

## Preface

Program evaluation is a relatively young discipline in the formal sense of systematically collecting data for the purpose of informing decision making. However, because program evaluation builds on many other disciplines (e.g., social science, statistics), evaluators have a long history of scholarship and practice to inform their work. This text explores the philosophical and theoretical roots of evaluation and builds a bridge between those roots and evaluation practice. The text is divided into four major sections: Part I, “The Landscape of Evaluation”; Part II, “Historical and Contemporary Evaluation Paradigms, Branches, Theories, and Approaches”; Part III, “Planning Evaluations”; and Part IV, “Implementation in Evaluation: Communication and Utilization of Findings, Management, Meta-Evaluation, and Challenges.”

The four parts provide a logical and somewhat linear flow, in that they start with an explanation of the meaning of evaluation and its historical roots; move to philosophical and theoretical orientations that provide guidance for thinking about evaluation; and then cover the specifics of planning, implementing, and using evaluations. You can use Part I to get an overview of the field, Part II to get an understanding of historical and contemporary philosophical and theoretical perspectives and to take the initial steps for planning an evaluation, Part III to engage in detailed planning of an evaluation, and Part IV to gain specific insights into the implementation and use of evaluations. Thus the text is intended to provide a broad understanding of the evaluation field, as well as to provide the tools necessary to engage in planning and implementing evaluations.

The principal themes illustrated in Part I include the diversity of evaluation’s historical roots, as well as the dynamic state of the field because of its interdisciplinary nature. Evaluation is an evolving field of study that is enriched by the various perspectives represented in its roots and in its current configuration. Situating evaluation in real-world conditions confronting real-world challenges enhances the field’s evolution. Hence this text relies heavily on examples of evaluation from different sectors, nations, populations, and disciplines. These examples illustrate the realistic conditions that evaluators encounter in their work. Evaluators are called upon to evaluate a wide range of entities, and they have developed a variety of strategies for depicting what is being evaluated. Examples of these strategies illustrate how theory is used to inform an understanding of the program, policy, or other entity that is being evaluated, and the advantages and challenges associated with these different strategies. We provide practical guidance in applying these strategies to depict a program, policy, or other entity of your choosing.

In Part II, the focus shifts from the broad evaluation landscape and the evaluand to the philosophical and theoretical positions that have developed within the evaluation community. The prominence given to these perspectives is supported by the influence of philosophical and theoretical assumptions on ways evaluators think about their work, how evaluators are perceived in the wider communities they serve, decisions about practice, and consequent use of findings. Hence this section of the text seeks to blend the philosophical and theoretical with the practical implications by means of discussions and examples illustrating various theoretical positions in practice. Personal reflections from selected evaluation theorists provide unique insights from their different points of view. We encourage you to examine your own assumptions about evaluation, and to derive implications for evaluation practice from your own philosophical and theoretical beliefs.

Part III concerns the part of evaluation planning that overlaps most with applied research methods. Hence the level of detail here reflects current thinking about design, data collection, sampling, and data analysis. Specific web-based resources are provided to enhance your abilities to plan these aspects of the evaluation. It should be noted that in this section of the text, these topics are discussed in the specific context of evaluation. In addition, issues of culture are highlighted throughout Part III, as these have surfaced as critical concerns in terms of validity and ethics in evaluation. We provide practical guidance in this section that will allow you to prepare a plan for an evaluand of your choice.

Part IV moves from a planning focus to an implementation focus and includes a detailed explanation of the topics of reporting and using evaluations. Practical topics such as how to plan for managing an evaluation are addressed, along with a discussion of challenges associated with this part of an evaluator's work. Examples illustrate the real-world challenges that evaluators encounter and strategies they use to address these challenges. Issues that are relevant throughout the evaluation process are revisited in this final section of the text to encourage deeper reflection on politics, values, ethics, reporting, human relations, use of evaluation findings, and the quality of evaluation work.

## Intended Audience

We perceive this book's primary audience as including graduate students (or advanced undergraduates) and faculty in program evaluation, social sciences, education, health, and international development; professionals undertaking evaluations; and interdisciplinary readers (as reflected in the membership of the American Evaluation Association [AEA] and other national, regional, and international evaluation organizations). We see its secondary audience as including people who commission evaluations, issue requests for proposals for evaluations, and review proposals for evaluations.

## Pedagogical Features

- Each chapter begins with reflective questions to prepare you for reading the chapter and to serve as a guide as you move through the chapter.
- Chapters include sections entitled "Extending Your Thinking" that include questions and activities to enable you to go beyond the information given in the chapter.
- Examples of evaluations are included from many sectors and disciplines. The eval-

uators for many of the evaluations offer reflective commentary based on their experiences. Their commentary is designed to provide direction to those of you who are novice evaluators.

- You can use this book as a guide to develop an evaluation plan for a specific project or program.
- A glossary of terms is included at the end of the book. Terms that are specific to the evaluation field appear in **boldface font** when they first appear in the text. These are the terms that can also be found in the glossary.
- A website is available that provides online resources that align with the book's chapters. These include additional examples of evaluation studies, logic models, and guidance documents to enhance evaluation planning and practice.

## What's New in the Second Edition?

Many of the sample studies have been updated and a few additional approaches to evaluation have been added: for example, collaborative evaluation, principles-focused evaluation, and desk review. Much more information is provided about logic models, cost-benefit evaluations, and mixed methods designs, and their implications for sampling, data collection, analysis, and reporting. New information is also provided on the topics of data collection technologies and new methods of qualitative coding. References to "Sustainable Development Goals" were added to reflect changes in the international development community's commitment to global change. More tables providing definitions of evaluation terms and a list of abbreviations have been added, and the glossary has been enhanced. Many web-based resources have been added and are now available at the book's companion website, allowing readers to see examples of evaluation studies, logic models, management plans, and evaluation budgets, along with additional evaluation studies.

## Personal Notes

The two of us represent different stances with regard to evaluation. Donna M. Mertens has been immersed in the field of evaluation since her early days in graduate school at the University of Kentucky College of Medicine, followed by several years working with the Appalachian Regional Commission on the evaluation of professional development programs that used one of the first National Aeronautics and Space Administration (NASA) satellites as a delivery mechanism for residents of the Appalachian Mountains, stretching across a 13-state region from New York to Alabama. She moved from there to Ohio State University when that institution hosted the National Center for Research in Vocational Education. While at Ohio State, she conducted a good deal of policy research and a few evaluation studies for different agencies, such as the Peace Corps. She then did a short stint at Xerox International Training Center, evaluating its sales training program. Finally, she found a professional home at Gallaudet University in Washington, DC, the only university in the world with the mission to serve deaf and hard-of-hearing students at the undergraduate and graduate levels. She retired from Gallaudet University in 2015 and now pursues an active professional life consulting about evaluations across the globe and, of course, continuing to write about methodological issues and social justice. During her

over four decades of work in evaluation, she has had many opportunities to conduct and consult on evaluations, as well as to contribute to the development of evaluation capacity in many communities around the world. Given her lengthy experiences in the world of evaluation, you will find many personal reflections throughout the book (indicated by the personal pronoun “I”) about the various stages and ages of evaluation.

Amy T. Wilson, on the other hand, taught deaf high school students for 12 years; the programs in which she taught were evaluated by the state, the county special education evaluation office, and the school administrators. In turn, she continually evaluated her students’ coursework and participated in administering standardized tests and developing individualized education plans (IEPs) for the students. Wilson then volunteered in an economically deprived neighborhood in northeast Brazil, acting as an advocate and community development worker with deaf children and adults who, because of their deafness, were marginalized by society. When Wilson returned to the United States to study for her PhD, Mertens became her mentor and introduced her to the transformative world of evaluation. Since that time, she has been fortunate to engage in international program development, with opportunities to conduct evaluations in various venues around the world. She brings the dual perspectives of program developers and users of evaluation to this work.

## Acknowledgments

We wish to thank our students and colleagues at Gallaudet and around the world who have allowed us to partner with them in the pursuit of better ways to conduct evaluations and develop programs. They have challenged us, taught us, and helped us extend our own thinking about evaluation. We also want to thank C. Deborah Laughton, Publisher, Methodology and Statistics, at The Guilford Press, as well as other Guilford staff members who have supported the production of this book (particularly Anna Brackett, Editorial Project Manager, and Margaret Ryan, Copyeditor). As we recognize that evaluation is a continually developing field, we express appreciation for the comments of reviewers who provided us with ideas for making this text more responsive to readers’ needs, including Kristin Koskey, Robert L. Johnson, Lauren P. Saenz, Christopher R. Gareis, Gerasimos “Jerry” A. Gianakis, Colleen Fisher, Linda Schrader, Wendy Hicks, Joseph Nichols, John C. Thomas, Steven Rogg, and Mark Hopper. A large number of evaluators provided us with invaluable comments about their own work that they believe will be helpful for the reader; this interaction has enriched our relationships with them and allowed us to offer a broad base of wisdom in this book. Finally, we wish to thank our friends and families for their support as we engaged in preparing to write this book—both over our lifetimes and during the period of time in which the writing actually occurred.

## Working with Stakeholders

### *Establishing the Context and the Evaluand*

You have already read about a wide variety of evaluands that reflect many disciplines and issues, such as programs to provide youth mentoring, address homelessness and unemployment, provide effective mental health services, increase literacy skills, provide safe housing, improve schools, and prevent the spread of HIV/AIDS. An evaluand may seem pretty clear in the published version of an evaluation; however, this clarity generally comes from many hours of discussions and revisions during the evaluation planning and implementation phases. The evaluations discussed in earlier chapters have also been conducted in a wide variety of contexts and countries across the globe, with diverse cultural groups who use different languages and live in different socioeconomic conditions. These contextual factors influence what is chosen to be evaluated and how that determination is made.

Evaluation planning can begin in many different ways: a phone call from a person previously unknown to you who says, “I have a program that needs to be evaluated”; an email from someone who is preparing a proposal to develop a new program that needs an evaluation plan; or a request to expand on previous evaluation work with members of a community with whom you have an ongoing relationship. What these beginning points have in common is that you, as the evaluator, are interacting with another person or persons. Hence issues of human relations are inevitably part of the process of planning an evaluation. A second important point to note is that evaluands come in all stages of being implemented—from existing only as an idea in a principal investigator’s head, to a firmly established program or one that is undergoing changes, to a more dynamic organization that wants to be in a mode of continuous learning.

### **Identifying Stakeholders**

Once the initial contact has been made between a client and an evaluator, both parties need to consider who needs to be involved in the process of planning the evaluation. As defined in Chapter 1, stakeholders are people who have a stake in the program: They fund, administer, provide services, receive services, or are denied access to services. It is usually wise to spend some time and effort thinking about which stakeholders need to be included at the very beginning; this can help avoid political disasters at the end of evaluations if the proper people were not involved. On a more positive note, the quality of the evaluation will be enhanced with representation of diverse interests, especially by inclu-

sion of traditionally marginalized groups. Appropriate stakeholders are sometimes identified by default, including only those who have power in positions related to the evaluation. The selection of stakeholders can also be an evolving process, with some stakeholders identified early in the process and others added as the relevant issues become clarified. In relatively small projects, the identification of stakeholders may be fairly straightforward. However, in larger projects, strategies for selection of representatives from stakeholder groups will probably need to be employed.

Identification of stakeholders is context-specific. Two lists of categories of stakeholders are displayed in Box 7.1; these lists will give you an idea of how many and what types of diverse groups can be considered in identifying stakeholders. The first list is based on a study of projects specifically focused on substance abuse prevention (Center for Substance Abuse Prevention [CSAP], 2008). The second list of stakeholders is based on the UN-Women's (2014) *Guide for the Evaluation of Programmes and Projects with a Gender, Human Rights and Intercultural Perspective*, which details how evaluations should incorporate principles of gender equality, women's rights, and the empowerment of women in all initiatives they support and fund. Box 7.1 lists the four groups of stakeholders UN-Women and all UN agencies identify and include throughout all evaluation processes.

### Box 7.1. Two Samples of Stakeholders for Evaluations, Listed by Category

#### *Substance abuse prevention (based on CSAP, 2008)*

Law enforcement  
Education  
Youth  
Criminal justice  
Civic organizations  
Parents  
Faith-based organizations  
Elderly persons  
Businesses  
Human service providers  
Health care providers  
Military  
Colleges and universities  
Ethnic groups  
Government  
Elected officials  
Child care providers

#### *Integration of gender in policy for poverty reduction strategies (based on UN-Women, 2014)*

Various ministry officials, such as finance, economic planning, and others (health, education, trade, industry, labor, social development, natural resources, and environment)  
Elected officials  
Civil society (e.g., NGOs, community-based organizations, faith-based groups, trade unions, private sector associations), with specific attention given to relevant dimensions of diversity within these groups (e.g., rural–urban, disability groups, women's groups)  
World Bank staff involved in poverty reduction planning, especially those responsible for the World Bank Joint Staff Assessments/Joint Staff Advisory Notes, because they assess the quality of poverty reduction plans and make their recommendations for funding or debt reduction to the World Bank and International Monetary Fund  
International agencies, such as United Nations agencies and international donor agencies (e.g., CARE, Oxfam, Save the Children, ActionAid)  
Representatives from the sectoral groups that represent infrastructure, agriculture, education, health, and employment

Broad categories that are contextually relevant can be helpful in identifying stakeholders for specific evaluation studies. Evaluators can determine which stakeholder groups have relevance by recalling their own experiences in particular contexts, reading literature related to the particular context, conferring with knowledgeable members of the community, and asking for specific recommendations to represent diverse viewpoints. Evaluators should be aware of the need to include stakeholders who represent diverse perspectives and positions of power. They should also be aware of the need to provide support for those stakeholders who require it for authentic participation. This support might take the form of transportation, stipends, a safe meeting environment, interpreters, food, or child care. Evaluators working with stakeholders must pay careful attention to their interpersonal skills, because human relations are critical in conducting high-quality evaluations, as discussed in the next section.

..... EXTENDING YOUR THINKING .....

### Identifying Stakeholders

1. Machik is an NGO that is building new opportunities for education and training with Tibetans living in a small, isolated village in a deep valley. With support from donors, they have opened the Ruth Walter Chungba Primary School in this rural community. Imagine that Machik has asked you to evaluate the impact the school has made on the community. You need to decide with the school authorities and the donors who the stakeholders are in this community. Who would you ask to participate in this study, and why? (Read about the school and watch a video at this website: [www.machik.org/index.php?option=com\\_content&task=view&id=24&Itemid=50](http://www.machik.org/index.php?option=com_content&task=view&id=24&Itemid=50).)
2. You have been hired by a school system to evaluate a new reading program for use in elementary schools. How would you begin your identification of appropriate stakeholders for this evaluation?

## Human Relations

The nature of the relationship between the evaluator and stakeholders is an area of tension in the evaluation community, as exemplified by the different paradigmatic perspectives on this topic:

- Methods Branch evaluators tend to favor having a *distant relationship*, in the belief that this will protect the evaluator from developing biases toward particular stakeholder groups.
- Use Branch evaluators see the necessity of *forming a relationship* with the stakeholders who are the primary intended users, so the evaluator can be responsive to their needs and thus enhance the possible use of the findings.
- Values Branch evaluators believe that the evaluator *needs to be involved with the*

*community sufficiently* to reveal the viewpoints of different stakeholder groups accurately.

- The Social Justice Branch evaluators *directly address differences in power between themselves and various stakeholder groups*, with a conscious awareness of the need to include the full range of stakeholders, especially those who have traditionally been excluded from decision-making positions into the process.

These differences in the nature of evaluator–stakeholder relationships lead to differences in the processes used to define the evaluand and understand its context.

..... EXTENDING YOUR THINKING .....

### Human Relations Skills for Evaluators

Two eminent scholars in the evaluation community see the importance of human relations very differently. Read the two following passages and discuss your own thoughts and positioning with regard to this issue. First, Patton (as a contributor to Donaldson, Patton, Fetterman, & Scriven, 2010) writes:

Human beings are in a relationship to each other and that relationship includes both cognitive and emotional dynamics. The interpersonal relationship between the evaluator and intended users matters and affects use. That interpersonal relationship is not just intellectual. It is also political, psychological, emotional, and affected by status and self-interest on all sides. What the astute evaluator has to be able to do, which includes the essential competencies to do that, is to be able to engage in relationships. (p. 25)

In contrast, Scriven (also as a contributor to Donaldson et al., 2010) writes that interpersonal skills are not necessarily important for evaluators:

Michael [Patton] finds one of these to be a great strength, namely having lots of interpersonal skills. Forget it, guys! The way that evaluation works, and always will, is that it inhabits ninety niches. One of those niches is to be found in Washington in every agency, e.g., in the office of its inspector-general. Here are to be found the desk evaluators. Most of them don't have to have interpersonal skills any more than anyone in any kind of office job; and they don't need them. All they're doing is analyzing the reports, and they're very important people because they're the first line of advice and back-up to the decision makers. What we need from them is good analytic skills. It's not that I don't think that it's a good thing to have good interpersonal skills; it is that one must not put them in as minimum requirements for every evaluator. (p. 24)

Now answer the following questions:

1. What do you think about these two positions?
2. What merits do their arguments have?



3. Do you personally agree with one more than the other?
4. What are your reasons for your own positioning on the topic of human relations skills in evaluation?

## Interacting with Stakeholders

Kirkhart (2005) has noted that the validity of an evaluation is influenced by “interpersonal justification” (i.e., the quality of the interactions between and among participants and the evaluator). Evaluators bring their own cultural lenses to the planning process, and these affect their interactions with stakeholders in terms of who is involved in the process and how. Lincoln (1995) has reinforced the importance of the quality of human relations in evaluation by suggesting that an evaluator needs to know the community “well enough” to link the evaluation results to positive action within the community. Evaluators must critically examine the meaning of “well enough”; what does this mean? Indigenous researchers provide insights into the nature of relationships that they would interpret as indicating that an evaluator is appropriately situated to work in their communities.

### *Lessons from the Māori*

Cram (2009) and Smith (2012), who work in the Indigenous Māori community in New Zealand (Aotearoa), have provided guidance to the meaning of *kaupapa Māori* (which means “a Māori way”). *Kaupapa Māori* can be applied to many aspects of life; it implies the development of a relationship that is respectful of Māori cultural, social, and economic well-being. Cram (2009) provides a list of cultural values that she translates into expectations for evaluators’ interactions in their community. These include the following:

- *Aroha ki e tangata* (respect for people). Evaluators establish relationships with people via situating themselves within the history of the community (genealogically, if possible; through personal connections if no genealogical link is present), with the assistance of the community elders. Another aspect of respect for people is to be knowledgeable about appropriate rituals in terms of entering the community (such as who to contact, how to approach people, bringing of gifts, etc.).
- *He kanohi kitea* (a voice may be heard, but a voice must be seen). Māori people expect that an evaluator will come into their community to allow the community members to see for themselves who this person is. Community meetings, called *hui*, are often used as a forum for evaluators to meet stakeholders, explain the study, and ask permission to proceed.
- *Titro, whakarongo . . . korero* (watch, listen . . . talk). An evaluator shows respect for Māori people by listening to what they say before he/she talks. This process of first looking and listening conveys the value that the evaluator places on the contributions of the community members.
- *Manaaki kit e tangata* (looking after people). In the context of the evaluation, the essential meaning of this concept is that the evaluator establishes a reciprocal rela-

tionship with the stakeholders. The stakeholders are providing access to their community and information in the form of data; the evaluator can offer small gifts or services, capacity-building activities, networking, and access to the evaluation findings.

- *Kaua e takahia te mana o te tangata* (do not trample on the *mana* [authority] of the people). Māori people want to know what an evaluator is saying about them before the results are released outside the community. As most communities would, the Māori do not want to be portrayed as having something wrong with them (a deficit view). Rather, they want to be portrayed in a balanced way, with both their strengths and their challenges.
- *Kia mahaki* (be humble). An evaluator should share the results with the Māori community in a way that helps the community take action on its own behalf. The community members can be provided with the tools necessary to fight for their own rights and challenge oppressive systems.

..... EXTENDING YOUR THINKING .....

### Māori Cultural Values and Evaluation

1. Reciprocity is seen as valuable in evaluations conducted in the Māori community. How would this principle translate to evaluation situations outside the Māori community?
2. What is your opinion with regard to the implications of applying these Māori cultural values in other evaluation contexts?
3. What could evaluators learn about the establishment of relationships with stakeholders from these Māori cultural values?
4. What might some evaluators find objectionable concerning the Māori's expectations of the evaluators' interactions in their community? Why would they object?
5. What do you know about yourself that might enhance or inhibit your ability to work in an evaluation context that requires attention to and respect for cultural values and backgrounds?
6. Symonette (2004) suggests that evaluators need to be aware of who they are themselves, as well as who they are in relation to community:

Even more important for the viability, vitality, productivity and trust-building capacity of a transaction and relationship cultivation is multilateral self-awareness: self in context and self as pivotal instrument. Who do those that one is seeking to communicate with and engage perceive the evaluator as being? . . . Regardless of the truth value of such perceptions, they still rule until authentically engaged in ways that speak into the listening. (p. 100)

How would you answer this question: Who do others think that you are? If you are in an evaluator role, who do others think you are?

## Power and Privilege

Power and privilege are concepts discussed in prior chapters. Here the emphasis is on (1) strategies for evaluators to use to bring themselves and the communities with which they work to consciousness about the dynamics of power and privilege, as well as on (2) meaningful ways to engage those who have traditionally had less power in evaluation contexts. Two action researchers, Heron and Reason (2006), provide the following strategies for designing evaluations that include self-reflection and that monitor evaluators' engagement with communities in culturally respectful ways:

- *Research cycling.* Evaluators should be prepared to go through the inquiry process several times. This cycling process allows for repeated episodes of action and reflection that can help refine understandings and reduce distortions.
- *Authentic collaboration.* Evaluators and stakeholders need to devise strategies for interactions that allow for the development of an egalitarian relationship. The interaction dynamic needs to be designed so that stakeholders are motivated to have sustained involvement and allow every voice to be expressed.
- *Challenging consensus collusion.* Individuals have the right to challenge the assumptions that underlie the knowledge created or the process by which it was created.
- *Managing distress.* Group processes typically have moments of stress and tension; a process needs to be in place to handle this distress respectfully.
- *Reflection and action.* A cyclical process that includes phases of action and reflection allows needed changes to occur.
- *Chaos and order.* Reflective action is difficult when a system is in total chaos. Evaluators should encourage divergent thinking and also bring the system back into balance so that the group can move forward toward its goals.

### ..... EXTENDING YOUR THINKING .....

#### Power and Privilege

1. How do we understand the dynamics of power when participatory methods are employed by the powerful?
2. Whose voices are raised, and whose are heard?
3. How are these voices mediated as issues of representation become more complex with the use of participatory methods in larger-scale planning and consultation exercises?
4. The culturally responsive approach to evaluation places emphasis on matching the characteristics of the evaluation team with those of the community, particularly in terms of race. Frierson et al. (2002) suggest that data will not be valid if they are collected by people who are not attuned to the program's cultural context. What if you are a member of the community? How does that prepare you to  
(cont.)

work in that community? What if you are not a member of a community? To what extent is it necessary to share salient characteristics of a community?

5. Recall the discussion of cultural competence in Chapter 1. How does cultural competence come into the discussion of interactions in evaluation contexts?
6. When evaluators enter a community, they may find that they hold power in a way they have not before. For example, an elderly female evaluator may be more respected in this community than in her home culture. List situations where you must be cognizant of the increased or decreased power you hold as a result of personal characteristics that may affect your relationship with the stakeholders (age, gender, education, ethnicity, sexual orientation, etc.).

## Developing Partnerships/Relationships

A large community of immigrants and refugees settled outside Lowell, Massachusetts, in a relocation effort for people from Laos who had assisted the United States in the years preceding the Vietnam War. When the United States lost the war, the government followed through on its promise to move members of the Laotian community who had been their allies to a safe place. The presence of such a large community in what had previously been a very white, working-class, mainstream American community did not go unnoticed by researchers. Researchers motivated by a desire to create knowledge, to work with an exotic community, or even simply to do good inundated the community with their study teams. Silka (2005) and her colleagues at the Center for Family, Work and Community at the University of Massachusetts, Lowell, noted that the immigrants and refugees were not benefiting from the research. They developed a model for partnership research and evaluation between a consortium of universities and the Laotian community, in order to protect the community from exploitative research that did not directly benefit the community. Silka and her colleagues have developed a set of tip sheets to guide researchers and evaluators who conduct studies in the Laotian community; several of these tip sheets are summarized in Box 7.2. They have wider applicability in the development of partnerships with other communities as well.

### Box 7.2. Developing Ethical Partnerships: Tip Sheet Summaries

- *Initiating Partnerships: Gathering the Players*, by Darcie Boyer. This is the initial step in the process of acting on a felt need, identifying others who share a concern in the community and in the research or evaluation world, finding appropriate ways to contact and communicate with potential partners, and planning to have a community meeting to discuss the potential partnership.
- *Ethical Considerations in Participatory Research: The Researcher's Point of View*, by Maryjane Costello. Researchers need to be aware of the diversity of perceptions as to what constitutes ethical practice in various communities.
- *Partnership-Based Research: How the Community Balances Power within a Research Partnership*, by

- G. Martin Sirait. Partnerships should be arranged so that both researchers and participants are recognized as having power in that context.
- *Everything You Always Wanted to Know about IRBs*, by Sokmeakara Chiev. IRBs, or institutional review boards, are mandated by U.S. federal legislation for any organization that receives federal funds to do research. Communities can institute IRBs of their own with membership from within their cultural group.
  - *Overcoming the Roadblocks to Partnership*, by Marie Martinelli. Communities can ensure that they derive benefits from proposed research or evaluation by forming community advisory boards, actively participating in the planning process, and considering successful models of partnerships that might transfer to their own situation.
  - *Knowledge Creation in Research Partnerships*, by Pascal Garbani. Researchers need to work together to create knowledge in a manner that respects differences between and within groups.

Source: Based on Center for Family, Work and Community at the University of Massachusetts, Lowell (2004). The Center for Community Research and Engagement's home page is [www.uml.edu/research/ccre](http://www.uml.edu/research/ccre).

Many Indigenous peoples prefer to speak of “relationships” rather than “partnerships.” For example, Māori, Native Americans, and Africans share an emphasis on connectivity and extend it beyond relationships among human beings to include the wider environment, ancestors, and inanimate objects. For them, “partnership” implies more of a contractual relationship that may still reflect inequities and exploitation. “Relationship” means that there is a deeper connection at multiple levels in terms of where we are from and who our people are. It means that the evaluators understand the culturally appropriate ways of a community and see the evaluation as a journey that they take together with community members, with opportunities for mutual learning, participant control, and evaluator accountability (Cram, 2009).

Partnerships or relationships are not easy to develop and may not be smooth throughout their existence. Kirkhart (2005) suggests the following considerations that are related to effective partnerships and relationships. First, relationships in evaluation take time and effort to develop. Evaluators often work in compressed time frames with limited budgets that constrain their ability to be responsive to multicultural dimensions. Second, cultural responsiveness requires knowledge, emotions, and skills. These are complex and not easily taught. Third, evaluators need to be able to interact with the stakeholders in the evaluation in ways that are culturally respectful, cognizant of the strength in the community, and facilitate desired change. This means that they need to be flexible with the design and implementation of the evaluation in order to be responsive to these factors. Finally, evaluators, particularly if they are from outside the community, need to avoid cultural arrogance in several forms: imposing their own cultural beliefs on the stakeholders, pre-imposing a design on the evaluation, or mistakenly thinking that they accurately understand the culture in which they are working.

Evaluators can also work with community members on capacity building. The capacity building can be reciprocal, in that the evaluators have knowledge and skills to teach from their perspective, and the community members have knowledge, skills, and attitudes to teach from theirs. Teams of evaluators can be formed that allow strengths from all

sides to be represented in the evaluation planning. Caldwell et al. (2005) describe effective evaluator teams formed with academic and tribal representatives. They do point out that one challenge with this approach arises from concerns about confidentiality and anonymity, especially in small communities where identities can be recognized readily.

..... EXTENDING YOUR THINKING .....

### Developing Partnerships

Think about the evaluation you intend to plan.

1. At what point will you involve the community?
2. How will you prepare yourself for meeting the community (by reading about the culture, etc.)?
3. How will you approach that community?
4. What benefits do you see for the community?
5. How will you demonstrate your respect for its culture and traditions?

### The Evaluand and Its Context

The theme of AEA's annual meeting in 2009 was "Context and Evaluation." Debra J. Rog, the 2009 president of AEA, defined context in these terms:


Context typically refers to the setting (time and place) and broader environment in which the focus of the evaluation (evaluand) is located. Context also can refer to the historical context of the problem or phenomenon that the program or policy targets as well as the policy and decision-making context enveloping the evaluation. Context has multiple layers and is dynamic, changing over time. (Rog, 2009, p. 1)

The contrast in terms of how evaluators from different branches view context was captured in the opening plenary session of the 2009 AEA meeting. Bickman (2009), a theorist from the Methods Branch, said that context was always something that he called "extraneous variables"—in other words, variables that were not of central concern but had to be controlled, so that the validity of the intervention could be determined apart from contextual factors. His perspective contrasted sharply with that of Bledsoe (2009), who is situated in the Social Justice Branch. She indicated that understanding the context was critical to understanding the experiences of the less powerful in the evaluations that she conducted, in order to challenge assumptions by the more powerful. With those two anchor points, we now explore several types of contextual variables and the implications of these variables for the identification of the evaluand and the methods used in the evaluation.

Contextual variables include those associated with the local setting (time and place),

as well as with the broader context—the history of the problem and its proposed solutions, as well as politics and legislation that have relevance for the evaluand. The range of stakeholders and their cultural differences are also contextual variables that need to be considered. These contextual variables influence who is involved (stakeholders), how they are involved, the evaluation questions, the type of evaluation undertaken, use of evaluation findings, and decisions about analysis and dissemination of results. The following questions can help stimulate your thinking about contextual variables and their implications:

- What dimensions of context influence the type of evaluation questions that can be addressed?
- How does the nature of the political context influence utilization? How does it interact with the type of evaluation conducted?
- What dimensions of context influence the choice of methods?
- How does culture within context affect evaluation practice?
- How do our evaluation theories guide us in thinking about context?
- How can we learn about context in multisite studies?
- What are the implications of a context-sensitive evaluation for analysis and dissemination?
- How can we incorporate context into our evaluation inquiries?

Here is an example from the Hawaiian housing study (Stufflebeam et al., 2002; see Chapter 4, Box 4.3) of the identification of contextual variables.  The local setting for the housing project was on Oahu's Waianae Coast, one of the most depressed and crime-ridden areas in the state. The project stretched over 7 years. The funding agency placed high value on self-help and sustainability; this value system influenced the design of the program as well as the evaluation. Contextual variables of particular importance centered on the characteristics of the intended beneficiaries: specifically, the extent of their needs and their abilities to follow through on the expectations for helping to build and pay for their houses. These contextual variables influenced who was finally accepted as the target audience and how local people were used in the role of data collectors. As noted in Box 4.3, the original intent of the program was to serve the poorest families. However, these families could not get the mortgages, so the focus of the project was shifted to the working poor.

..... EXTENDING YOUR THINKING .....

### Questions about Context

Reflect on the excerpt of Rog's (2009) explanation of context and the discussion of contextual variables in this section. Now return to the sample studies summarized in boxes in Chapters 3–6. Use the questions listed earlier in this section to analyze relevant contextual variables in at least one sample study. Think about how the authors either considered or did not consider these contextual variables.

## Sources That Inform the Identification of the Evaluand and Context

Developing a focused identification of the context and the evaluand can be approached through a number of different strategies:

- Funding agencies establish priorities and provide information in requests for proposals (RFPs) about the context and the program that needs to be evaluated. Another version of a funding agency request is a request for a program to be developed with the requirement for an evaluation plan in the proposal.
- Traditional scholarly literature reviews can provide valuable information about the context and the evaluand in terms of what is already known about the setting and the program. This type of resource is generally found through databases of articles available in university and sometimes community libraries, or online for a fee.
- Theoretical frameworks for evaluation approaches can provide guidance regarding the variables that are important (e.g., an Indigenous evaluation will emphasize specifics of the targeted culture), as well as a basis for decisions about appropriate components of a program. Theoretical frameworks can inform the evaluator and stakeholders about power differences on the basis of race/ethnicity, gender, sexual identities, disabilities/deafness, religion, class/socioeconomic status, and other characteristics associated with discrimination and oppression.
- Web-based resources are now available (sometimes overwhelmingly!). Here, an evaluator can read about past evaluations, recommended evaluation strategies for this type of evaluand, and relevant contextual factors. Web-based resources can also include databases such as those posted by the U.S. Census Bureau (2017), the Central Intelligence Agency (CIA) and their World Factbook (CIA Factbook, 2017), the U.S. Department of Education's (2017) evaluation reports, and USAID's Development Experience Clearinghouse (2017) evaluations.
- "Grey literature" (i.e., that which is not published) can be a valuable resource, especially to gain the perspectives of those who have not been in the privileged scholarly or technological circles that would be represented in the first several strategies. This literature can include program-produced documents such as brochures, project reports, self-studies, past evaluations, conference papers, policy statements, newsletters, newspapers, fact sheets, and more.
- Group and individual strategies can be used, such as interviews, surveys, focus groups, concept mapping, and outcome mapping, as well as Indigenous methods based on traditional community meeting ceremonies and rituals.
- Advisory boards are commonly used to guide evaluators throughout the process of planning and implementing an evaluation.
- New technological tools such as satellite imagery and mapping can be used to provide valuable contextual information about the locations of roads, buildings, services, and natural terrain.

We discuss all of these strategies in more detail below.



## Funding Agencies

Funding agencies typically include government agencies and foundations. The U.S. government has a website that lists opportunities to apply for more than \$400 billion in federal monies from over 1,000 different programs ([www.grants.gov](http://www.grants.gov)). In addition, many agencies offer their own funding opportunities on their websites (e.g., the U.S. Department of Education). Obtaining funds from federal agencies usually brings a fairly prescriptive set of requirements for how the funds can be used. On the other hand, foundations also offer many potential funding opportunities through a web portal (<http://foundationcenter.org/find-funding>); larger foundations offer such opportunities at their own websites. Foundations tend to have priority interest areas, but they are generally more flexible than government granting agencies. Box 7.3 provides contrasting statements from a federal agency's and a foundation's RFPs.

### Box 7.3. Government and Foundation RFPs

The U.S. Department of Justice (2009) offers funding for a tribal youth program that includes the following program requirements:

[The Office of Juvenile Justice and Delinquency Prevention] seeks applicants to establish or expand a mentoring program that offers a mixture of core services and engages youth with activities that enable them to practice healthy behaviors within a positive pro-social peer group. The target population should be youth at risk of gang activity, delinquency, and youth violence.

The goals of this mentoring program are to prevent gang activity, delinquency, and violence by doing the following:

- (1) Offering at-risk youth core services that fulfill their adolescent developmental needs within the context of a positive pro-social peer group, including:
  - A multi-modal mixture of services that may include, but is not limited to, life skills and psycho-educational training, mental health counseling, job placement, community service projects, and structured afterschool recreational, educational, and artistic/culturally enhancing activities.
  - Emphasizing long-term relationships with mentors and key staff, who are nurturing and supportive adults.
- (2) Developing structured mentoring relationships that include the following:
  - A relationship that lasts 2 or more years with significant contact between the mentor and mentee where the mentee views the mentor as a friend, not an authority figure.
  - Significant training for the mentor.
  - Oversight of the mentoring relationship.
  - Data collection to track the relationship and positive outcomes arising from the mentoring relationship.
  - Structured activities for the mentors and mentees to participate in together.

The Ford Foundation (2010) also supports grantees to develop and implement projects for youth mentoring, but it does not have explicit requirements about the nature of the program. Rather, it has issued this broad statement:

We make grants to develop new ideas and strengthen organizations that reduce poverty and injustice and promote democratic values, international cooperation and human achievement. To achieve these goals, we take varied approaches to our work, including supporting emerging leaders; working with social justice movements and net-

(cont.)

### Box 7.3 (cont.)

works; sponsoring research and dialogue; creating new organizations; and supporting innovations that improve lives. These methods of problem-solving reflect our values and the diverse ways in which we support grantees.

The foundation also describes a model of philanthropy that it has pursued for more than 70 years: to be a long-term and flexible partner for innovative leaders of thought and action. Lasting change in difficult areas, such as the reduction of poverty, protection of human rights, and establishment of democratic governance after a dictatorship, requires decades of effort. It involves sustained work with successive generations of innovators, thinkers, and activists as they pursue transformational and ambitious goals.

Cheek (cited in Mertens, 2009, p. 112) offers the following cautionary questions to consider before accepting money from a funding agency:

- Who owns the data and what can you do with the data?
- What if the funder wants to suppress results of the study? Or wants to exclude parts of the results?
- What exactly is the deliverable (e.g., product expected by the funder)?
- In what time frame?
- Reporting requirements?
- What if there is a disagreement about the way the research or evaluation should proceed?

### Scholarly Literature

Many funding agencies require a scholarly review of literature on the evaluation topic in order to provide evidence of knowledge in the field, of the need for the proposed project, and directions to inform the proposed scope of work. Searching databases is very easy for evaluators in the developed world, especially those who work in universities. A list of commonly used databases is provided in Box 7.4. These are generally searchable for free at universities and for a modest fee for people in other settings. Most of these databases can be searched by topic, author, or title. Many databases now have full text documents electronically available to users, eliminating the need to actually visit the library to obtain the documents.

### Box 7.4. Scholarly Databases

#### Psychology

The American Psychological Association (APA) produces the following databases:

- PsycARTICLES. This database contains full text articles from 42 journals published by APA and related organizations. The dates of coverage vary; the earliest articles are from 1988, but APA is developing PsycARCHIVES, which has over 100 years of content coverage.
- PsycINFO. This database indexes and abstracts over 1,300 journals, books, and book chapters in psychology and related disciplines (1887–present).

- PsycBOOKS. Textbooks published by APA and selected classic books from other publishers are found in this database.

### Social Science

- Social Science Journals (ProQuest). Social science journal articles published from 1994 to the present.
- *Sociological Abstracts*. This is an online resource for researchers, professionals, and students in sociology and related disciplines. *Sociological Abstracts* includes citations and abstracts from over 2,000 journals, plus relevant dissertation listings, abstracts of conference papers and selected books, citations of book reviews and other media, and citations and abstracts from *Social Planning/Policy and Development Abstracts*.
- *Social Work Abstracts*. Index to articles from social work and other related journals on topics such as homelessness, AIDS, child and family

welfare, aging, substance abuse, legislation, community organization, and more.

### Education

- Education Database (ProQuest). Indexes more than 750 titles on education, including primary-, secondary-, and university-level topics. Almost 500 titles include full text.
- Educational Resources Information Center (ERIC). A bibliographic database covering the U.S. literature on education; a key source for researchers, teachers, policy makers, librarians, journalists, students, parents, and the general public. Accessible to the public at [www.eric.ed.gov](http://www.eric.ed.gov).

### Dissertations and Theses

- *ProQuest Dissertations and Theses*. An index of dissertations and theses published in the United States and internationally.

Lawless and Pellegrino (2007) describe an evaluation they were planning to determine how to prepare teachers to use technology in their classrooms to enhance learning. They began with a very extensive literature review, which focused on “what is known and unknown about professional development to support the integration of technology into teaching and learning. To answer such questions, we have assembled bodies of literature that are relevant to the design of research studies, the evaluation of the quality of the evidence obtained therein, and the possible utility of conclusions” (p. 577). To this end, they examined a multipart literature: what constitutes professional development, how technology is integrated into the classroom, what influences teachers to adopt technology, the multiple roles that technology can play in this context, the quality of previous research on this topic, and the long-term impacts technology has had on teachers and administrators. They used this literature review to “lay out the kinds of questions that should be asked in evaluating how states, districts, and schools have invested their technology integration funds and the nature of the research designs and sources of evidence that might be used to better answer questions about what is effective and why” (p. 578).

In an evaluation of the sustainability of health projects, Scheirer (2005) provides this description of her literature search strategy:

The search was conducted using the search string “sustainability OR routinization OR institutionalization AND health OR healthcare,” in all major relevant bibliographic databases, for the years 1990 to 2003, including PubMed, ProQuest, the Librarians Index to the Internet,

and NLM Gateway. The abstracts of potentially relevant citations were examined to determine if the original research included data collected about any aspect of sustainability after the initial funding had ended. Full texts of all relevant articles were then obtained. A few studies were already known to me from prior related work. In addition, reference lists of obtained articles were examined for any additional studies, such as those using different terminology. The systematic review did not include articles or how-to-do-it commentaries about sustainability that did not report empirical data, although these articles were consulted for their conceptual frameworks and approaches. These procedures yielded 19 studies that met the criteria for inclusion: reporting data collected about the status and/or influences on health program sustainability (including case studies). The review included all available studies that met these criteria, not a sample of them. (p. 327)

The use of scholarly literature is a critical part of enhancing our understanding of the context in which the evaluation is taking place. However, it is limited by the fact that various gatekeepers decide what will be published and what will be archived in a database. Therefore, evaluators should be cognizant of this limitation and engage in other types of search strategies to identify important contextual variables.

### *Theoretical Frameworks*



The theorists whose work is described in Chapters 3–6 provide evaluators with a multitude of theoretical frameworks from which to choose in their planning work. These theories can range from theories of literacy development to theories of community involvement. Theories provide a framework for thinking, highlight relevant concepts, and suggest dynamic relationships between those concepts. Here are some examples of evaluations that used theoretical concepts:

- Bowman's (2005) evaluation of a tribal education model in a technical college in Wisconsin was based on an Indigenous theory from the Native American community. The geographic coverage area of the technical college included members of three tribes. The evaluators sought out each tribe's individual customs, culture, language, and epistemological views based on their tribal traditions.
- Donaldson and Gooler (2002) conducted a theory-based evaluation of a job search training program in California. The underlying theory of the program was based on identifying the skills and psychological factors that were necessary for the participants to find employment and improve their mental health. The theory held that the participants needed to increase their job search confidence, their job search skills, and their problem-solving strategies in order to achieve the intended outcomes.
- Campbell et al.'s (2014) study of the effectiveness of an intervention to support victims of sexual assault (see Chapter 6, Box 6.9) used a feminist theoretical framework, which focused on power differentials in the planning, implementation, and use of the evaluation.
- Brady and O'Regan (2009) used Rhodes's model of mentoring as a theoretical framework for their youth mentoring evaluation. This model is presented graphically in Chapter 3, Box 3.3.




## Web-Based Resources


The proliferation of web-based resources sometimes makes me wonder what we would do if we didn't have the World Wide Web anymore. This is probably unimaginable to many people younger than I am, and I admit that life would be a lot harder for me if it happened. The major search engines of today may not be the major search engines of tomorrow. The two major search engines that I currently use ([www.google.com](http://www.google.com) and [www.bing.com](http://www.bing.com)) provide access to printed documents, pictures, graphics, images, news, videos, discussion groups, maps, and more. Evaluators can locate a great deal of information about contexts of evaluations and experiences with similar evaluands through web searching. Here are two examples:

- Fredericks et al. (2008): "The evaluation relied on information being collected from a number of data sources, including case records, which contained demographics and disability diagnoses data; Medicaid billing and expenditure data" (p. 225). 
- Sharma and Deepak (2001) gathered contextual data for their evaluation of CBR in Vietnam (see Chapter 4, Box 4.12) from several websites, including the World Bank, the Central Intelligence Agency (CIA), and UNICEF. They were able to report on the gross national product of Vietnam, the density of its population, its population growth rate, and other demographics such as health indicators, age, life expectancy, infant mortality, literacy rates, access to clean water, and government budgets. 

## "Grey Literature"


Evaluators should always seek program documents that have been produced before the start of the evaluation process. The quantity and quality of these documents will vary widely, depending on the history of the evaluand. Even if a new program is planned, it is probably going to occur in a context that has some kind of paper trail. When I conducted an evaluation of a residential school for the deaf, I asked to see their self-study report and their accreditation report. In addition, I asked to see the curriculum guides and the student conduct rules. All of these documents gave me an overview of the evaluation context. The APA ([www.apa.org/psyextra](http://www.apa.org/psyextra)) has listed the following documents as examples of "grey literature": research reports, policy statements, annual reports, curricula materials, standards, videos, conference papers and abstracts, fact sheets, consumer brochures, newsletters, pamphlets, directories, popular magazines, white papers, and grant information. Examples of using "grey literature" in evaluation practice include the following:

- Mertens et al. (2007; see Chapter 6, Box 6.8) read over the RFP for the teacher training program that they evaluated, as well as the university's proposal and annual reports for the 6 years prior to the evaluation. 
- Bowman (2005) located and reviewed the initial needs assessment that was conducted in Wisconsin and was used as the basis for the development of the tribal education model for on- and off-campus activities. She was also able to determine that there had been no electronic, print, or annual data since the time of that report until she undertook her evaluation study in 2004.

- Brady and O'Regan (2009; see Chapter 3, Box 3.3) cited the Atlantic Philanthropies annual report for 2007 as a source of historical information that set the context for their evaluation of the youth mentoring program in Ireland. The Atlantic Philanthropies foundation has funded programs to improve people's lives through education and knowledge creation since the 1990s. The foundation reported that early initiatives in this area were not as effective as they had hoped because of lack of coordination, depending on volunteers, and relying on multiple unpredictable funding sources. Within the Foroige agency in Ireland, the foundation funded a pilot project of a BBBS model of youth mentoring. 

### Group and Individual Strategies

Evaluators can use group and individual strategies such as concept mapping, brainstorming, interviews, surveys, and focus groups, as well as Indigenous methods based on traditional community meeting ceremonies and rituals. Steps for conducting group and individual interviews are described in Chapter 10 on data collection. Here we provide examples of the use of these strategies and Indigenous methods for the purpose of determining the evaluand and its context.

Bowman (2005) included the use of focus groups and individual interviews in the Native American community in order to determine what their needs were for tribal-related education. She integrated the medicine wheel into the interviews (similar to the Cross et al. [2000] study summarized in Chapter 6, Box 6.6). She structured the questions based on the four quadrants of the medicine wheel. In addition, she provided time for informal interaction following the focus group process to allow people to socialize and share experiences that might not have surfaced during the focus group. The data from the focus groups and individual interviews were used to develop recommendations for changes in the tribal education model, the evaluand of interest in this study. 

Africans have traditional tribal gatherings that can be used as a basis for dialogue about context and needs (Chilisa, 2011). The group gatherings in Botswana are called *kgotla*; these involve the village council in the main village, with the chief or his assistant in charge of the process. Smaller *kgotla* can be held in outlying areas with the head tribesman as the facilitator, or even in extended families with the elders facilitating the process. These gatherings can be used to identify problems and potential solutions. One downside to this process is that it has traditionally excluded women and children. Therefore, evaluators will need to work with the communities to develop appropriate strategies for all stakeholders' views to be represented.

### Concept Mapping

Trochim (1989) developed the technique of “**concept mapping**,” which has been applied in many different contexts. The steps in the process involve having participants brainstorm either possible outcomes or specific factors that influence those outcomes. The next step is to edit the statements to reduce repetition. Participants are then asked to rate the outcomes on two dimensions—importance (compared to other factors) and feasibility over the next few years—on 5-point scales where 5 indicates “extremely important” or “extremely feasible.” Sophisticated statistical procedures (multidimensional scaling and

hierarchical cluster analysis, discussed in Chapter 12) are then applied to the data to produce configurations revealing which of the statements are rated most similarly. Different types of maps can be used to demonstrate how the statements can be organized and used to understand the underlying theory of the project.

Trochim, Milstein, Wood, Jackson, and Pressler (2004) used concept mapping with the Hawaii Department of Health to determine factors of importance that affect individuals' behaviors related to avoidance of tobacco, improvement of nutrition, and increased physical activity. Project participants brainstormed factors that they believed influenced individuals' behaviors, and then rated those factors according to their importance and feasibility. The concept mapping revealed that factors could be categorized in terms of policies and laws, environmental infrastructure, children and schools, coalitions and collaborations, community infrastructure, information and communication, and access. These results were used by the state's governor in the official state plan, approved by the legislature, and used to create sustainable change in Hawaii.

### Outcome Mapping

Buskens and Earl (2008; see Chapter 6, Box 6.10) offer a strategy similar to concept mapping called "outcome mapping." These two strategies are similar in many respects; however, Buskens and Earl offer insights into the application of outcome mapping within the context of transformative participatory evaluations in international development. Outcome mapping deliberately involves subgroups of stakeholders in the process of determining how interventions fit into the overall development process. It begins with four questions (Buskens & Earl, 2008, p. 174):



1. What is the program's vision?
2. Who are its boundary partners?
3. What changes in behavior are being sought?
4. How can the program best contribute to these changes?

"Boundary partners" are defined as "the individuals, groups, or organizations with whom the program works directly and with whom the program anticipates opportunities for influence" (p. 190). Boundary partners are similar to stakeholders; however, Buskens and Earl make the distinction that boundary partners are the subgroups interacting most closely with each other. Hence, instead of having big stakeholder meetings with everyone represented, they tend to have team meetings of relevant boundary partners. For example, the core management team for the IFRP had the following boundary partners (Buskens & Earl, 2008, p. 183):

- Action researchers
- Training development team
- IFRP trainers
- IFRP desk researchers
- Funders

- Motivational Interviewing Southern African Network (MISA)
- Department of Family Medicine at University of Stellenbosch
- Health researchers in southern Africa

The action researchers had their closest associations with the nurse counselors and the project management team members, who constituted their boundary partners. The boundary partners for the mothers who participated in the project were the nurse counselors with whom they worked. These teams deliberated on the program's vision and desired changes in behavior. Buskens and Earl then discussed how the program could provide the conditions necessary for that change to occur. Outcome mapping typically hopes to observe outcomes as not only a change in behavior but also changes in relationships, actions, activities, policies, or practices of an individual, group, community, organization, or institution (Wilson-Grau & Britt, 2013). The outcome-mapping process is dynamic and ongoing, allowing the boundary partners to examine their progress, to make adjustments to the intervention as deemed necessary, to plan for the next step and wider adaptation, or to scale up their project.

### *Advisory Boards*

Evaluators often work with advisory boards as a way to get input from representatives of various stakeholder groups. It would not be possible to work with all stakeholders in a national-level study (or a state-level or community-level study, in many instances). Hence the use of an advisory board can allow for important dimensions of the community to be represented. Mertens (2000) worked with an advisory board in a national evaluation of court access for deaf and hard-of-hearing people. The advisory board included representatives of the deaf and hard-of-hearing communities who were diverse in various respects: their choice of communication mode and language (sign language, reading lips, use of voice); backgrounds with the court (attorneys, judges, judicial educators, police officers, and interpreters); and hearing status (hearing, hard of hearing, and deaf). This group was able to provide guidance in regard to the diversity of experiences that deaf and hard-of-hearing people encounter in the courts. The group also emphasized the importance of understanding these diverse experiences in order to develop an intervention that could improve court access.

### *Technological Tools: Satellite Imagery and Mapping*

Satellite imagery and mapping are valuable tools that can be used to display current conditions, as well as to compare past and current conditions. An organization called Information Technology for Humanitarian Assistance, Cooperation and Action (<http://ithacaweb.org/international-cooperation>) provided information to help aid agencies plan how to respond when the island country of Haiti was struck by a massive earthquake on January 12, 2010. This organization used geomapping technology to post before-and-after pictures on its website of the areas hit by the earthquake. The before-earthquake satellite photos showed roads, airports, various types of buildings (public and private), and water and electricity centers. The photos taken after the earthquake showed how extensive the damage was to all these facilities. Electricity was not available; telephone



cables were damaged; the airport had no fuel or lights, and the road from there into the city was destroyed; the water supply collapsed, and wells were contaminated; the prisons broke open, and the prisoners who survived the quake escaped. The geomapping tool thus provided information that was invaluable in helping the aid agencies identify and respond to the conditions on the ground, especially since communication systems were not functioning.

Note that many of these strategies for identification of context and evaluand are revisited in our Chapter 8 discussion of the approach to evaluation known as “needs and assets assessment.”

## Depicting the Evaluand

In most evaluation planning, the evaluand, as the entity that is being evaluated, needs to be specified early in the evaluation planning process. The exception to this specification might occur in developmental evaluations in which there is no static evaluand, or in transformative cyclical evaluations in which the evaluand might be developed based on findings from early stages of the evaluation. As mentioned at the beginning of this chapter, evaluands can range in definition from a gleam in a proposing investigator's eye to a well-established program. It is sometimes easier to describe an evaluand that has a long history and ample extant information, although this is not always the case. Sometimes a program that has been around for a while has developed layers of complexity that were not present in the original plans, requiring evaluators to do a bit of investigative work. Programs that are under development may also exist differently in the minds of different stakeholders. One of the greatest services an evaluator can provide in such circumstances is to facilitate discussions among the various stakeholder groups to identify what the various components of the evaluand are, how they work together, and what resources are needed and available to lead to the desired outcomes. Portrayals of evaluands should be considered as working models that will change over time; however, in order to plan an evaluation, a preliminary portrayal of the evaluand is needed.

Evaluands can be depicted in many ways: descriptively or graphically, as static or dynamic entities. Descriptive portrayals of evaluands are typically given as narratives; the object of the evaluation is described, along with the major players and goals. Graphic portrayals of evaluands have typically taken the form of **logic models** or **logic frameworks** (the latter is sometimes shortened to **log frame**, the terminology used in the international development community for logic models). Evaluators from all branches can use all of these approaches to depicting evaluands; however, they may use them a bit differently. A Methods Branch evaluator might view the logic model as needing to be followed without changes in order to assure the fidelity of the treatment intervention. A Values Branch evaluator would probably be more comfortable with a flexible view of the logic model, allowing it to evolve as the study progresses. Use Branch evaluators would want the logic model to be viewed as useful to their primary intended user and would therefore be amenable to changes as needed. A Social Justice Branch evaluator would see the logic model as a best guess at the beginning of the project and would want to leave room for changes based on findings from communities throughout the process of the evaluation.

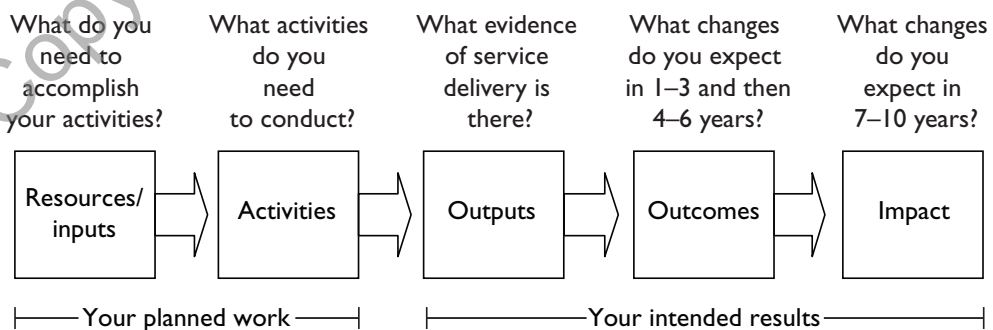
### Logic Models and Log Frames

Logic models are most closely tied to theory-based evaluation approaches (although they are used in many evaluation approaches), because the essence of theory-based evaluation is to reveal the underlying theory of how the program intends to achieve its intended outcomes. For example, if I want youth to refrain from using illegal drugs, what is my theory as to how to accomplish that outcome? The logic model is supposed to make the program's theory of change explicit. A theory of change describes how the activities, resources, and contextual factors work together to achieve the intended outcomes.

The W. K. Kellogg Foundation (WKKF, 2004b) has published a logic model development guide that starts with a very simple depiction of a logic model. This includes two main components: what the program people plan to do (resources/inputs and activities) and what their intended results are (output, outcomes, impact). This elementary depiction of a logic model is shown in Figure 7.1.

“Resources” or “inputs” are those human, financial, and community resources that are needed for the evaluand, such as funding, partnering organizations, staff, volunteers, time, facilities, equipment, and supplies. They can also include wider contextual factors, such as attitudes, policies, laws, regulations, and geography. “Activities” include the processes, events, technology, and actions that are part of the program implementation. These can include such components as education and training services, counseling, or health screening; products such as curriculum materials, training materials, or brochures; and infrastructure such as new networks, organizations, or relationships. “Outputs” are products of the activities and include the quantity and quality of the services delivered by the program, such as the number of workshops taught or the number of participants served. “Outcomes” are the changes in individual participants in terms of behaviors, knowledge, skills, or attitudes. These can be short term or long term. “Impact” is the desired change on a broader level for organizations or communities, such as reduction of poverty or increase in health.

The most basic format for a logic model is the outcomes-based logic model, which starts with stakeholders' identifying those outcomes and impacts that are important to them. Any of the group processes described earlier in this chapter can be used for this purpose. For example, Fredericks et al. (2008; see Chapter 3, Box 3.5) described a logic model for a project that was supposed to improve services and quality of life for people with developmental disabilities. The stakeholders included a state-level steering



**Figure 7.1.** Basic logic model template. *Source:* Based on WKKF (2004, pp. 1 and 17).

committee and a finance team from the state agency in charge of the program. The project had specified goals: “to increase the individualization of service planning and delivery, increase administrative efficiencies, increase person-centered planning, increase consumer choice, increase community integration, and improve the quality of life for consumers—in terms of home, relationships, personal life, work and school, and community” (Center for Policy Research, cited in Fredericks et al., 2008, p. 254). The evaluators and the steering committee worked together to develop the logic model displayed in Box 7.5.

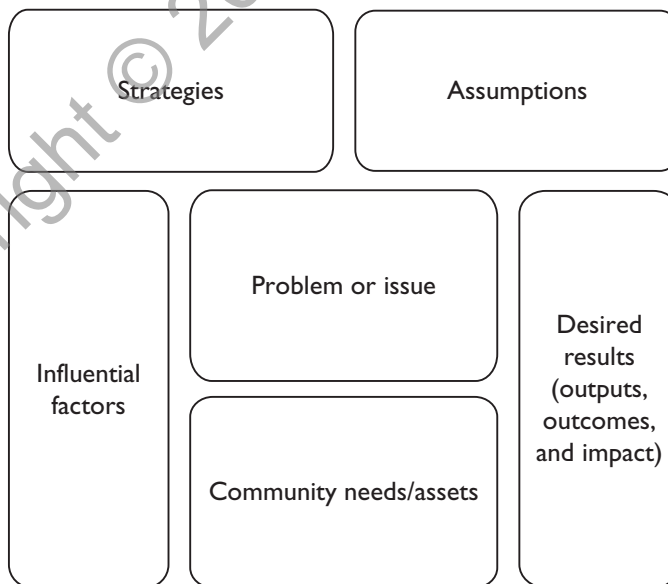
### Box 7.5. Logic Model from the Fredericks et al. (2008) Quality-of-Life Study

| <i>Inputs (What is going into the system?)</i>   | <i>Process (What is it that we are doing?)</i>   | <i>Outputs and short-term outcomes (How will we know when we have done this?)</i>  | <i>Long-term outcomes and impacts (Why are we doing this?)</i>   |
|--|--|--|--|
| <ul style="list-style-type: none"> <li>■ Training for staff to ensure more individualized services</li> <li>■ Resources to train and retain qualified staff</li> <li>■ Links to community partners that will allow consumers to be more involved in the community, both socially and in a work setting</li> <li>■ Increased choices for consumers</li> </ul> | <ul style="list-style-type: none"> <li>■ Implementing sites will redesign service delivery efforts based on an individualized service environment</li> <li>■ Implementing sites will provide services according to the performance contract</li> <li>■ Implementing sites will provide services to individuals currently not being served</li> <li>■ Implementing sites will serve individuals with a full range of disabilities</li> <li>■ Implementing sites will use a new budgeting procedure</li> </ul> | <ul style="list-style-type: none"> <li>■ Increases in person-centered planning</li> <li>■ Increases in community integration</li> <li>■ Increases in consumer choice</li> <li>■ Increases in the number of people being served</li> <li>■ Financial predictability, as measured by stability in the budgets</li> </ul> | <ul style="list-style-type: none"> <li>■ Increases in the individualization of service planning and delivery</li> <li>■ Increases in administrative efficiencies</li> <li>■ Increases in the quality of life for consumers—in terms of home, relationships, personal life, work and school, and community</li> </ul> |

Source: Fredericks et al. (2008, p. 255). Copyright © 2008 the American Evaluation Association. Reprinted by permission.

The WKKF (2004b) logic development guide offers another, more intricate template for a theory-based logic model. Like the simpler logic model just presented, this theory-based logic model explains what the project wants to accomplish and how it will accomplish those intended results, but it does so in greater detail and complexity. The theory-based approach begins by clarifying the assumptions that underlie the decisions to plan and implement the evaluand. A template for this type of logic model appears in Figure 7.2. The development of the theory-based logic model follows these steps:

1. Identify the problem or issue. Why is this evaluand needed? What are the conditions in the community that give rise to the need for this program (e.g., high levels of poverty, increased rate of infection from HIV/AIDS, low literacy levels)?
2. List the community's needs and assets. This means listing both the strengths and challenges in the community. For example, strengths might include networks of health care workers, expressed desire to work for change, or access to funds. Challenges might include poor infrastructure in terms of transportation or school buildings or clean drinking water. Part of the contextual analysis should pay attention to issues of power and influences of discrimination and oppression in the evaluation context.
3. Specify the desired results in terms of outputs, outcomes, and impact. As explained above for the outcomes-based logic model, outputs might be services delivered, workshops provided, or number of participants trained. Outcomes are short-term results in the form of changes in individuals' behaviors, skills, efficiency, literacy levels, or disease prevention or treatment. The impacts are the longer-term goals of the project (e.g., reduction of poverty, violence, economic hardship, or hunger).

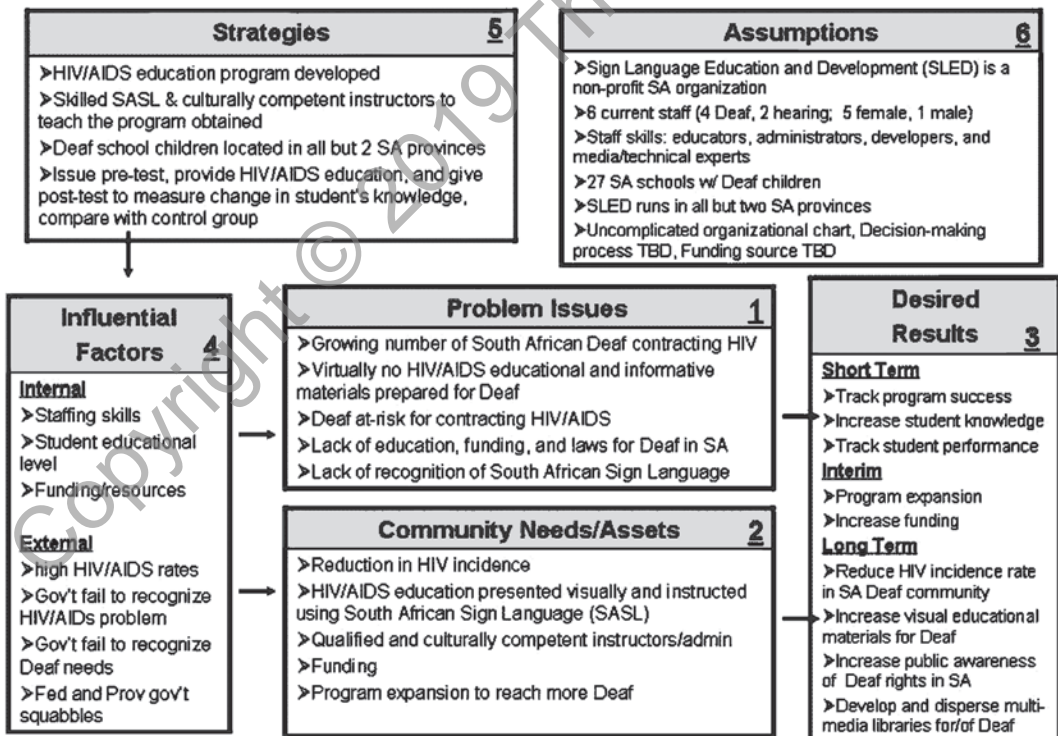


**Figure 7.2.** Theory-based logic model template. *Source:* Based on WKKF (2004, p. 28).

4. Identify influential factors—both those that are facilitative and those that are barriers to change. These can include legislation or policies that either mandate or inhibit the changes that are needed, a history of political stability or civil unrest, economic upturns or downturns, natural disasters, and political or community leadership.
5. Determine strategies (activities) that are needed to achieve the desired results. These might include development of recruitment or training materials, provision of services to enhance skills or health, or enhancement of infrastructure or technology.
6. State the assumptions that underlie the project. Why do the stakeholders believe that this course of action in this context will garner the results they desire? What are the principles, beliefs, or ideas that are guiding this project?

An example of a theory-based logic model is displayed in Figure 7.3. This figure is adapted from the work of Kathleen Donnelly-Wijting (2007) for an evaluation of an HIV/AIDS prevention program for deaf youth in South Africa.

Another example, in Box 7.6, is from Hamilton County, Ohio, which participated in the U.S. Department of Housing and Urban Development's (HUD) Lesbian, Gay, Bisex-



**Figure 7.3.** Theory-based logic model for HIV/AIDS prevention for youth in South Africa. *Source:* Adapted from Donnelly-Wijting (2007). Used by permission of Kathleen Donnelly-Wijting.

ual, Transgender, and Questioning (LGBTQ) Youth Homelessness Prevention Initiative. LGBTQ youth were dramatically overrepresented in the population of youth experiencing homelessness, because there were few systems and services designed to meet their needs. The goals of this initiative were to learn more about (1) preventing homelessness for LGBTQ youth and (2) intervening early to prevent chronic homelessness among LGBTQ youth. The initiative involved a deep and diverse list of stakeholders who had a vested interest in the issue, and together they created a theory, on which they based their logic model, of how to resolve LGBTQ youth homelessness.

### **Box 7.6. Hamilton County Safe and Supported Community Plan to Prevent Homelessness for Lesbian, Gay, Bisexual, Transgender, and Questioning Youth**

#### ***Narrative Description of the Evaluand and Theory of Change***

*The Hamilton County Safe and Supported Community Plan has eight key goals:*

1. Facilitate greater community awareness of issues contributing to LGBTQ youth homelessness and the Initiative's efforts to address these issues.
2. Facilitate greater local collaboration among stakeholders, including youth, community members, youth-serving agencies, and staff of youth-chosen spaces.
3. Improve data quality on sexual orientation and gender identity.
4. Use risk and protective factors for screening and assessment of youth at risk of or experiencing episodic homelessness.
5. Improve the quality of interventions to reduce risks and build protective factors that can prevent LGBTQ youth homelessness.
6. Support positive outcomes for LGBTQ youth in the areas of well-being, permanent connections, stable housing, and education/employment.
7. Obtain new funding and in-kind resources to support plan implementation.
8. Evaluate the initiative including its progress and outcomes.

#### ***Safe and Supported Theory of Change: How and Why an Approach Will Produce Change***

*To prevent LGBTQ youth homelessness:*

- *Start with* a needs assessment, understanding of local community context, *and* a collaborative planning process with stakeholders and youth representing the community.
- *To identify and implement* strategies that leverage local strengths and address gaps for preventing LGBTQ youth homelessness and address challenges contributing to LGBTQ youth homelessness.
- *Through* increased resources for youth, families, schools, communities and peer groups.
- *Through* cultural competency training and awareness building for families, schools, communities, and peer groups.
- *Through* changes in policies, procedures, and systems.

*So that we build* protective factors and *reduce* risk factors associated with LGBTQ youth homelessness, such as:

1. Improve social climate, including inclusivity of policies, effectiveness of resources, and support/acceptance of LGBTQ identity.
2. Nurture youth who are motivated by self-

- acceptance and belonging to a community to seek social and emotional well-being, permanent connections, stable housing, and education/employment.
3. Nurture a community that provides a safety net of social and emotional well-being, permanent

connections, stable housing, and education/employment opportunities so youth do not experience homelessness.

4. Increase the ability of families to accept and support difference to create a safe space for youth and prevent episodes of homelessness.

**Abbreviated Logic Model**

**Contextual Factors**

**Community context**

- Availability of and access to culturally competent services, programs, shelters, and housing
- Availability of data
- Economic development and financial resources
- Geography
- Leadership
- Collaboration in the community across youth-serving systems (e.g., education, juvenile justice, law enforcement, mental health, faith-based) and “turf” concerns
- Culture
- Advocacy efforts and politics
- Community awareness of prevalence and causes of LGBTQ youth homelessness
- Social attitudes toward LGBTQ

**Contextual Factors**

**Client context**

- Socioeconomic demographics (age, race, etc.)
- Awareness of and willingness to access supports
- Previous access to supports
- Protective factors (e.g., employment, positive friends, school connection, supportive adults, survival skills)
- Risk factors (e.g., emotional distress, family rejection, lack of stable housing, substance use, mental health challenges, physical factors)
- Coming out status

**Federal context**

- HUD, DOE, HHS, DOJ support for the initiative
- DOE requiring diversity training for all school staff

**Inputs, Activities, and Outputs**

| <b>Inputs</b>  | <b>Priority Activities</b>   | <b>Outputs</b>                 |
|--|--|--------------------------------|
| Initiative planning team (~30 members), including youth participants | Needs assessment   | Needs assessment               |
|  | SWOT analysis  | Needs assessment findings      |
| Lighthouse staff (2)   | Local collaboration  | Local plan development         |
| Strategies to end homelessness staff (1)                             | Steering committee meetings (monthly)                                | Analysis of local data— report |
|  | Community meetings (4)   | Theory of change               |
| Technical assistance (TA) team (3) and other federal TA              | More clearly defining CQI process (formal change management process) | Logic model                    |
|  |  | Strategic plan                 |
| Group site   |  |                                |

(cont.)

**Box 7.6 (cont.)**

| <b>Inputs</b>   | <b>Priority Activities</b>  | <b>Outputs</b>  |
|---|---|---|
| Coordination of existing funding                                    | Local plan development  | Financial plan  |
| Exploring new funding   | Six-month strategic planning process involving the systems and providers serving LGBTQ and homeless youth | Local plan implementation   |
|   | Leadership team meetings (biweekly)   | Outputs based on final local plan   |
|   | Identify funding sources  |   |
|   | Local toolkit for corporate response  |   |
|   | Development and advocacy of funding strategies  |   |
|   | <b>Local plan implementation</b>  |   |
|   | Two years of implementation   |   |
|   | Plan strategies and activities  |   |
|   | Community advisory group  |   |
|   | Local plan evaluation   |   |
| <b>Outcomes and Impact</b>  |   |   |
| <b>Short-term outcomes (months 1–6)</b>                             | <b>Intermediate outcomes (months 7–18)</b>  | <b>Long-term outcomes (months 19+)</b>  |
| Identification of community need(s) using data                      | Reduced number of LGBTQ youth who become homeless   | Increased number of LGBTQ youth in stable housing, permanent connections, social and emotional well-being, and education/employment |
| Participation of LGBTQ homeless youth in planning                   | Strengthened relationships among youth and key partners and within each group                             | Increased community acceptance and adult support of LGBTQ youth   |
| Increased community engagement                                      | Expanded screening and assessment opportunities   | Improved response to risk and protective factors of LGBTQ youth at risk of or experiencing homelessness                             |
| Increased participant and community awareness of LGBTQ homelessness | Increase cultural competency at initiative partner agencies   | Implemented interventions and countywide programs to address specific needs of youth  |
| Identification of evidence-based or promising practices             | Increased participation in LGBTQ competency training for foster parents and JFS workers                   |   |
| Identification and promotion of existing resources                  |   |   |
| Identification of new funding sources                               |   |   |



| <i>Short-term outcomes<br/>(months 1–6)</i> | <i>Intermediate outcomes<br/>(months 7–18)</i>  | <i>Long-term outcomes<br/>(months 19+)</i>   |
|---|---|--|
|   | Increased number of foster and adoptive families that support LGBTQ foster youth and increased matches between youth and these families | Decreased number of LGBTQ youth who become homeless                                  |
|   | Improved LGBTQ client services and satisfaction at Sheakley Center  | Improved access to community supports and resources for LGBTQ youth                  |
|   | Improved social and emotional well-being among LGBTQ youth at risk of homelessness  | More positive school environment for LGBTQ youth                                     |
|   | Secure funding for initiative recommendations   | Expanded dialogue to share and explore perceptions of LGBTQ youth and related issues |
|   |   | Improved understanding of the prevalence of LGBTQ foster youth in Hamilton County    |
|   |   | Improved data depth and quality (completeness, accuracy, timeliness)                 |

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In addition to the WKKF (2004b) development guide for logic models, a number of other guides are available online:

- The Harvard Family Research Project has a guide for developing logic models. The logic model development process is illustrated with an example of a districtwide family engagement program (<https://eric.ed.gov/?id=ED507500>).

- The Aspen Institute has developed a tool that includes step-by-step instructions on the development of a logic model within the world of philanthropy. Continuous Progress, a branch of the Aspen Institute's Global Interdependence Initiative, just launched its Advocacy Progress Planner ([www.aspeninstitute.org/programs/aspen-planning-and-evaluation-program/tools](http://www.aspeninstitute.org/programs/aspen-planning-and-evaluation-program/tools)). Funded by the California Endowment and the William and Flora Hewlett Foundation, this tool illustrates the range of possible outcomes and target audiences that might be relevant to a certain advocacy or policy change strategy. The model helps a user focus on identifying the proper goals of any advocacy effort, which depends on where the issue stands in the policy process.

- CAPT presents a planning framework for prevention programs ([www.samhsa.gov/capt/applying-strategic-prevention-framework](http://www.samhsa.gov/capt/applying-strategic-prevention-framework)). Many of the steps fit into the logic model system. Step 1 is to assess the community's needs and readiness for an intervention. Step 2 is to mobilize the community and build capacity as necessary. Step 3 is called "planning" and includes a description of the program, activities, and strategies. The website gives many examples of best practices from the National Institute on Drug Abuse, CSAP, the

National Center for the Advancement of Prevention, the Office of Juvenile Justice and Delinquency Prevention, the Department of Education, and the Centers for Disease Control and Prevention (CDC). Step 4 is to implement the program, and Step 5 is to evaluate the program's results and sustainability.

In the field of international development, logical frameworks (log frames) are used instead of logic models. Baker (2000) describes log frames as statements of objectives that lead to the identification of outputs and impact indicators.

The use of a logical (log) framework approach provides a good and commonly used tool for identifying the goals of the project and the information needs around which the evaluation can be constructed. The log frame, increasingly used at the World Bank, is based on a simple four-by-four matrix that matches information on project objectives with how performance will be tracked using milestones and work schedules, what impact project outputs will have on a beneficiary institution or system and how that will be measured, and how inputs are used to deliver outputs. . . . In other words, it is assumed that the project's intended impact is a function of the project's outputs as well as a series of other factors. The outputs, in turn, are a function of the project's inputs and factors outside the project. Quantifiable measures should then be identified for each link in the project cycle. This approach does not preclude the evaluator from also looking at the unintended impacts of a project but serves to keep the objectives of the evaluation clear and focused. Qualitative techniques are also useful in eliciting participation in clarifying the objectives of the evaluation and resulting impact indicators. (p. 19)

Davies (2005) also describes a logical framework as a  $4 \times 4$  planning matrix:

The four columns are the Narrative—a description of expected changes, Objectively Verifiable Indicators—of those changes, Means of Verification—of those indicators, and Assumptions about external influences on the expected changes, both positive and negative. The four rows are the Activities, which lead via Assumptions on that row to the Output, which leads via Assumptions on that row to the Purpose, which leads via Assumptions on that row to the Goal. (p. 147)

..... EXTENDING YOUR THINKING .....

### Using a Logic Model

#### *Logic Model: Stopping Teens from Texting While Driving*

**Situation:** A high school in Montgomery County is mourning the death of one senior who died in a car accident as he was texting while driving. The problem seems to be complex: Many teens text while they drive; their parents text while driving; teens see other drivers texting while driving; the local police department does not seem to be ticketing or consistently ticketing drivers, despite the law prohibiting driving and texting; and there are limited consequences for the few teens who have been caught texting.

The Montgomery County Teen Unit (MCTU) is planning a campaign to begin a program to teach the teens and the community at large about the dangers of texting while driving. The following table lists the inputs and processes as well as the outputs/short-term outcomes and impacts/long-term outcomes. What would be some other outputs and short-term outcomes, and some other long-term outcomes and impacts?

| Inputs   | Processes (activities)  |
|--|---|
| <ul style="list-style-type: none"> <li>• Montgomery County grants</li> <li>• Private funding (telephone companies)</li> <li>• Parents</li> <li>• Montgomery High School</li> <li>• Equipment</li> <li>• Volunteers (parents, police, community members, teens)</li> <li>• Community partners</li> <li>• Existing resources</li> <li>• MCTU staff</li> <li>• Materials</li> <li>• Time</li> </ul> | <p>MCTU will:</p> <ul style="list-style-type: none"> <li>• Develop teaching units with driving schools</li> <li>• Create literature with teens</li> <li>• Create public service announcements at high school's TV lab</li> <li>• Engage youth and build relationships</li> <li>• Write grants for funding</li> <li>• Collaborate with county judges for consistent punishments and education</li> <li>• Conduct training for cellphone providers</li> <li>• Work with police on vigilant and consistent enforcement</li> <li>• Discuss initiative at county hall meetings</li> <li>• Deliver prevention education programs</li> </ul> |
| Outputs and short-term outcomes  | Long-term outcomes and impacts  |
| <p>Increased knowledge about the danger of texting while driving</p> <p>Name others:</p>   | <p>Decrease in the number of teens who text while driving after first probation</p> <p>Name others:</p>   |

In the international development context, evaluators focus on the United Nations Sustainable Development Goals (SDGs; these are listed in Chapter 1, Box 1.5). These give evaluators direction in terms of their goals and targets, as well as the indicators they can use to determine whether those goals and targets are being achieved. The World Bank and the United Nations have developed electronic databases that provide helpful information in planning an evaluation for an international development project.

The United Nations developed the Sustainable Development Knowledge Platform, which includes a global database and a metadata repository that contains information about progress toward the achievement of the SDGs by country or geographic area accord-

ing to each SDG indicator. The World Bank's World Development Indicators (WDIs) is another database that planners can use to target disparities associated with the most vulnerable groups, thus enhancing the possibility of designing interventions that are appropriate within each country's context.

Here is a list of databases that international development evaluators may find useful if they are working on evaluations related to the SDGs:

1. The SDG Indicators Global Database (<https://unstats.un.org/sdgs/indicators/database>) allows planners access to UN system data used to prepare for the secretary-general's annual report on "Progress towards the Sustainable Development Goals" by SDG indicator and country or geographic area.
2. The World Bank's WDI database (<http://databank.worldbank.org/data/reports.aspx?source=world-development-indicators>) contains current national, regional, and global estimates of development indicators collected from officially recognized international data sources, disaggregated by sex, age, economics, and urban or rural location. The WDI has been updated to include more indicators that reflect the SDGs.
3. The World Bank also offers 150 maps and data visualizations of the progress of countries achieving the 17 SDG goals in their online Atlas of Sustainable Development Goals 2018 (<http://datatopics.worldbank.org/sdgatlas>). The atlas is meant to "help policy makers, managers, and the public alike better understand them (the SDGs). The Atlas helps quantify progress, highlight some of the key issues, and identify the gaps that still remain."

Evaluators can use these databases to provide context for their evaluation planning, as well as to inform stakeholders about the extent of needs within various populations.

### *Descriptive Depictions of the Evaluand*

Evaluators always have a descriptive depiction of the evaluand; it can stand alone or support the graphic depiction of the evaluand in a logic model. All the examples of evaluations presented in this and earlier chapters have either a descriptive depiction of the evaluand or a descriptive and graphic depiction. One framework that is useful for conceptualizing a description of the evaluand is the CIPP model developed by Stufflebeam (see Chapter 4). Box 7.7 contains examples of the types of variables that might be considered for each aspect of the model, as well as applications of these to the evaluand description of a self-help program for women adjusting to breast cancer and its treatment (Sidani & Sechrest, 1999). It provided information about the course of treatment, belief in self, and improving problem-solving and cognitive reframing skills. The course had three components: (1) The cognitive component provided the knowledge needed to understand the condition, treatment, and self-care strategies; (2) the behavioral component addressed women's skills necessary for active participation in their own care, problem solving, and stress management; and (3) the psychological component helped women deal with their feelings. The course used three teaching modes (interactive, didactic, and hands-on experience).

### Box 7.7. Evaluand Descriptions Based on the CIPP Model

| <i>Component</i> | <i>Variables</i>  | <i>Example from Sidani and Sechrest (1999)</i>  |
|------------------|---|---|
| Context          | <p>Presenting problem; characteristics of the setting (physical and psychosocial features of the environment; social, political, and economic context of the program).</p> <p>Setting: accessibility, material resources needed to deliver the services; the physical layout and attractiveness of the setting; organizational culture; composition of and working relationships among the staff; norms and policies.</p> | <p>Women with breast cancer receiving therapy.</p> <p>Physical side effects; need for management to minimize effect on daily functioning.</p> <p>Setting: Classroom in a quiet setting; written materials; seating arrangements to facilitate discussion; audiovisual materials; space and equipment for demonstrations and hands-on learning.</p>  |
| Input            | <p>Critical inputs needed to produce the desired results, including client characteristics (e.g., demographics, personality traits, personal beliefs, employment status, level of anxiety, stage of the disease).</p> <p>Resources available to clients (internal and external support factors); access to treatment.</p> <p>Characteristics of the staff: personal and professional attributes, competency, gender.</p>  | <p>Clients: Age, gender, educational level, traits such as sense of control, cultural values, and beliefs.</p> <p>Staff: Communication abilities, demeanor, education background, level of competence or expertise in provided services, preferences for types of treatment, beliefs and attitudes toward target population. Staff members (women) delivering the courses: knowledge about breast cancer and self-help strategies; sensitivity to clients; good communication and teaching skills.</p> <p>Teaching protocol: objectives, content, learning activities, logistical instructions, training for instructors.</p> |
| Process          | <p>Mediating processes, targeted activities, quality of implementation; quantity of process delivered (dosage/strength); frequency, duration; which clients received which components of the project at which dosage; sequence of change expected.</p>  | <p>The self-help program had three components: cognitive, behavioral, and psychological. The course was given over six sessions (90 minutes each, once a week). The theoretical process involved this chain of events: attending course, increasing knowledge, engaging in self-care, decreasing uncertainty, improving affect, improving quality of life.</p>  |

(cont.)

### Box 7.7 (cont.)

| <i>Component</i> | <i>Variables</i>   | <i>Example from Sidani and Sechrest (1999)</i>   |
|------------------|--|--|
| Product          | The expected outcomes; reasons why the program was implemented; criteria to judge the effectiveness of the program; nature, timing, and pattern of change expected. (Nature of outcomes included particular changes in the clients' lives or condition; timing refers to when the change was expected to occur—immediately, short term, or long term.) | The self-help program expected positive changes in the quality of life about 6 months after the training; it should continue into the future. Improved quality of life was contingent upon the women's improvement in self-care and affect and the reduction of uncertainties. |

#### *Mixing Things Up*

As most people know, life rarely follows a linear pathway. Hence the use of linear models to depict evaluands is limited, because they do not portray deviations from what was planned or iterative changes that occur during the life of a program. A logic model is linear and suggests that action flows in one direction. However, the intended outcomes can focus on changes in participants, as well as changes in staff members as they progress through the project as well. These could lead to additional changes in the program that are not depicted in the logic model. Davies (2004) asserts that linear models are inadequate to depict the complexity of evaluands throughout the life of a project. He suggests that evaluators consider using more complex modeling strategies based on network analysis.

This chapter includes an example of an evaluand that was depicted in both narrative and graphic form using the WFFK logic development model by a county in Ohio to prevent homelessness for LGBTQ youth (Hicks & Alspaugh, 2014) (Box 7.6). Included in the plan is the list of diverse stakeholders who participated, contextual considerations, their theory of change, a complete logic model, and detailed short- and long-term outcomes.

### **Planning Your Evaluation: Stakeholders, Context, and Evaluand**

Choose an evaluand for which you can develop an evaluation plan. This may be a program that you experienced at some time in your past, something related to your current position, or even a new idea that you would like to develop. Using one of the logic models presented in this chapter, develop a logic model for your evaluand, at least as you presently understand it. Your understanding is expected to change throughout the planning process; therefore, be prepared to be flexible with this part of the evaluation. Identify potential stakeholders for this evaluand; to the extent feasible, involve the stakeholders in the process of developing the evaluand. After you develop the logic model, write a narrative that explains the context of the evaluand and also provides additional details of what

is depicted in the logic model. Share this narrative with a peer; obtain feedback as to the clarity and completeness of your depiction of the context and evaluand. Make revisions as necessary. If possible, obtain feedback from the stakeholders about your logic model and narrative.

### ► *Moving On to the Next Chapter*

This chapter rests on the assumption that evaluators and stakeholders know what the evaluand should be or is. However, that is not necessarily the case. In Chapter 8, we look at strategies evaluators can use to provide information to stakeholders who are in the process of designing a new intervention or making substantial changes in an existing evaluand. This approach to evaluation is called “needs and assets assessment.” We also consider other evaluation purposes and questions that might be used to guide the evaluation; we focus on how answers to those questions might be used to make changes in the organization.

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## Preparing to Read Chapter Eight

As you are halfway through the book, you now have a good understanding of the landscape of the evaluation field, its history, its currently used paradigms, and the different theories and approaches in evaluation. In Chapter 7, you learned how to identify the stakeholders and establish the context of the evaluand. Do you think by now you can list why evaluations are done?

1. Imagine that your school wants to establish a no-texting policy during classes or meetings. Try to list as many purposes for an evaluation of this type of initiative as you can.
2. Consider the following purposes for an evaluation of the no-texting policy:
  - Is this a good policy?
  - How well was it implemented?
  - What were the results of implementing the policy?
3. What kind of data would you collect in order to address these purposes for the evaluation?