

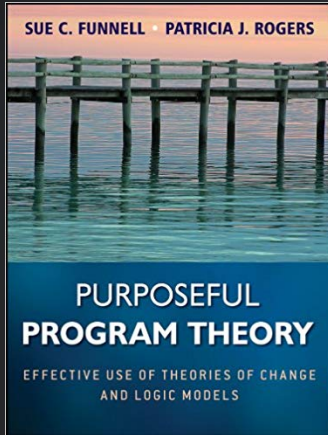
# Internal Expectations and Evaluation

Jonathan Kramer

National Socio Environmental Synthesis Center

- **Essential Resources**
- **Organizational Structure and Capacity**
- **Aligning Expectations**
- **Program Theory**
- **Utilization Focused Evaluation**
- **Evaluation Culture**

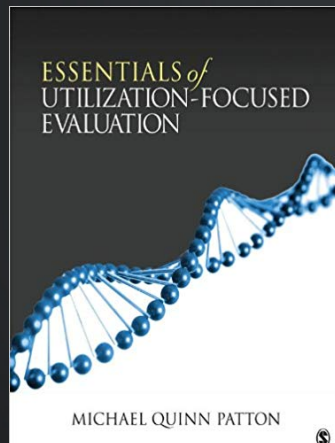
# Essential Resources



## *Purposeful Program Theory, Effective Use of Theories of Change and Logic Models*

Sue C. Funnell and Patricia Rogers 2011

Josey Bass



## *Essentials of Utilization-Focused Evaluation*

Michael Quinn Patton 2012

Sage

# Organizational Structures and Capacity to Support a Network of Networks

- The unique aspects of networks of networks present both opportunities and challenges
- A vision of what you want to achieve over appropriate time scales
- The advancements you'll make will depend on the:
  - ORGANIZATIONS you build
  - ACTIONS you undertake
- Thinking deeply about how to match organizational structure and implementation (activities) to your intended outcomes and impacts is key
- Can you *see and articulate* how your new network(s) capacities will enable you to achieve the outcomes, impacts and change you want?

# Aligning Expectations and Aspirations

- **NSF's Expectations**
  - Accelerating the process of scientific discovery
  - International engagement
  - Leveraged resources across participating networks
  - Development of professional skills for early career scholars
  - Big 10 Ideas
- **Budgets**
  - Catalytic: 3 years; \$750,000 (\$250K/year)
  - Full Implementation: 5 years; \$2 million (\$400K/year)
  - Specific guidelines (student support)

# Program Theory — Key Terms

Key Terms	Definition
Program Theory	An explicit theory of how an intervention is understood to contribute to its intended or observed outcomes
Theory of Change	The central processes or drivers by which change comes about for individuals, groups or communities
Theory of Action	The ways in which programs or other activities are constructed to activate a theory of change
Logic Model	A representation of a program's intervention by specifying key steps (programs/actions) and outcomes in a sequential manner; usually in a diagram

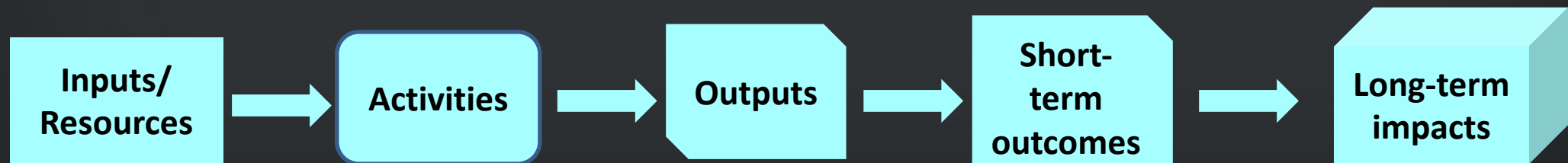
Adapted from Funnell and Rogers; Table 2.2

## Components of a Program Theory

Theory of Change	<p><b>Situation Analysis:</b> Identification of problems, causes, opportunities, consequences Causal</p>	<p><b>Focusing and Scoping:</b> Setting boundaries of the program, linking to partners</p>	<p><b>Outcomes Chain:</b> The centerpiece of the program theory, linking the theory of change and theory of action</p>
Theory of Action	<p>Desired attributes of intended outcomes, attention to unintended outcomes</p>	<p>Program features and external factors that will affect outcomes</p>	<p>What the program does to address key program and external factors</p>

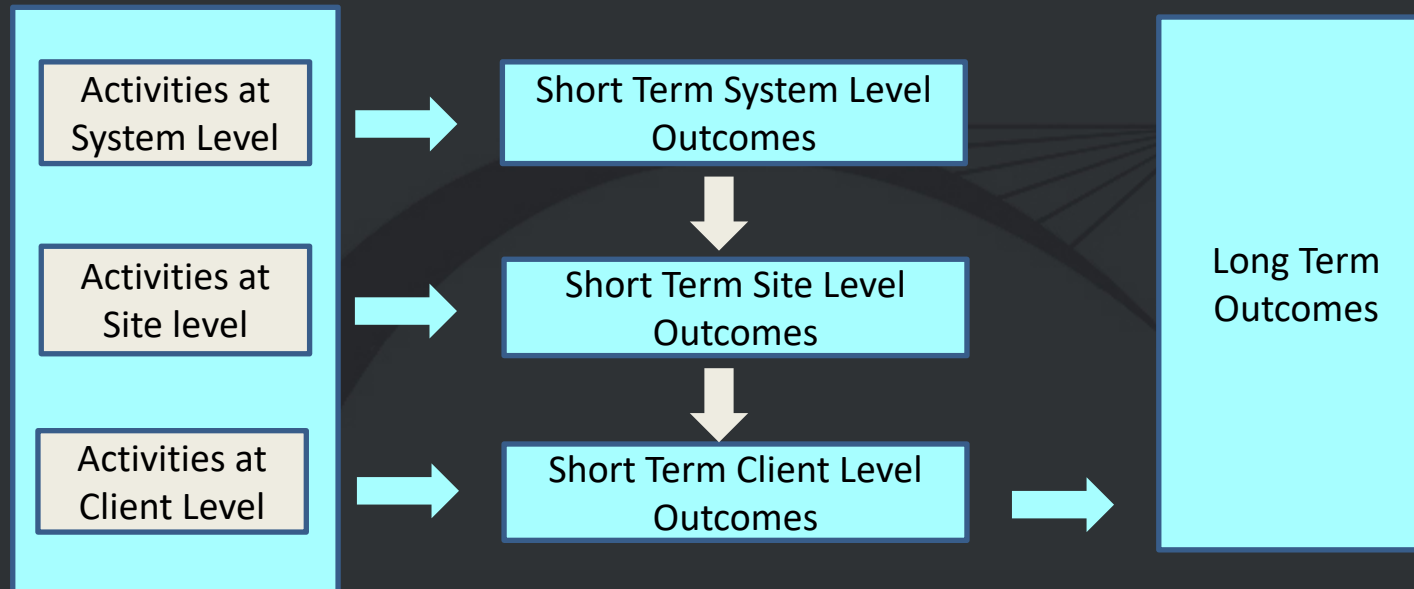
Adapted from Funnell and Rogers; Table 8.1

# Logic Models



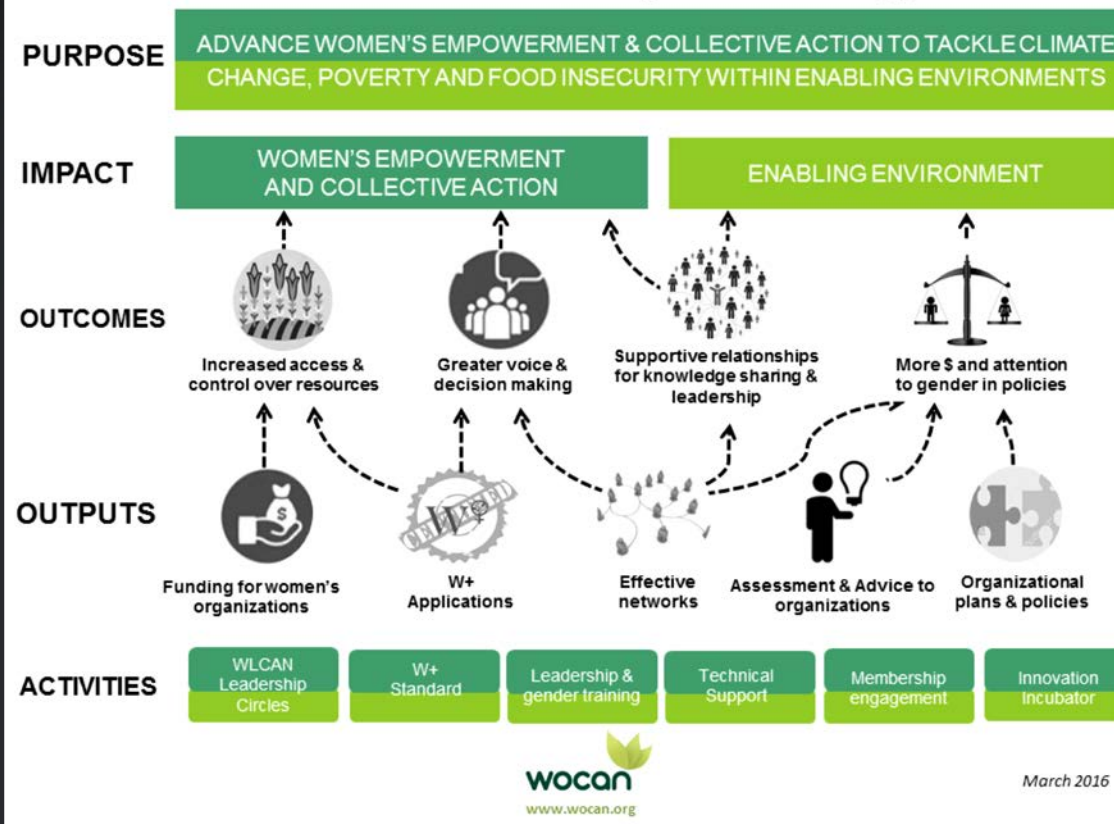


# More Complex Logic Model



Adapted from Funnell and Rogers; Fig. 5.1

# WOCAN's Theory of Change

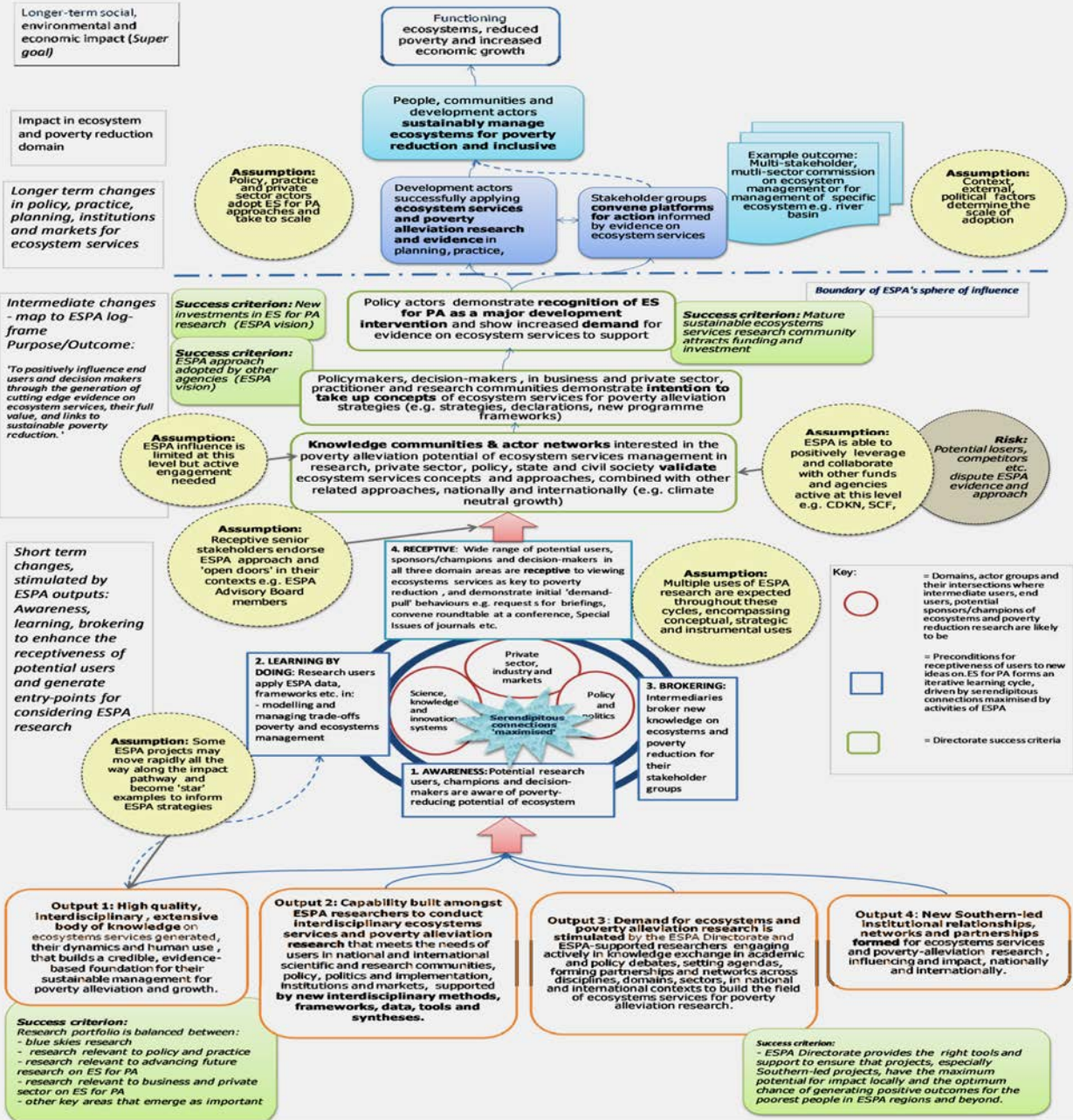


“... The theory of change of WOCAN describes our understanding that progress in women’s empowerment and gender equality requires changes at two levels”

- Individual women and women’s groups at the community level that experience a change in their conditions and positions
- Organizations that can have an influence and support women’s empowerment and gender equality through their policies, financial allocations and plans (creating enabling environments).



<http://www.wocan.org/our-theory-change>



Boundary of ESPA's Influence

# Ecosystem Services for Poverty Alleviation (ESPA) Theory of Change & Links to Research Activities



<https://www.espa.ac.uk/files/espa/ESPA-Theory-of-Change-Manual-FINAL.pdf>

# Uses of Program Theory, Theory of Change, Theory of Action & Logic Models

- Planning
  - Situation analysis
  - Strategy development
- Developing an intervention(s)
- Integration of Strategies
- As Management Tools
  - Shared vision
  - Understanding how individual contributions are integrated
  - Developing specific programs, projects, research etc.
- Communicating with stakeholders outside the program
- ***Developing monitoring and evaluation strategies and metrics***

## Quinn Patton's Principles for Meaningful and Useful Goals

1. Identify outcomes that matter to those that do the work.
2. Distinguish between outcomes and activities.
3. Be specific — more specific outcomes are more powerful.
4. Each goal should have only one outcome.
5. Outcome statements should be understandable.

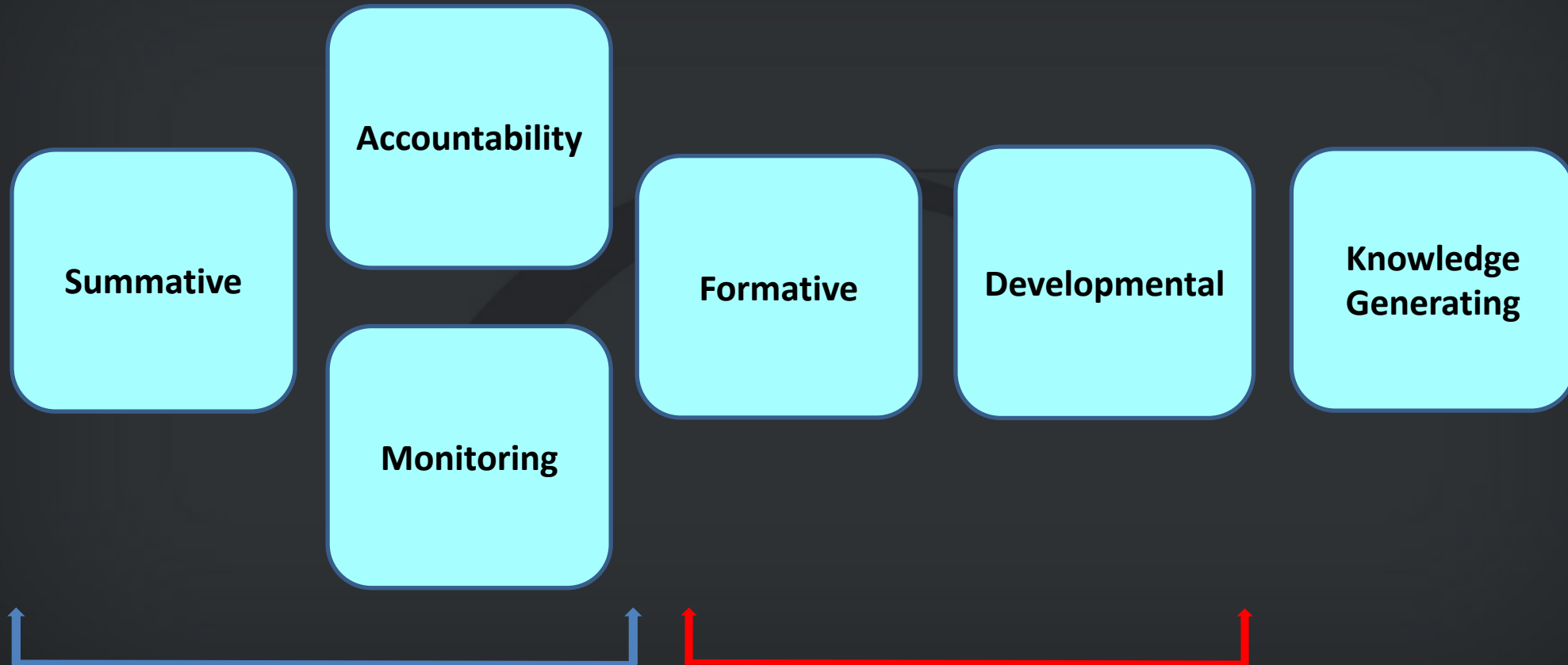
Quinn Patton 2012

## Quinn Patton's Principles for Meaningful and Useful Goals

6. Formal goals statements should focus on the most important program outcomes.
7. State outcomes separately from how they are to be attained.
8. Separate goals from indicators and performance targets.
9. Don't copy goals from other programs.
10. Use outcome statements to stay focused on achieving results.

Quinn Patton 2012

# Some Forms of Evaluation



# Aligning the Type of Evaluation to the Focus of the Evaluation

## **Summative**

- What is the overall merit of the program?
- Have stated goals and intended outcomes been achieved?
- How does the program compare to peers or a reference group?

## **Accountability**

- How have the resources been appropriately used to accomplish results?
- Who is accountable to whom and for what?
- Are rules and regulations being followed (compliance)
- Costs and benefit analysis

## **Monitoring**

- To what extent are expected outcomes being attained over defined intervals?
- Is there routine monitoring of key activities?
- Is the information analyzed?

Quinn Patton 2012



# Aligning the Type of Evaluation to the Focus of the Evaluation

## Formative

- How can the program be improved?
- Over what time frame?

## Developmental

- Is organizational development and rapid response a key part of the program?
- Is the program situated in a highly dynamic and complex system with high degree of uncertainty?

## Knowledge Generating

- What can be learned and generalized from the program?
- Who needs to know what the program learns?

Quinn Patton 2012

<b>Evaluation Purpose</b>	<b>Intended Users</b>	<b>What's at Stake</b>
<b>Summative</b>	Those who make decisions about program's future	Very High Stakes — program future can be at stake
<b>Accountability</b>	Executive Managers, Funders etc.	High Stakes—depending on program visibility
<b>Monitoring</b>	Program Mangers & Staff	Low Stakes — Can be ongoing, routine unless part of accountability monitoring
<b>Formative</b>	Program Managers & Staff; Those involved in day to day operations	Moderate Stakes— helps managers make adjustments to implementation
<b>Developmental</b>	Innovators, those who want to make change in dynamic environments	Low stakes — day to day tactical adjustments; High stakes — for longer term impacts
<b>Knowledge Generating</b>	Program Designers, Modelers, Scholars; Policymakers	Moderate to low stakes — incremental accumulation of knowledge; informs general practice

# Utilization Focused Evaluation Framework

1. A specific participant or “client”
2. The desired outcome for that target group
3. One or more indicators for the desired outcome
4. Performance targets
5. Details of data collection methodologies
6. How the results will be used

Quinn Patton 2012

# Utilization Focused Evaluation

1. The questions can be answered sufficiently to inform understanding and support action
2. Questions can be answered in a reasonable time frame and at reasonable cost
3. Data can be brought to bear on the questions
4. The answer is not biased or predetermined by the phrasing of the question
5. The primary intended users want the question answered
6. The answer is actionable; intended users can indicate how they would use the answer for future decision making and action

Quinn Patton 2012

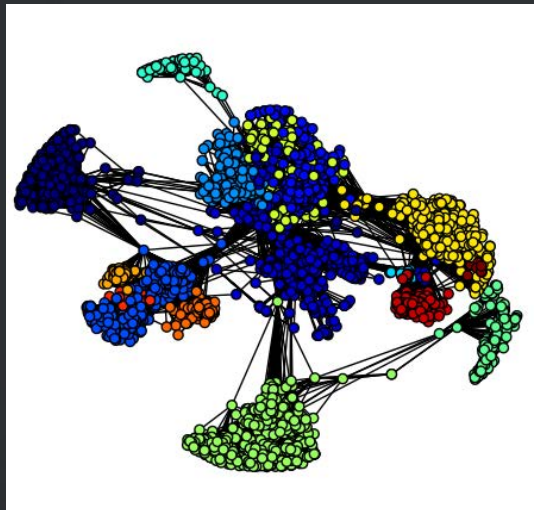
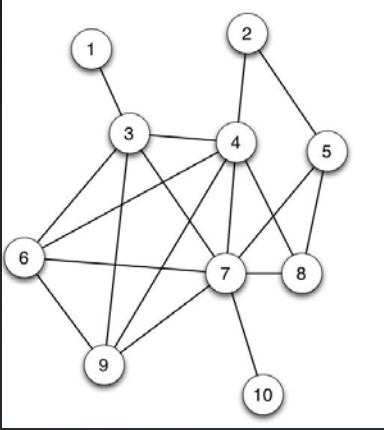
# What Might be Unique about Evaluating a Networks of Networks?

## Networks Should

- Filter
- Amplify
- Invest/Provide
- Convene
- Build Communities
- Facilitate

Mendizabal 2006

# Possible Evaluation Foci for Networks



## Network Vibrancy

- Structure and Governance
- Ownership
- Diversity of Interactions
- Interdependence
- Alignment
- Cohesion
- Adaptation and Evolution

<https://blog.dominodatalab.com/social-network-analysis-with-networkx/>

<https://idl-bnc-idrc.dspacedirect.org/bitstream/handle/10625/50770/IDL-50770.pdf?sequence=1&isAllowed=y>

# Possible Evaluation Foci for Networks



## Connectivity

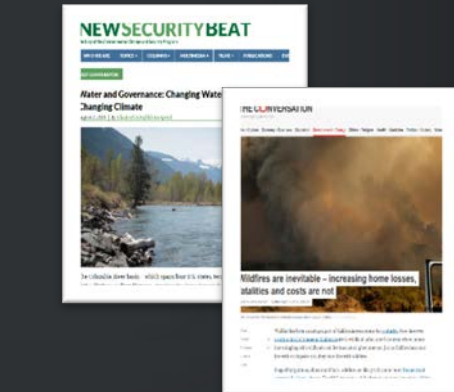
- Communications Practices
  - Effective activities (workshops, events, exchanges)
- Communications Quality
  - New interactions, diverse interactions
- Participation
  - Who and for how long — sustained interactions
- Collaboration
  - Level of collaboration
  - Willingness to work together
- Coordination
  - Link to governance — strategic efforts & connections

<https://idl-bnc-idrc.dspacedirect.org/bitstream/handle/10625/50770/IDL-50770.pdf?sequence=1&isAllowed=y>

# Possible Evaluation Foci for Networks

## Effects/Outcomes/Impacts

- Scholarly products (papers, talks etc.)
- Bibliometrics
- Media and other products
- Capacity building for early career and more senior network(s) members
- Value added for network members
- Importance/influence in the networks' focus area
- ***Systemic change (Theory of Change)***



<https://idl-bnc-idrc.dspacedirect.org/bitstream/handle/10625/50770/IDL-50770.pdf?sequence=1&isAllowed=y>





# Evaluation as a Tool & “Culture” Within Organizations