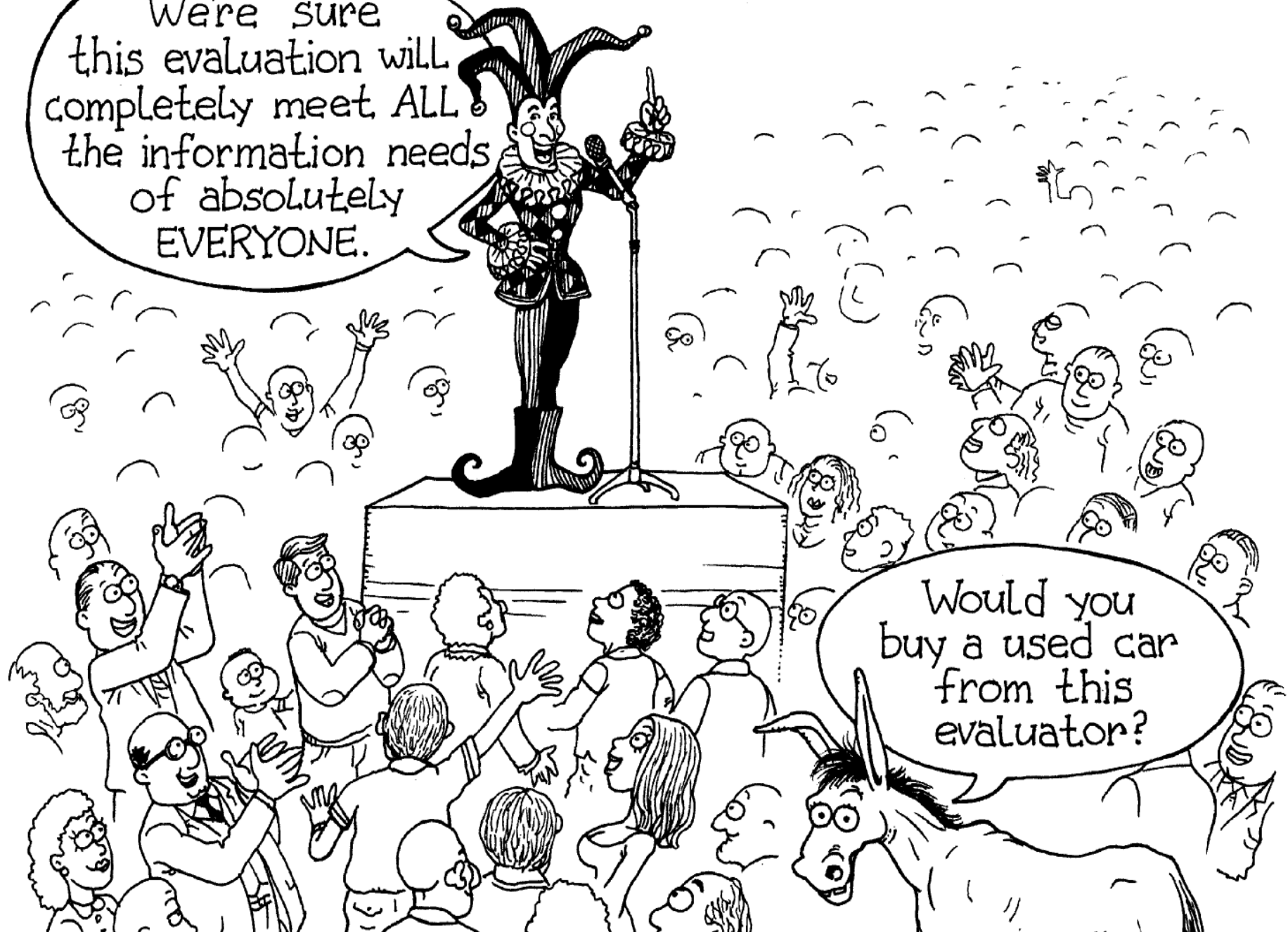
Adapt to context changes

When the context for an evaluation changes, the evaluation may need to change.

1. Include in evaluation designs and contracts language specifying that significant changes in context may lead to changes in the evaluation.
2. Pay attention to trends and patterns that may affect the evaluation.
3. Be open to change. Relevance is contextual. Use is contextual.



We're sure
this evaluation will
completely meet ALL
the information needs
of absolutely
EVERYONE.

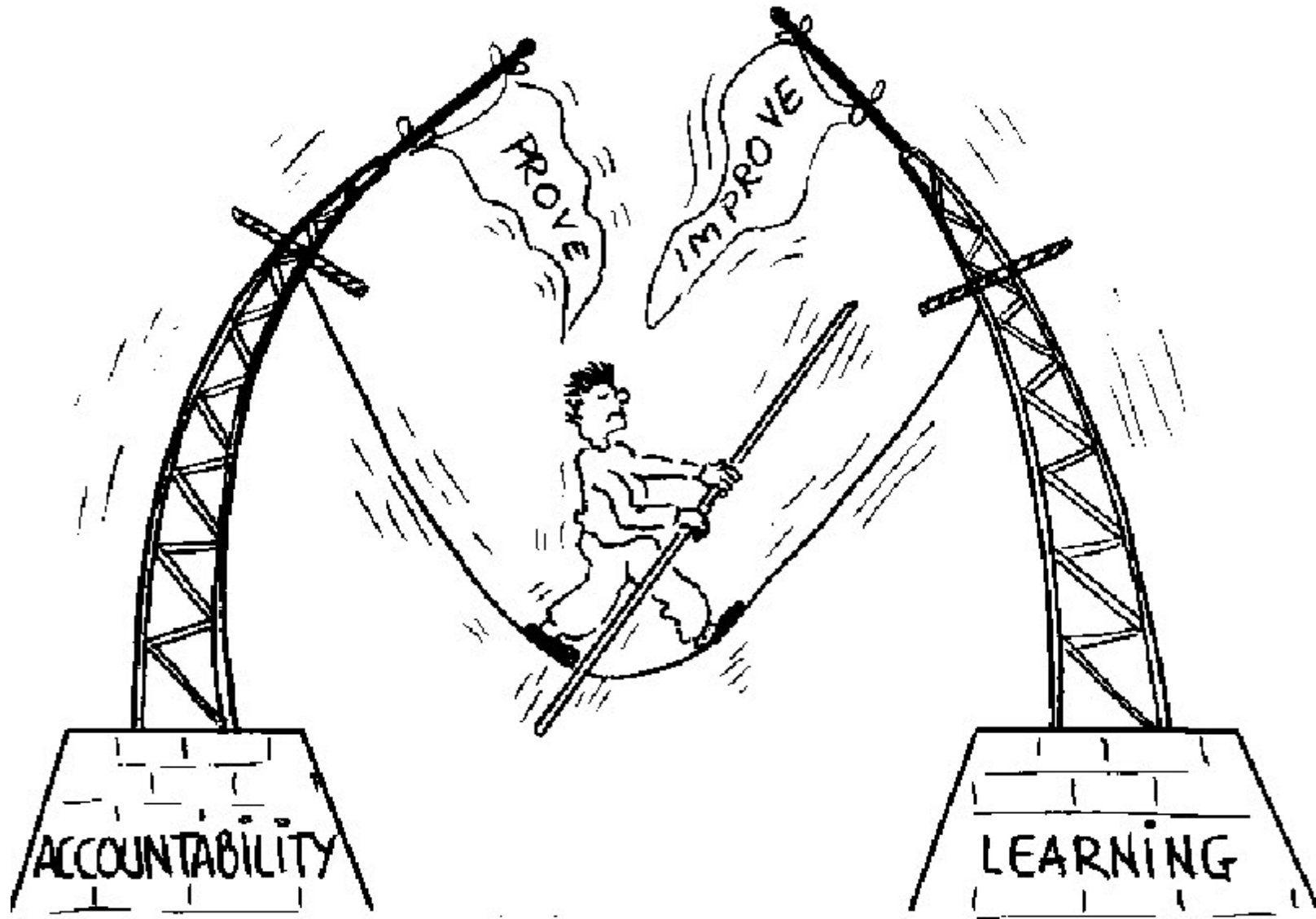


Tensions

Different intended uses serve different purposes and, typically, different intended users.

Thus the need to FOCUS
and manage tensions
between and among different
purposes.

Balancing Different Purposes

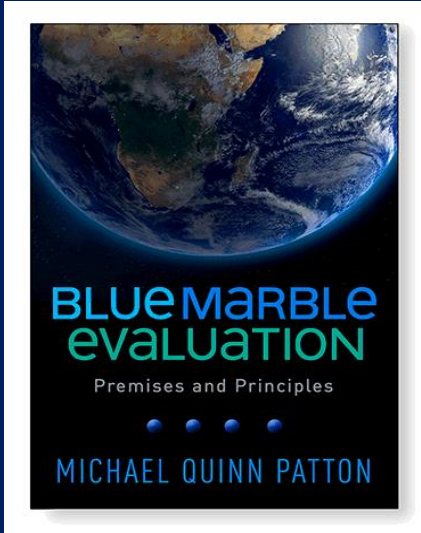




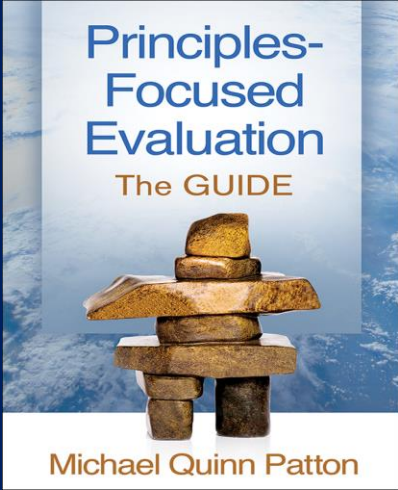
TRANSFORMATION



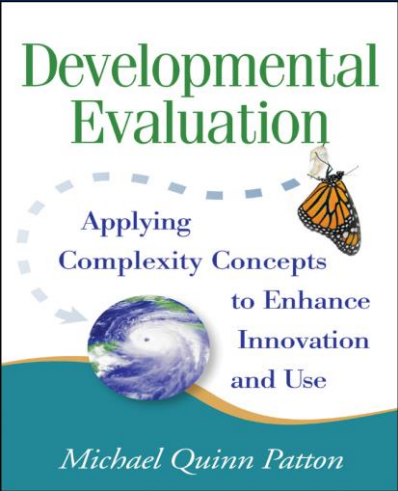
2020



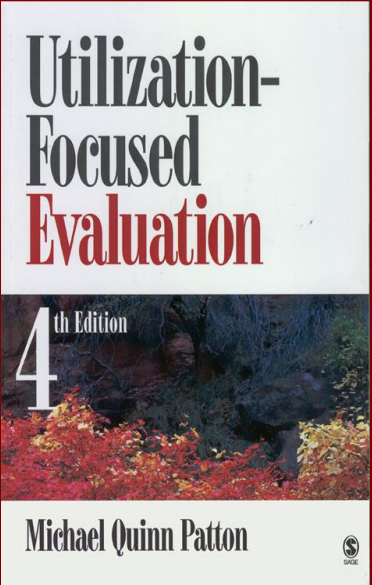
2018



2011



2008



U-FE in Context

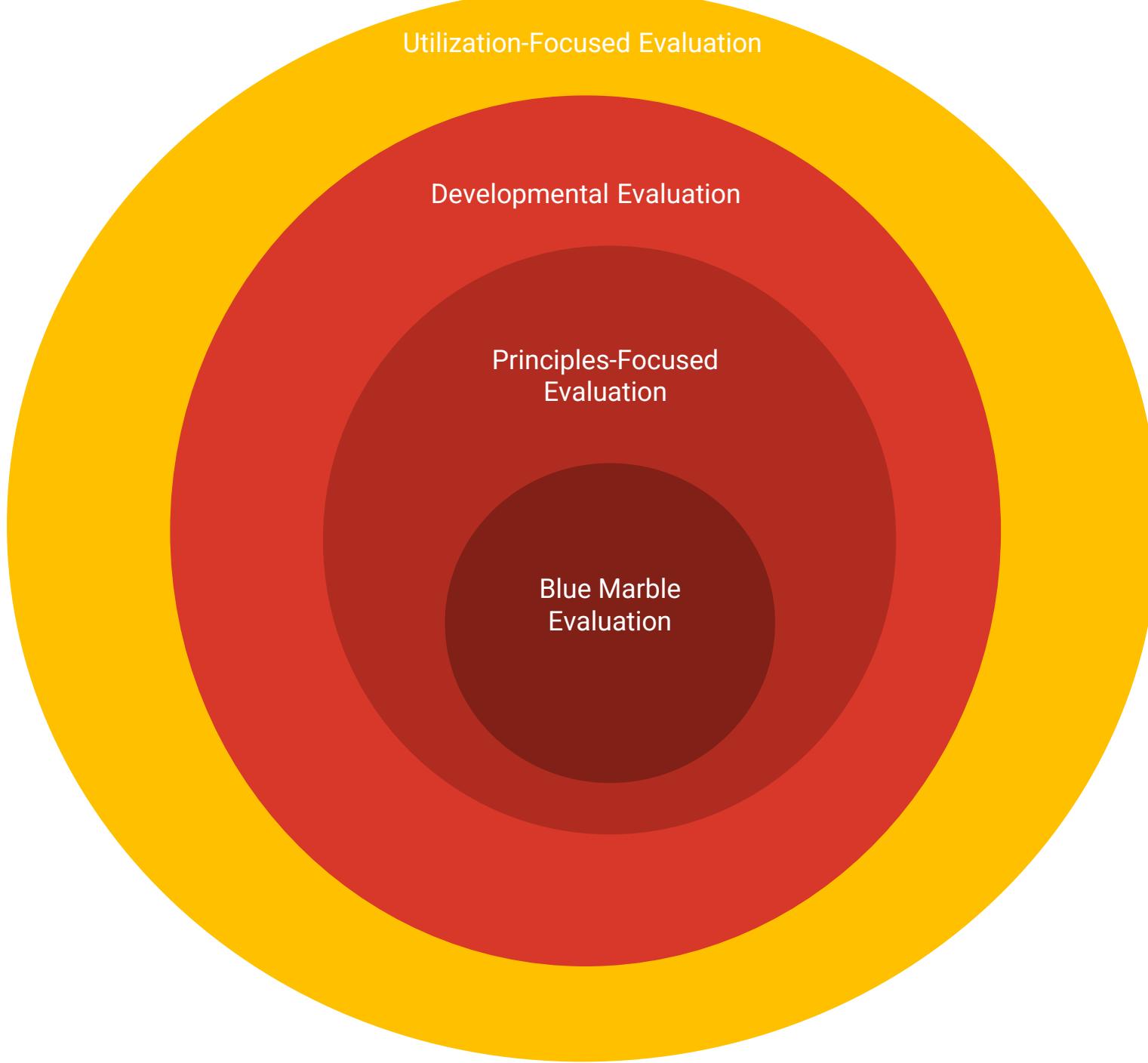
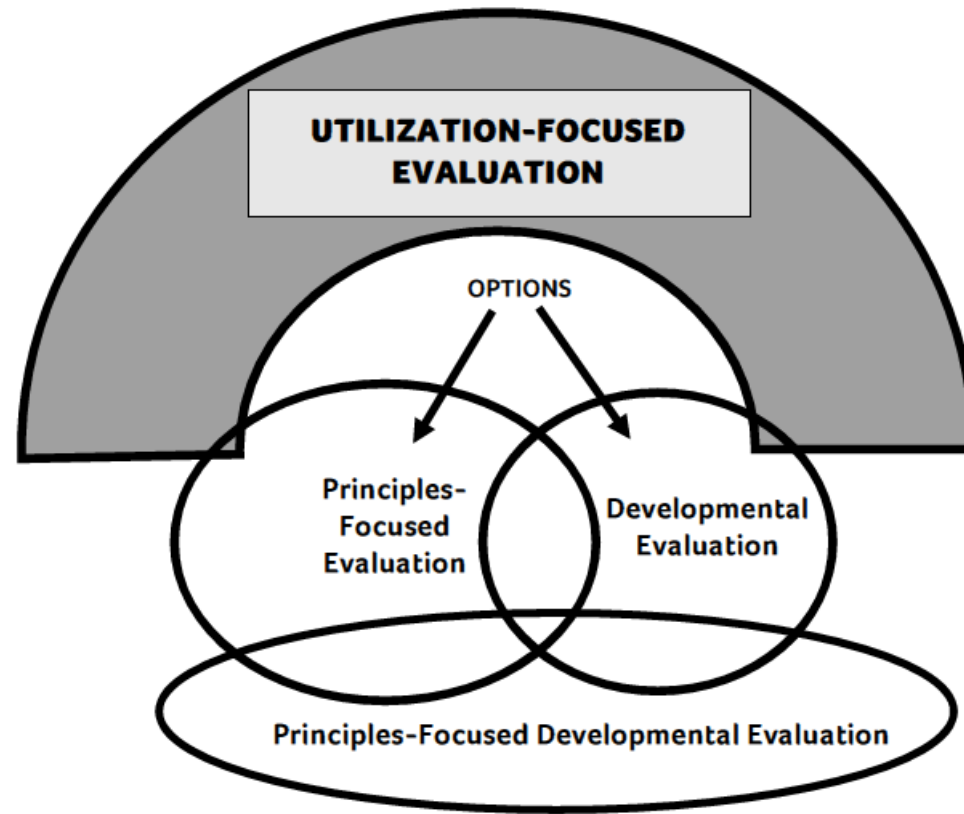
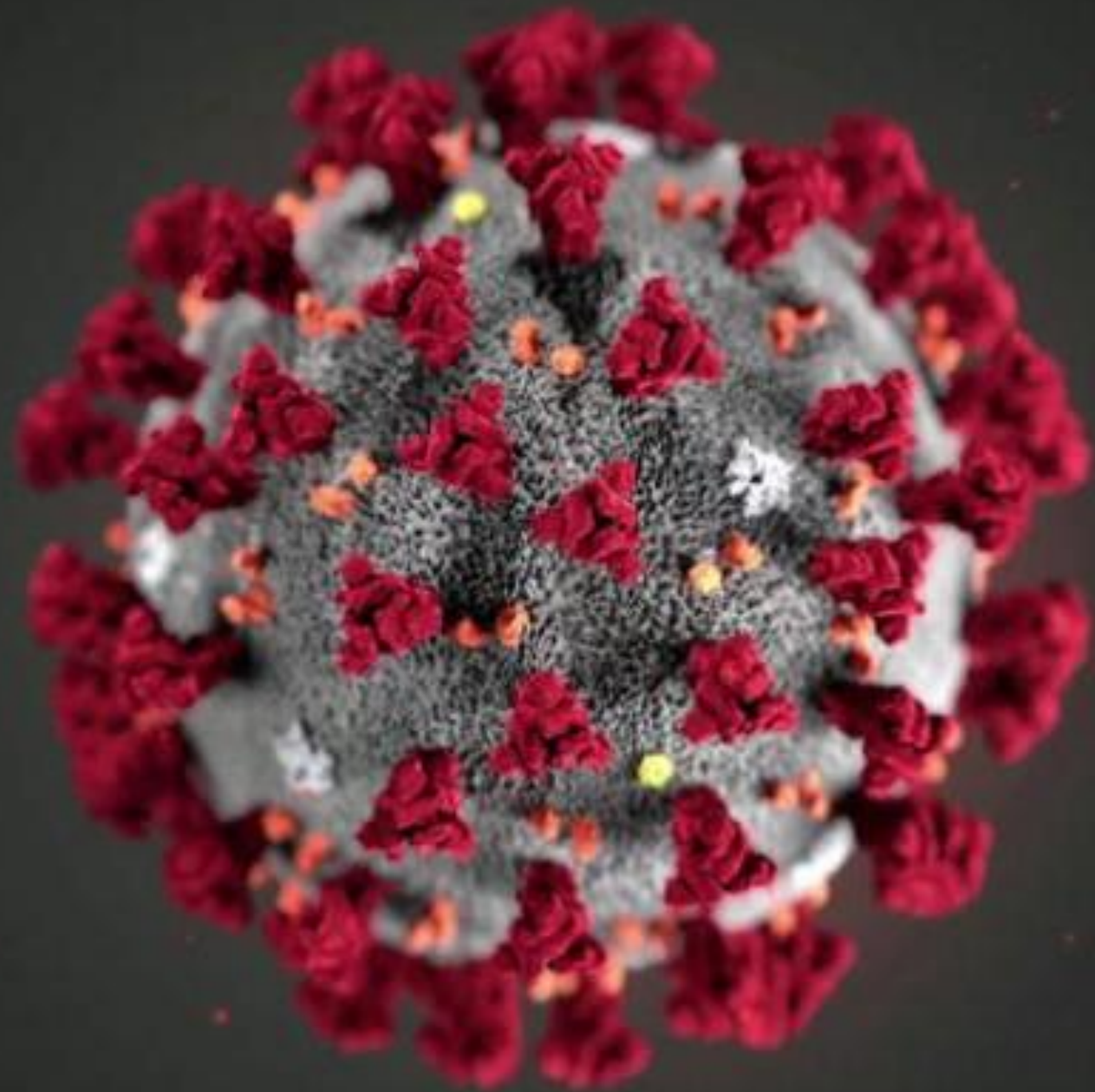


EXHIBIT 5.6. Relationships among Utilization-Focused Evaluation, Developmental Evaluation, and Principles-Focused Evaluation





EVALUATION & the
GLOBAL
PANDEMIC







GEORGE FLOYD,
"I CAN'T BREATHE."



BLACK LIVES MATTER

BLACK LIVES MATTER

SAY THEIR NAMES
#BLM

AM I NEXT?

**END POLICE VIOLENCE
BLACK LIVES MATTER**

10 MILLION

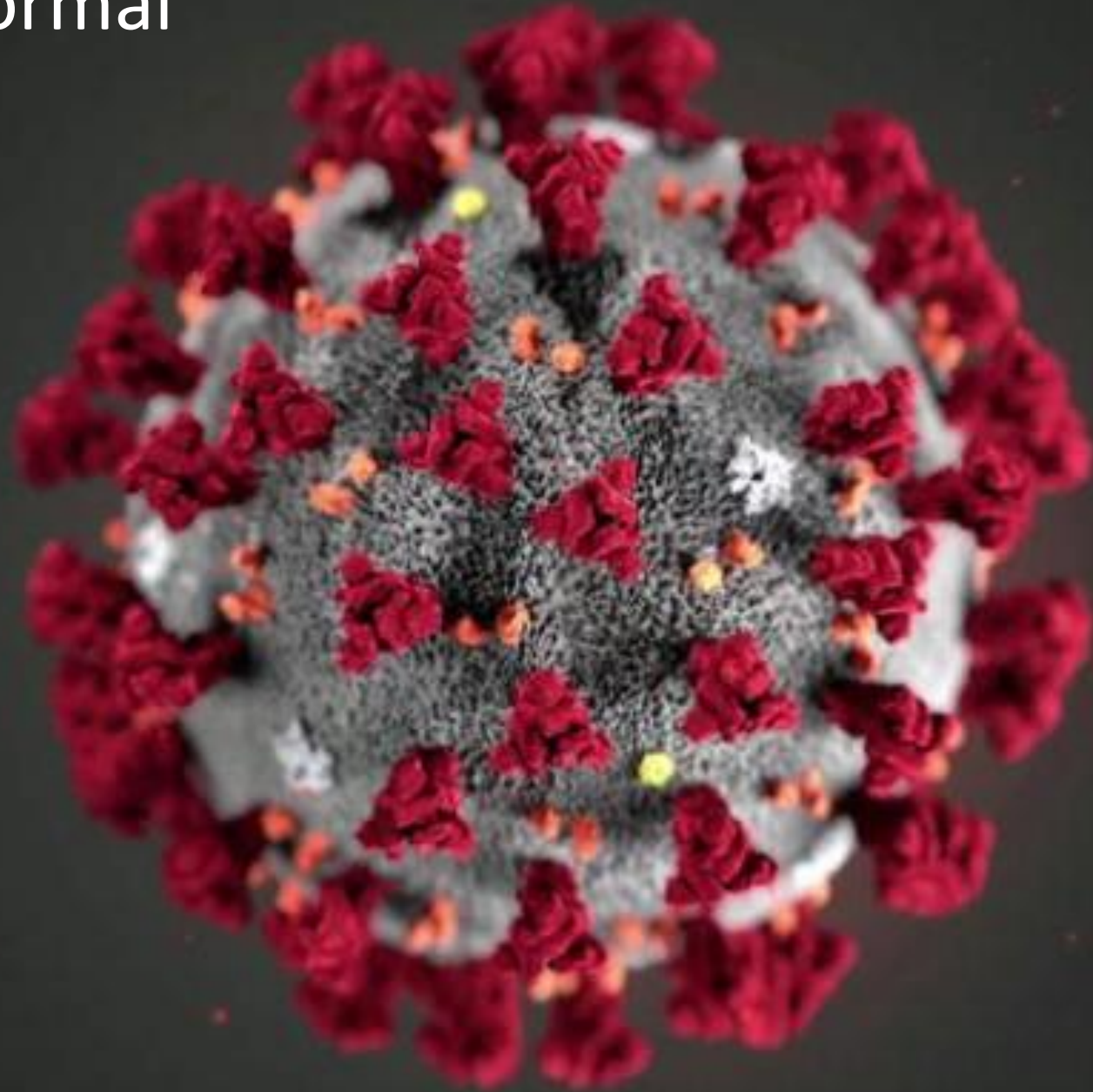


“We are the first generation to know that we are destroying the planet, and the last generation that can do anything about it.”

WWF (2018)



Post-normal
world







BLUE MARBLE evaluation

Premises and Principles



MICHAEL QUINN PATTON

PESSIMISM

OPTIMISM!!

BAD NEWS

GOOD NEWS!



Evaluation grew up in the projects



Evaluation grew up in the "projects"

Evaluation

Traditional

Evaluating...

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

Generating...

- Findings
- Lessons
- Recommendations

Nontraditional & New Directions:

Evaluating...

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

Innovations & Challenges: *Evaluating...*

- Community impacts
- Regional initiatives
- Networks and collaborations
- Leadership
- Inclusiveness and diversity
- Innovation
- Collective impact
- Scaling
- Environmental ecosystem sustainability
- Global systems change: **TRANSFORMATION**



Global problems transcend national and agency boundaries

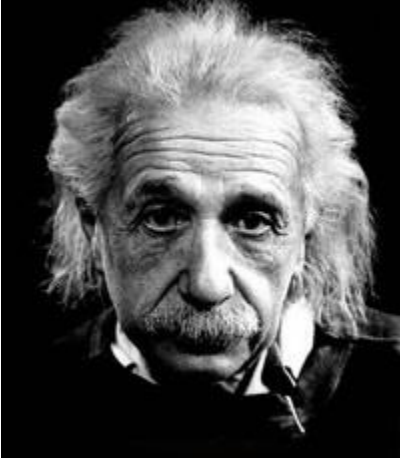
- Climate change
- Economic turbulence
- Refugees
- Virulent infectious diseases
- Dying oceans
- Global cyber-terrorism
- International drug cartels
- Human trafficking
- Weapons trafficking
- Poverty and inequality
- Multi-national corporate collusion



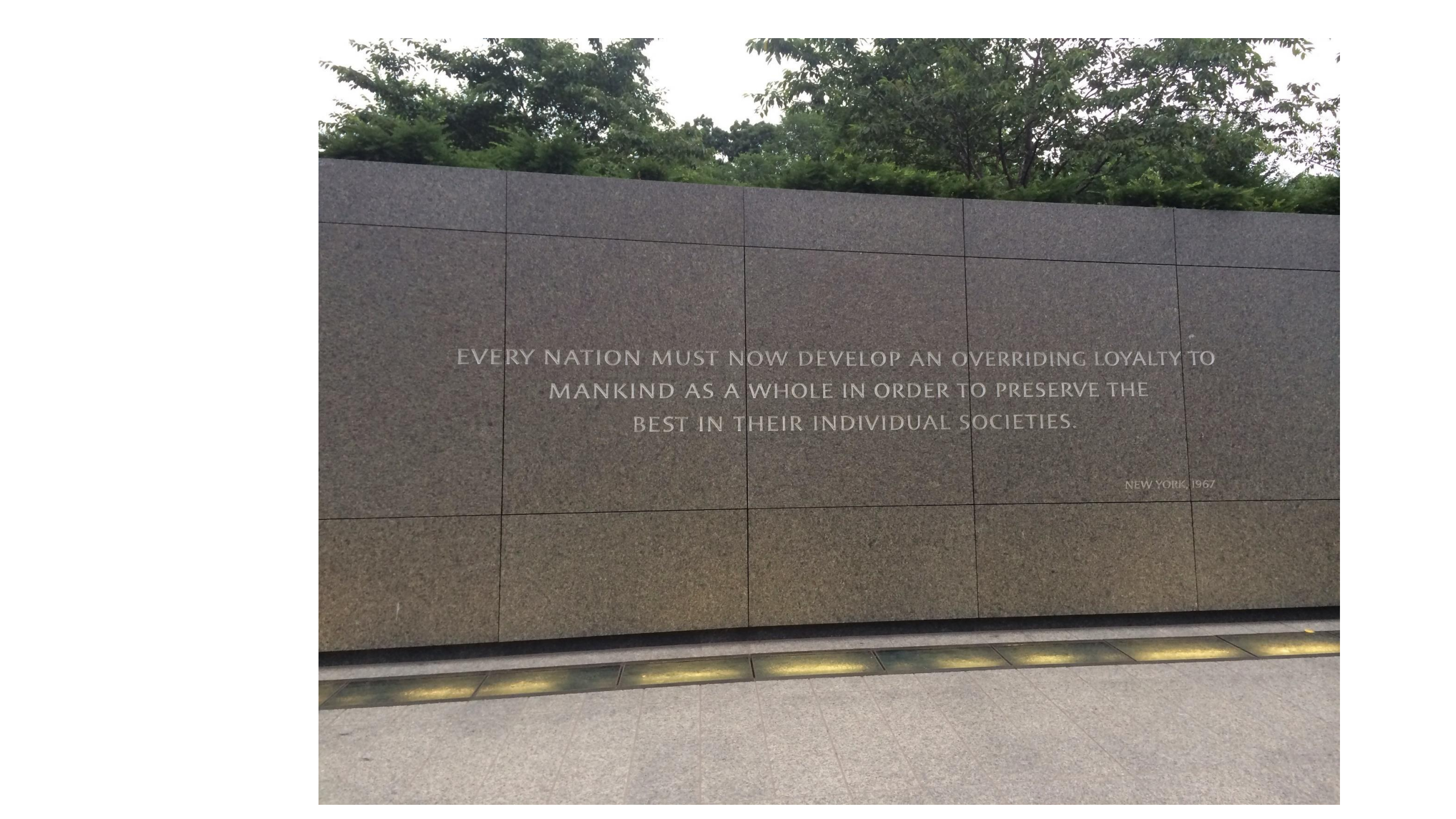
Global problems

- 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.”



EVERY NATION MUST NOW DEVELOP AN OVERRIDING LOYALTY TO
MANKIND AS A WHOLE IN ORDER TO PRESERVE THE
BEST IN THEIR INDIVIDUAL SOCIETIES.

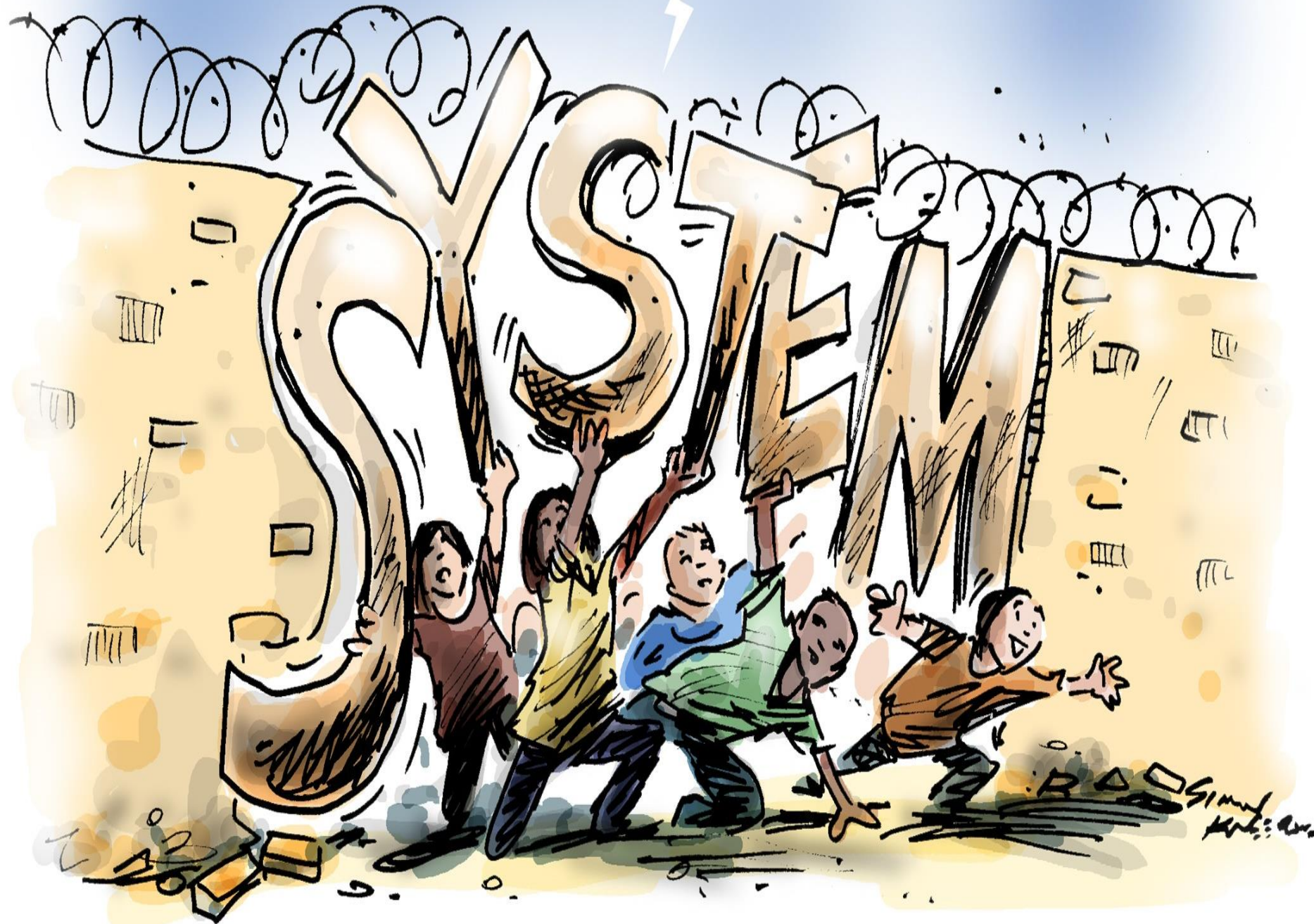
NEW YORK, 1967



Think globally

*Act globally &
locally*

Evaluate the interactions



ZOOMING IN & ZOOMING OUT

- A BLUE MARBLE
EVALUATOR
SKILL!





THE CHALLENGE OF FOCUSING

GLOCAL



EVALUATION FOR TRANSFORMATIONAL CHANGE

Opportunities and challenges for the Sustainable Development Goals



*Under the auspices of the Ministers
and of the Mayor of the City of Prague*



Prague Declaration on

Evaluation for Transformational Change

Adopted on Friday 4 October 2019

We, the evaluators, commissioners, parliamentarians and other evaluation users, gathered in the IDEAS Global Assembly and the Third International Conference on Evaluating Environment and Development, recognize the need and urgency of systemic change from local to global levels to address the global crises endangering our future. Having discussed the role of evaluation in promoting learning, systemic and transformational change, we agree on the following statements.

1. Promote Transformational Evaluation for the Sustainable Development Goals

We commit to evaluations that help us learn, understand and support the transformational and systemic changes needed in our countries and the world, as agreed upon in the 2030 Agenda for Sustainable Development. A sustainable balance between the social, economic and environmental domains is crucial in light of the existential threats of the climate crisis, mass extinction of species, growing local and global inequity, and ultimately unsustainable use of the resources of the planet.

2. Work in partnership

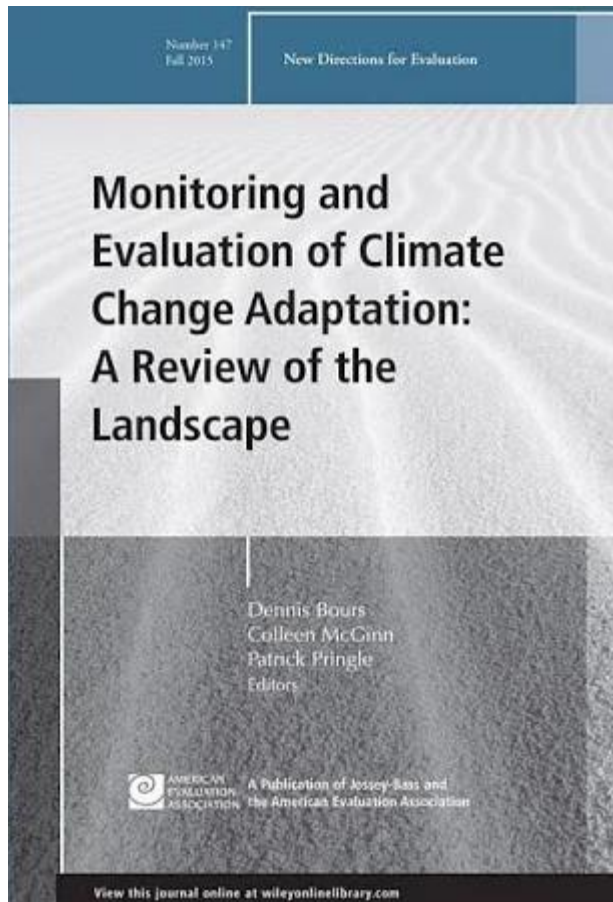
We will promote partnerships among evaluators, based on applied ethic codes and professional standards, and on mutual trust.

At the same time, we commit to engage and recognize new evaluators and collaborators from many different disciplines and fields of work, including young and emerging evaluators, students and interns in evaluation teams whenever possible, in order to promote mutual learning and to discover and leverage new views and skills.

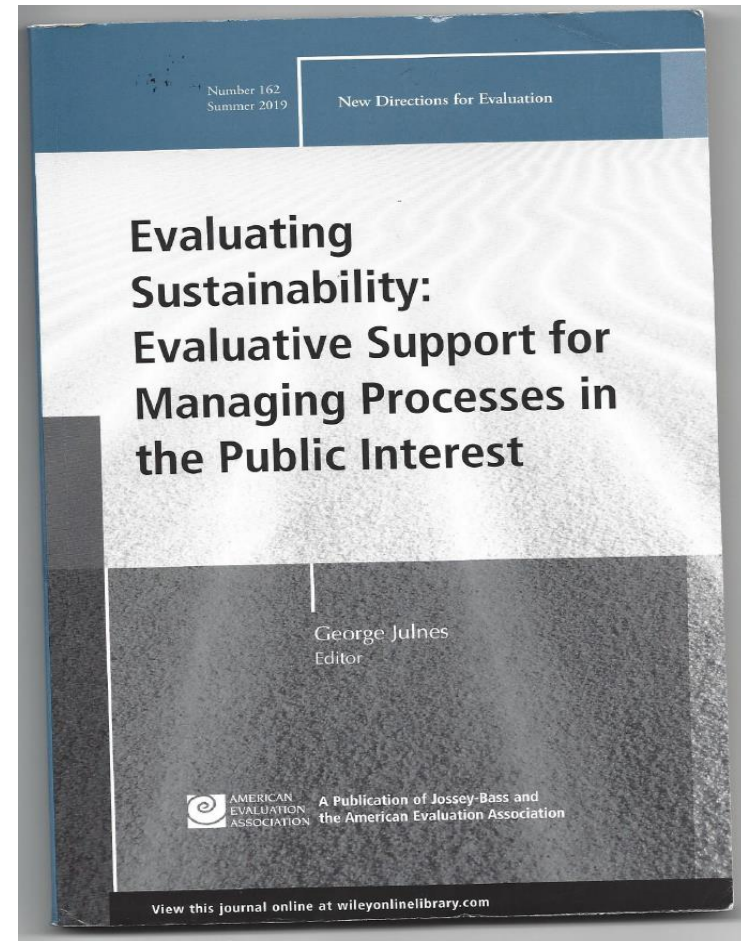
SUSTAINABILITY as a universal criterion in evaluations

6. Focus on sustainability

In all our evaluations, we commit to evaluating for social, environmental and economic sustainability and transformation, including by assessing contextual factors and systemic changes. We commit to assessing and highlighting, in all evaluations, unintended negative social, economic and environmental effects.



2015



2019

BATTLE of OUR TIME

Closing session Friday



VALUES: DEI

- Diversity
- Equity
- Inclusion

All evaluations should
address equity

Jara Dean-Coffey



Guiding Principle E. Common Good and Equity (was General and Public Welfare)

EQUITY

GUIDING PRINCIPLE E: COMMON GOOD AND EQUITY	
Existing Version	Updated Version
<p>GP-E: Responsibilities for General and Public Welfare: Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.</p>	<p>GP-E: Common Good and Equity: Evaluators strive to contribute to the common good and advancement of an equitable and just society.</p>
Sub-statements for Guiding Principle E: Common Good and Equity	
<p>E1. When planning and reporting evaluations, evaluators should include relevant perspectives and interests of the full range of stakeholders.</p>	<p>See D1</p>
<p>E2. Evaluators should consider not only the immediate operations and outcomes of whatever is being evaluated, but also its broad assumptions, implications and potential side effects.</p>	<p>E2: Identify and make efforts to address the evaluation’s potential threats to the common good especially when specific stakeholder interests conflict with the goals of a democratic, equitable, and just society.</p>
<p>E3. Freedom of information is essential in a democracy. Evaluators should allow all relevant stakeholders access to evaluative information in forms that respect people and honor promises of confidentiality. Evaluators should actively disseminate information to stakeholders as resources allow. Communications that are tailored to a given stakeholder should include all results that may bear on interests of that stakeholder and refer to any other tailored communications to other stakeholders. In all cases, evaluators should strive to present results clearly and simply so that clients and other stakeholders can easily understand the evaluation process and results.</p>	<p>see D2 and Preface</p> <p>E4: Promote transparency and active sharing of data and findings with the goal of equitable access to information in forms that respect people and honor promises of confidentiality.</p>

Social
Justice

+



Environmental
Activism

Environmental
Justice

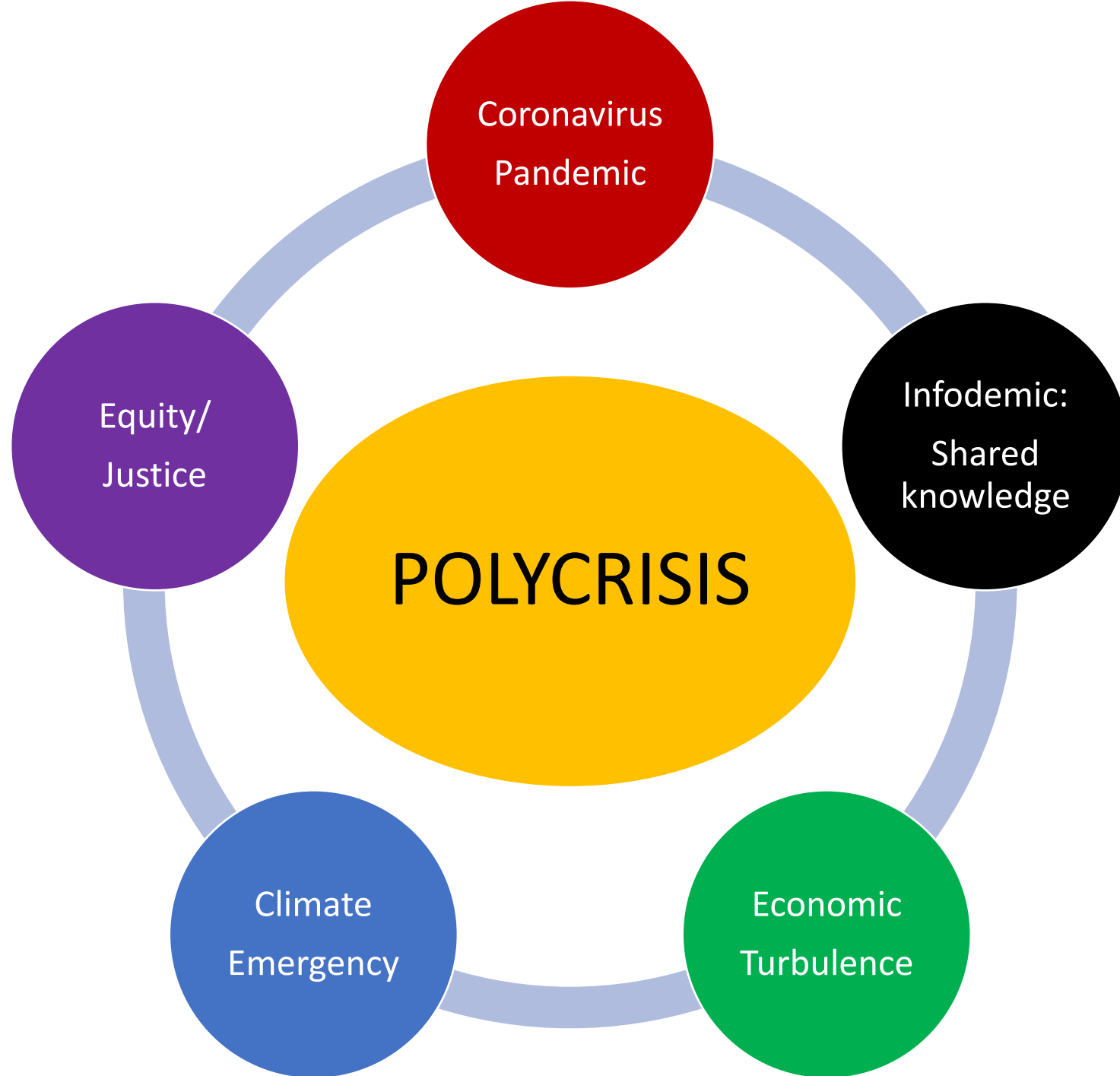


TRANSFORMATION

DECOLONIZATION

SYSTEMS

CLIMATE CHANGE



U-FE 5th
Edition
with
Charmagne E.
Campbell-Patton





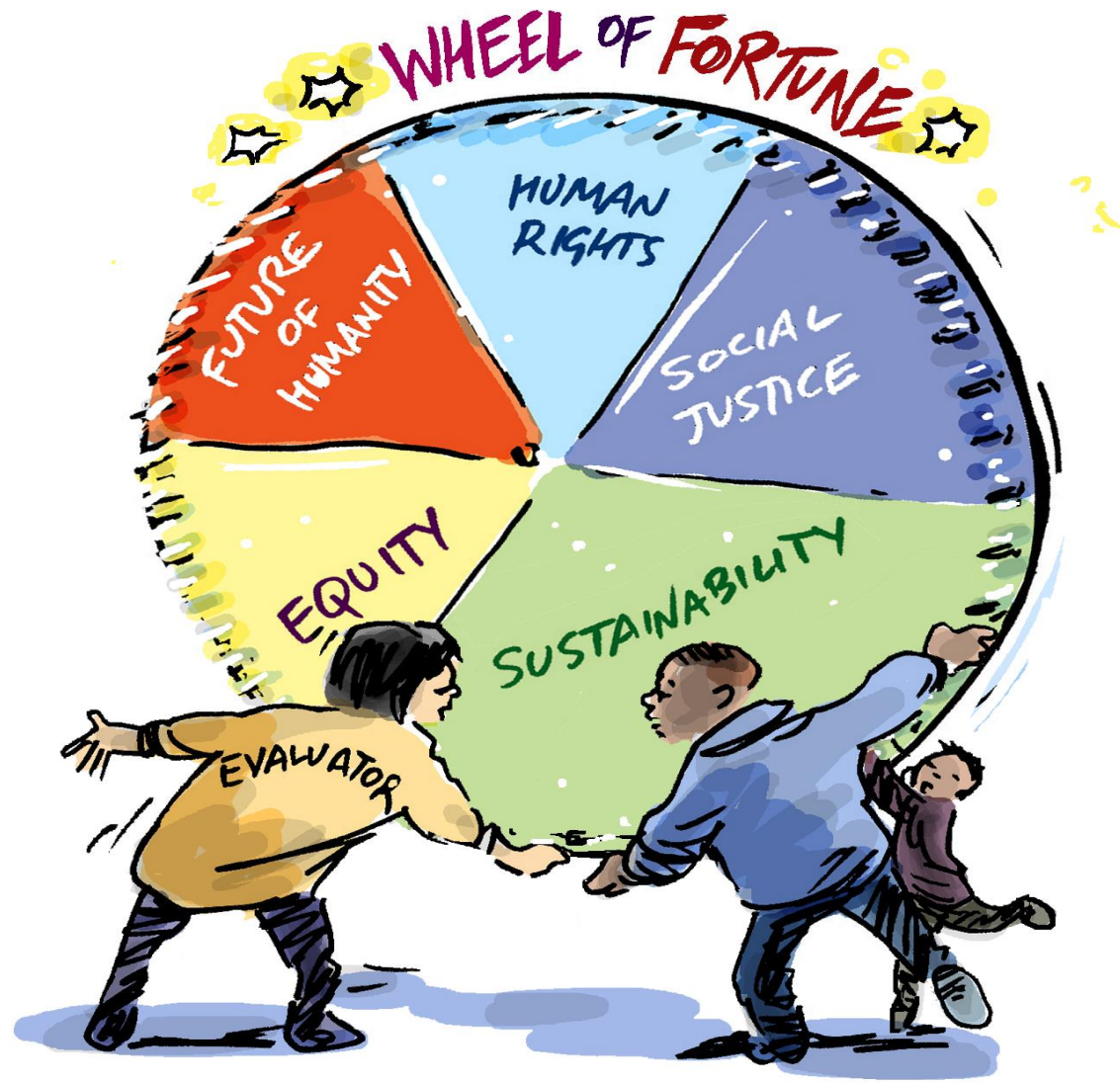
EQUITY

SUSTAINABILITY

TRANSFORMATION

EXTERNAL
INDEPENDENT
EVALUATION





SKIN-IN-THE-GAME EVALUATION

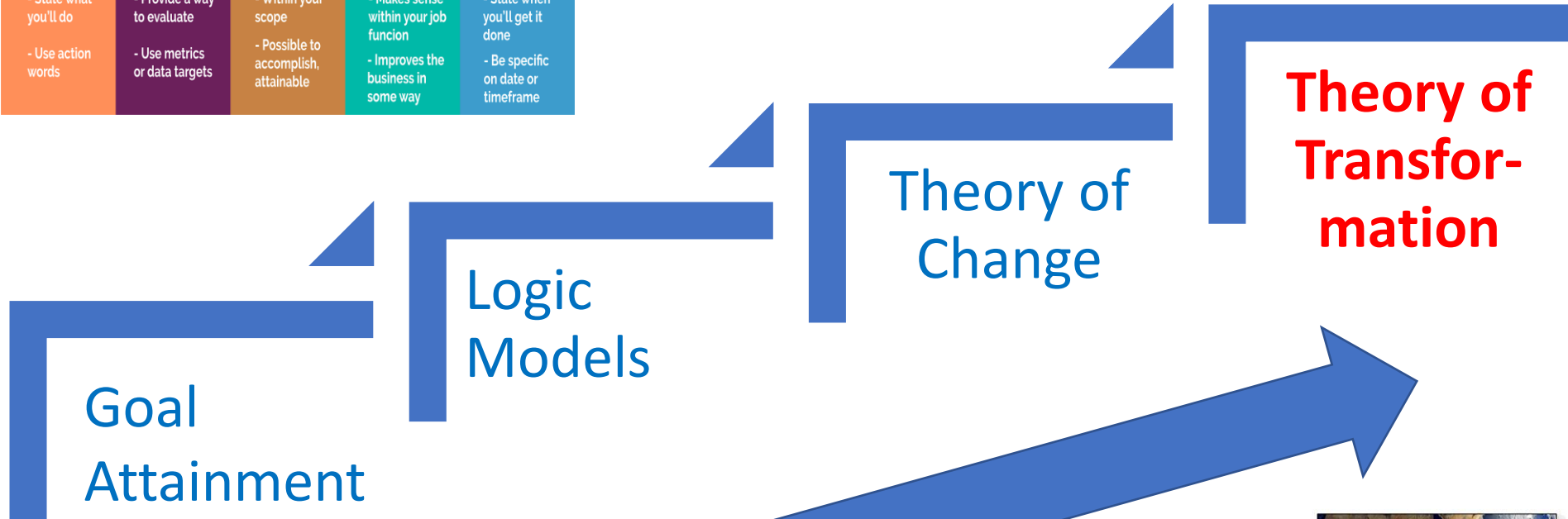
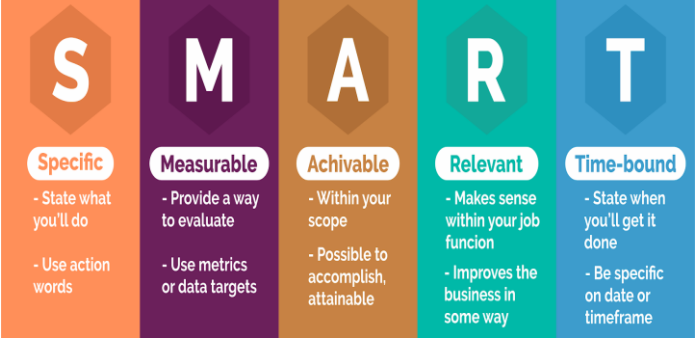
UTILIZATION-FOCUSED,
PROCESS-USE-ORIENTED,
DEVELOPMENTAL,
PRINCIPLES-FOCUSED
BLUE MARBLE
EVALUATION
in support of and
guided by a
THEORY of
TRANSFORMATION



Transformational thinking

Systems thinking:

Thinking beyond *projects and silos*
to systems transformation



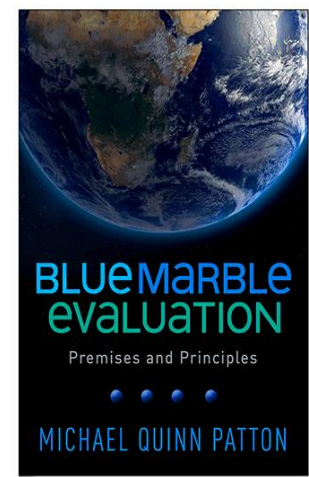
Goal Attainment

Logic Models

Theory of Change

Theory of Transformation

Evolution of Evaluation



Theory of Transformation

Carol H. Weiss



**Nov. 7, 1926 -
Jan. 8, 2013**

Theory of Change:

“Nothing as Practical
as a Good Theory”

1995 Aspen Institute

Nothing as Practical as Good Theory: Exploring Theory-Based Evaluation for Comprehensive Community Initiatives for Children and Families

Carol Hirschon Weiss

The topic on the table is the evaluation of comprehensive cross-sector community-based interventions designed to improve the lot of children, youth, and families.’ These types of initiatives draw on a history of experience, from the Ford Foundation’s Gray Areas Program in the early 1960s, continuing through the federal programs of the President’s Committee on Juvenile Delinquency, the large Community Action Program of the War on Poverty, the Model Cities Program, community development corporations, services integration programs, and others. Most of the government programs incorporated requirements for systematic evaluation; for foundation-supported programs, evaluation was more sporadic and informal. None of the programs was satisfied that it had achieved either *maximal program* benefit from its efforts or *maximal evaluation* knowledge about program consequences from the evaluations it undertook.

In recent years a new generation of comprehensive community initiatives (CCIs) has been funded. Supported in large part by private foundations, the initiatives aim to reform human service and collateral systems in geographically bounded communities. They work across functional areas—such as social services, health care, the schools, and economic and physical redevelopment—in an effort to launch a comprehensive

A call for Theory-based evaluation

*“The theory-driven approach is essential to tracking the many elements of the program [or initiative], and assuring that the results identified in the evaluation are firmly connected to the program’s activities. Tracking all aspects of the system makes it more plausible that the results are **due to** program activities. . . .and that the results generalize to other programs of the same type”*

-- Carol H. Weiss

Multiple theories of change

One significant point should be mentioned here. A program may operate with multiple theories.

I do not mean that different actors each have their own theories, but that the program foresees several different routes by which the expected benefits of the program can materialize.

To take a simple example, a counseling program may work because the counselor gives support and psychological insight that enables a young person to understand her situation and cope with it; it may work because the counselor serves as a role model for the young woman; it may work because the counselor provides practical information about jobs or money management; it may work because the counselor refers the client to other useful sources of help.

All of those mechanisms are possible, and some or all of them may work simultaneously.

A community initiative may work through a variety of different routes. There is no need to settle on one theory.

In fact, until better evidence accumulates, it would probably be counterproductive to limit inquiry to a single set of assumptions.

Weiss wisdom

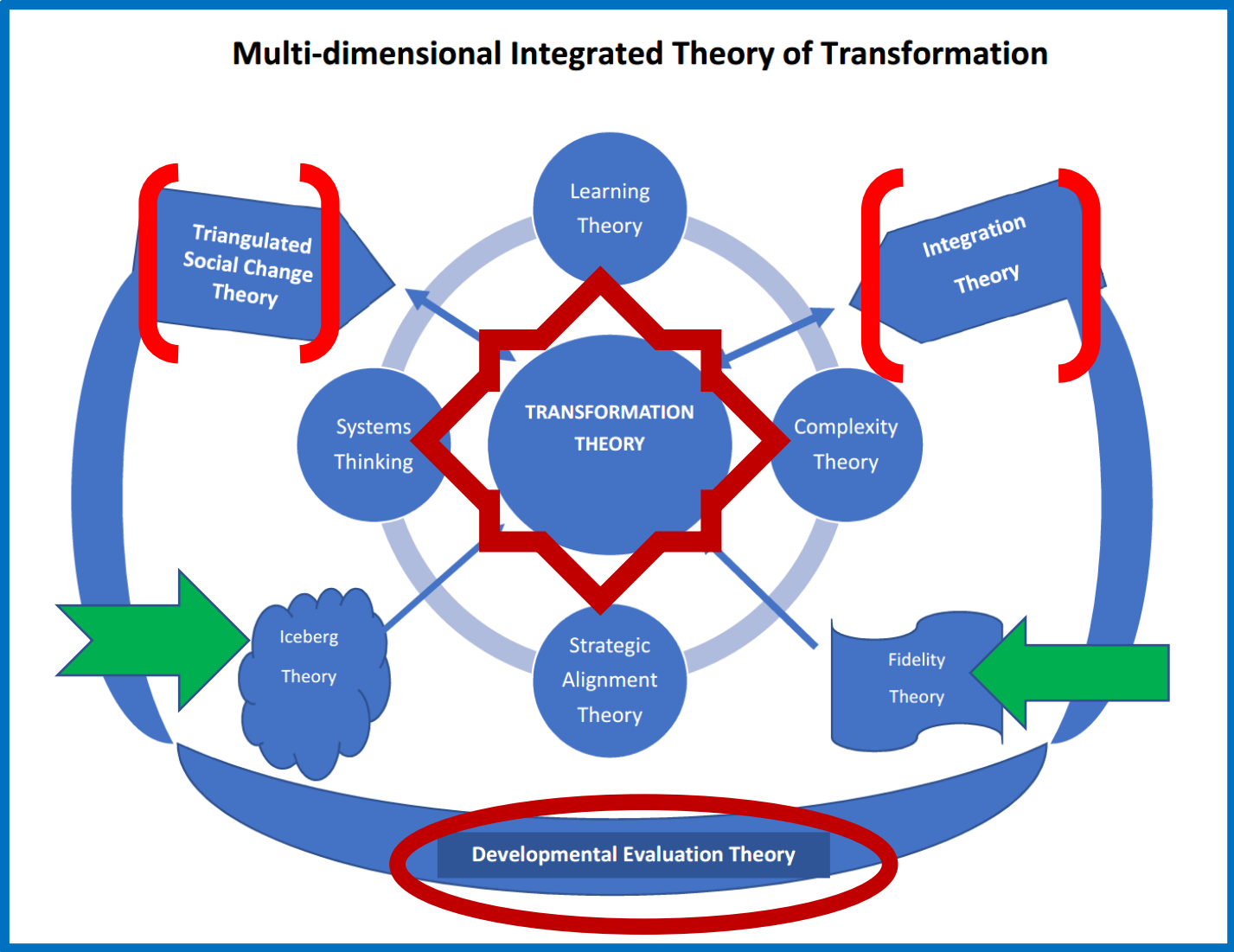
- ✓ Evaluation should probably seek to follow the unfolding of several different theories about how the program leads to desired ends.
- ✓ It should collect data on the intermediate steps along the several chains of assumptions and abandon one route only when evidence indicates that effects along that chain have petered out.

Independent Evaluation Group, The World Bank

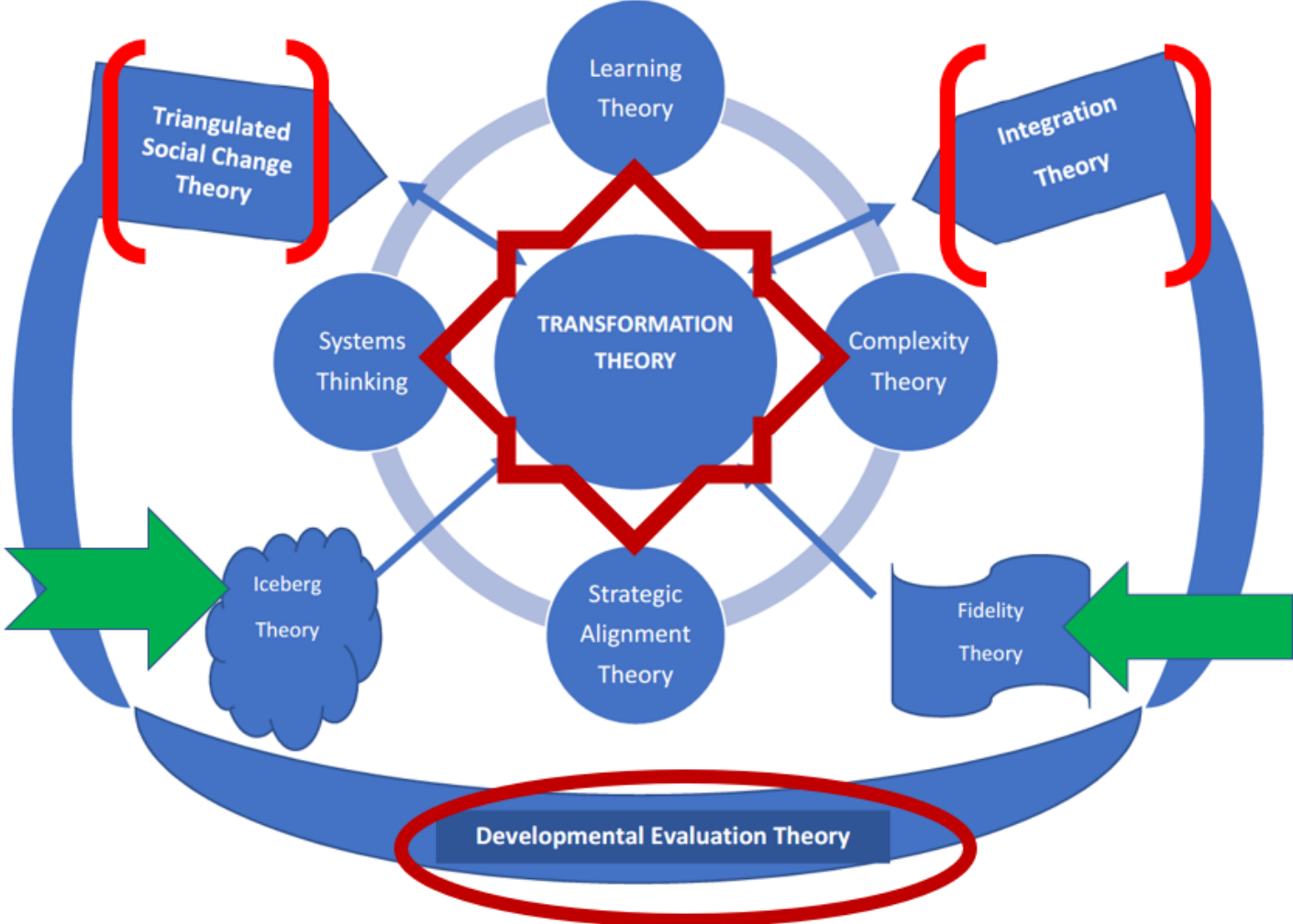
Table 1. The Four Dimensions Defining Transformational Engagements

Dimension	Description	Criteria
Relevance	Addresses a major developmental challenge such as poverty, equity, or climate change	The constraint or problem addressed is of critical importance to development
Depth of change	Causes or supports fundamental change in a system or market; addresses a root cause; supports a change in trajectory	Market change, systemic change, or behavioral change
Scale of change	Causes large-scale impact at a national or global level	Scale-up of approaches and innovations and of replication; catalytic effects; demonstration effects; positive spillovers and externalities; acceleration or discontinuity in a development indicator
Sustainability	Impact is economically, financially, and environmentally sustainable in the long term	Financial, economic, and environmental sustainability of results after engagement ends

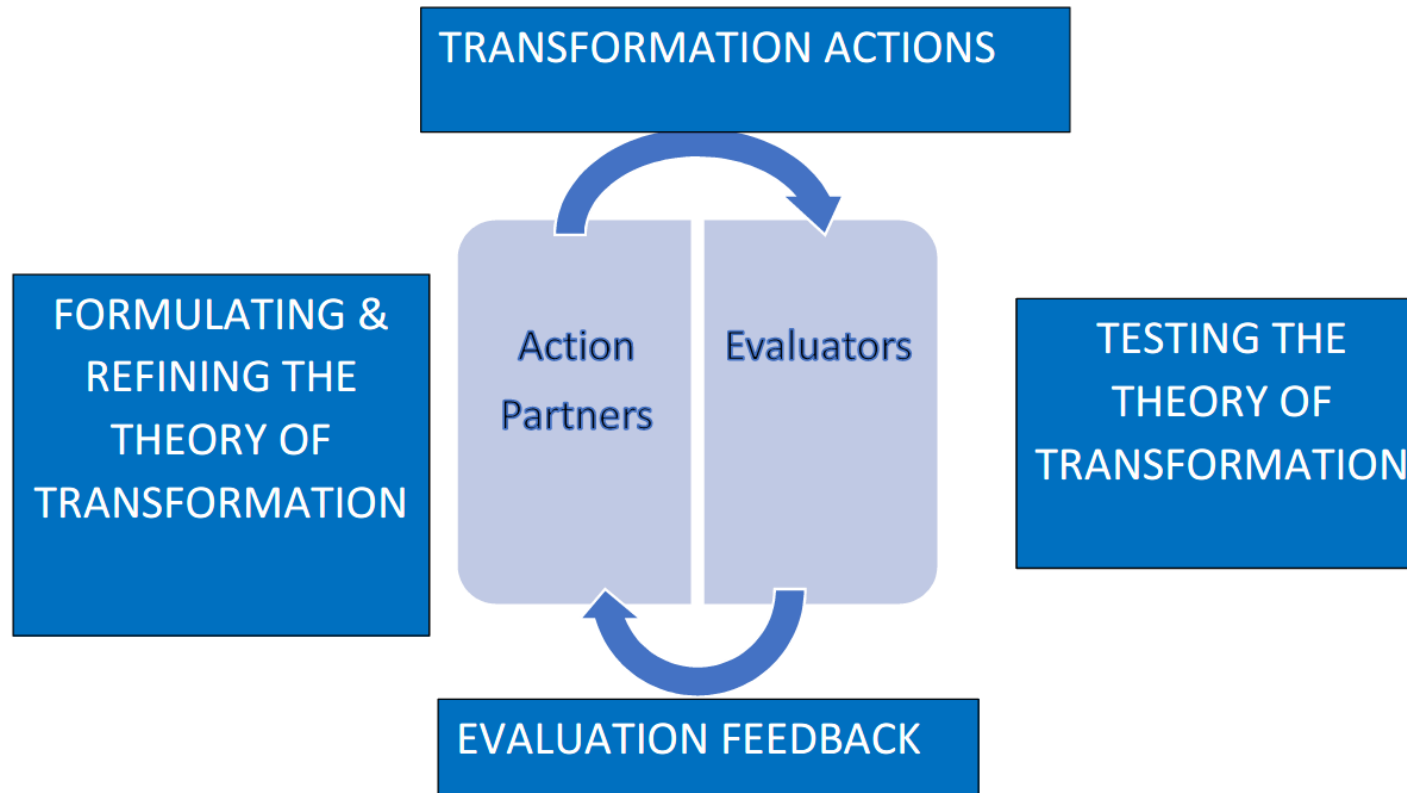
Multi-dimensional Integrated Theory of Transformation



Multi-dimensional Integrated Theory of Transformation



Alignment and Integration of Transformation Actions and Evaluation/Learning Developmental Evaluation



Evaluation becomes part of the intervention

Design, implementation, and evaluation are integrated

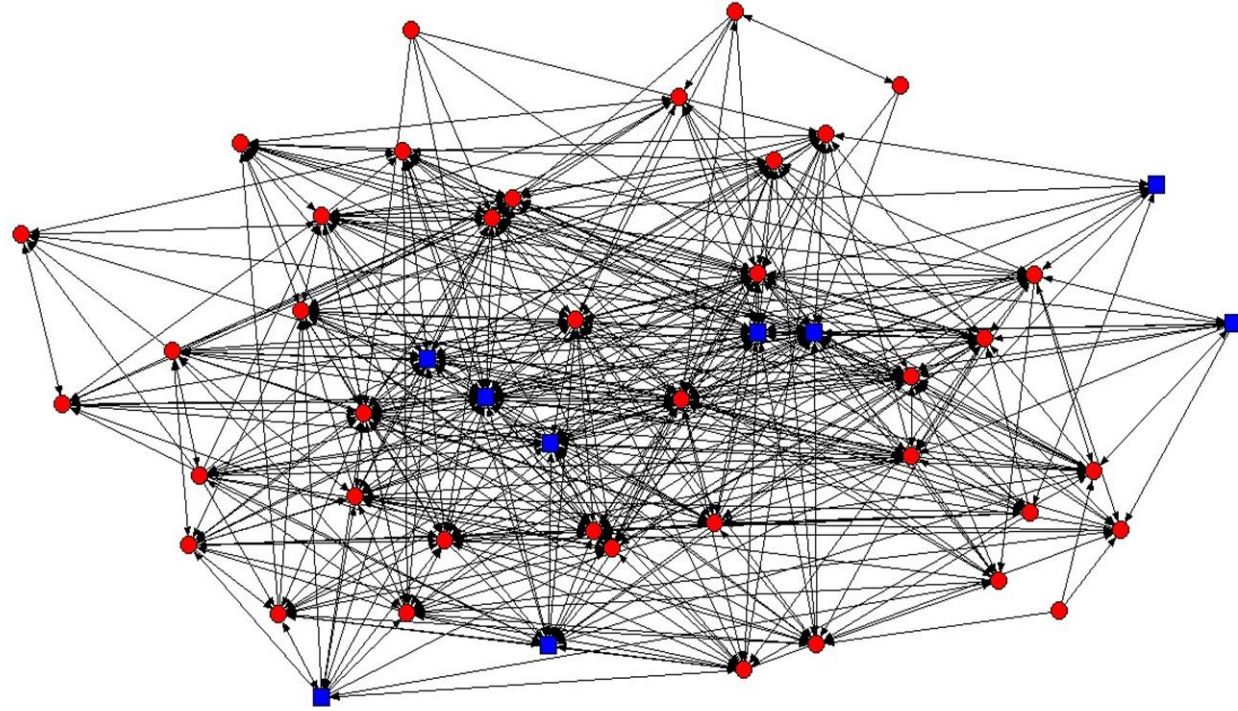
OKAY, SO WE'VE
GOT TO MAKE OUR
OWN PATHWAYS...

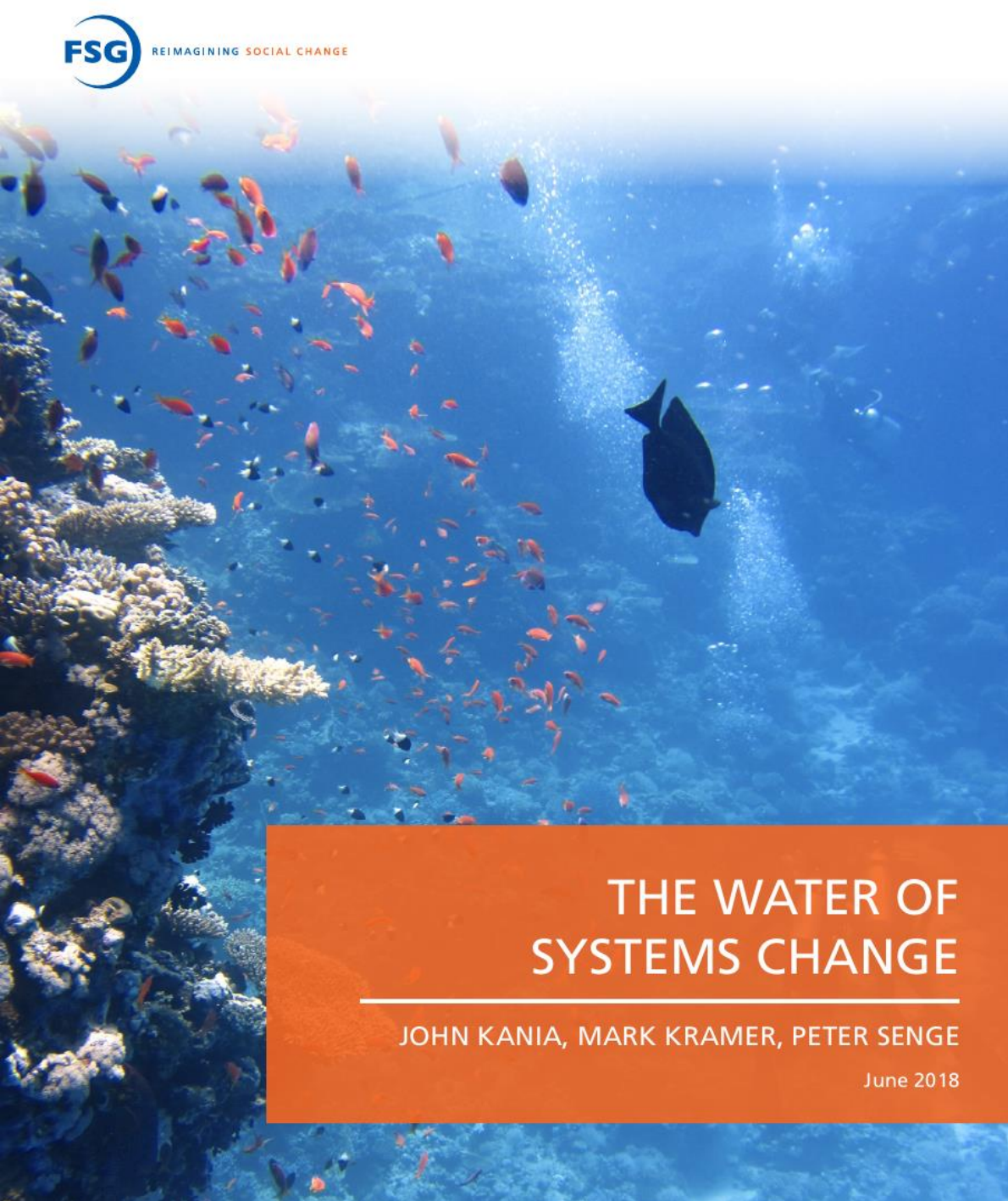


Principles of Systems Thinking

- Interrelationships
- Perspectives
- Boundaries
- Dynamics

Understanding complex, dynamic interconnections





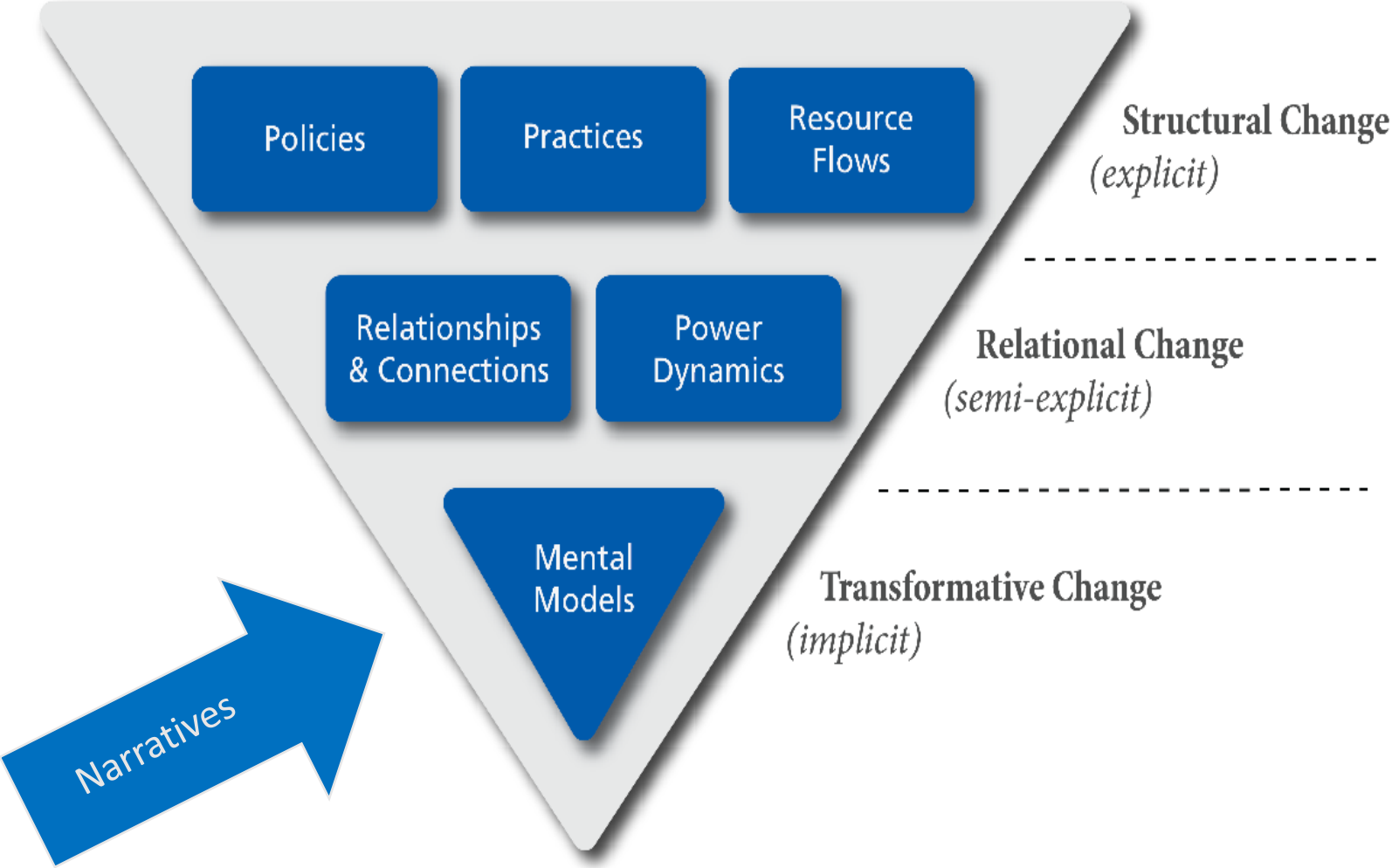
THE WATER OF SYSTEMS CHANGE

JOHN KANIA, MARK KRAMER, PETER SENGE

June 2018

A fish is swimming along one day when another fish comes up and says "Hey, how's the water?" The first fish stares back blankly at the second fish and then says "What's water?"

The Water of Systems Transformation



SYSTEMS CHANGE CONDITIONS—DEFINITIONS

Policies: Government, institutional and organizational rules, regulations, and priorities that guide the entity's own and others' actions.

Practices: Espoused activities of institutions, coalitions, networks, and other entities targeted to improving social and environmental progress. Also, within the entity, the procedures, guidelines, or informal shared habits that comprise their work.

Resource Flows: How money, people, knowledge, information, and other assets such as infrastructure are allocated and distributed.

Relationships & Connections: Quality of connections and communication occurring among actors in the system, especially among those with differing histories and viewpoints.

Power Dynamics: The distribution of decision-making power, authority, and both formal and informal influence among individuals and organizations.

Mental Models: Habits of thought—deeply held beliefs and assumptions and taken-for-granted ways of operating that influence how we think, what we do, and how we talk.

SYSTEMS CHANGE ... beyond projects

- Deep
- Broad
- Long-term

Transformational thinking

Systems thinking:

Thinking beyond *projects and silos*
to systems transformation

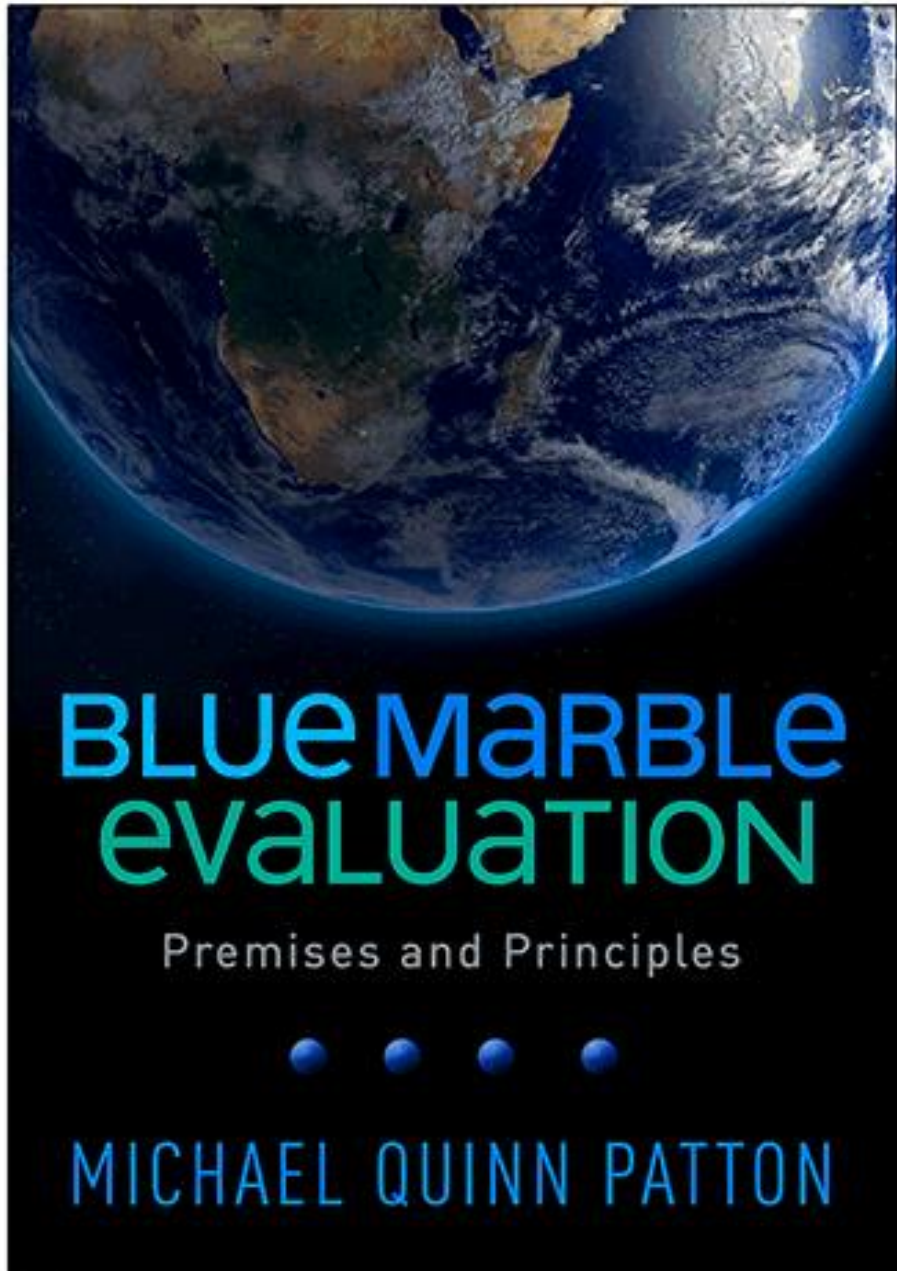
SYSYSTEMS

- Interconnections
- Perspectives
- Boundaries
- Dynamics

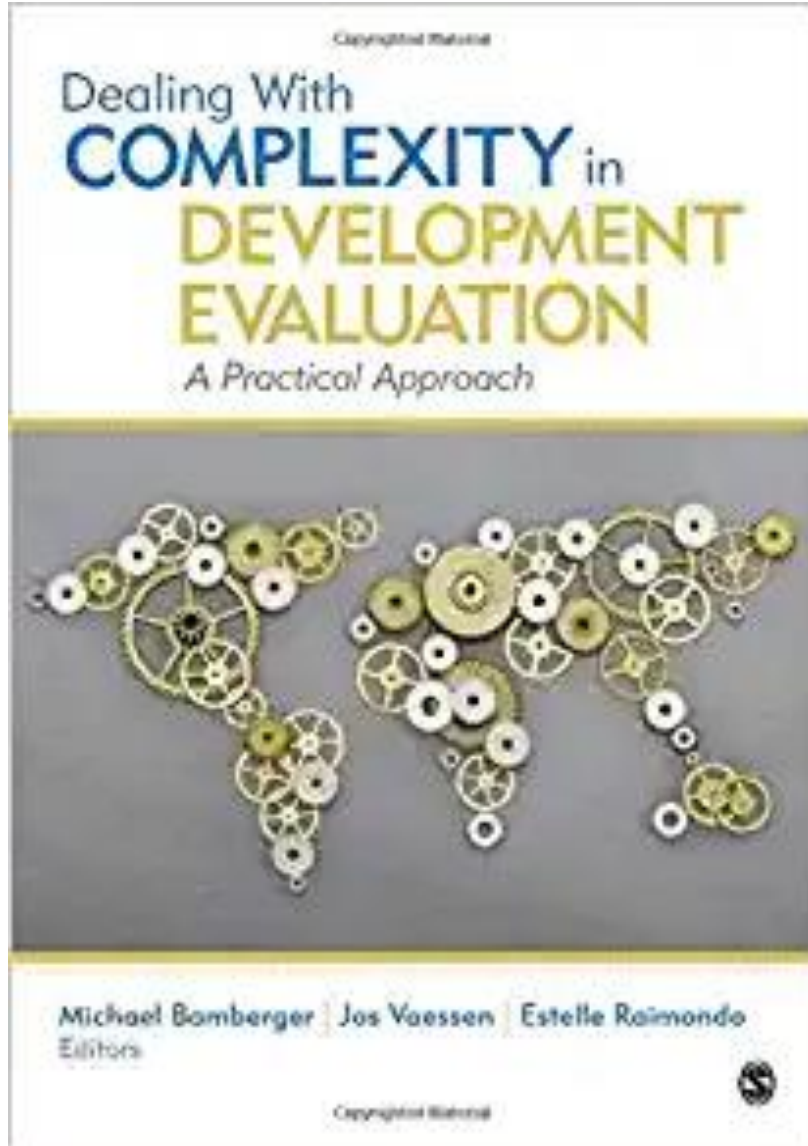
COMPLEXITY

- Emergence
- Nonlinearities
- Uncertainty
- Uncontrollable
- Adaptation


Beyond Projects and Programs



Evaluators part
of the design
process



Developmental Evaluation



Applying
Complexity Concepts
to Enhance
Innovation
and Use

Michael Quinn Patton



Think globally
Act locally & globally
Evaluate interactions

TRANSFORMATION

TRANSFORMATION





Interdependence





Ubuntu in Nguni languages, or *botho* in Sotho.

“My humanity is caught up and is inextricably bound up in yours. I'm human because I belong. The principle of *ubuntu* means wholeness. It is knowledge that we belong to a greater whole and are diminished when others are humiliated or diminished, when others are tortured or oppressed, or treated as if they were less than who they are. Our purpose is social and communal harmony and well-being.”

Bishop Desmond Tutu