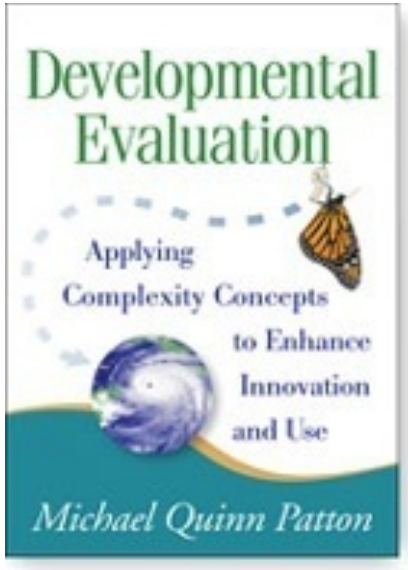
CES Ottawa

Developmental Evaluation In Government

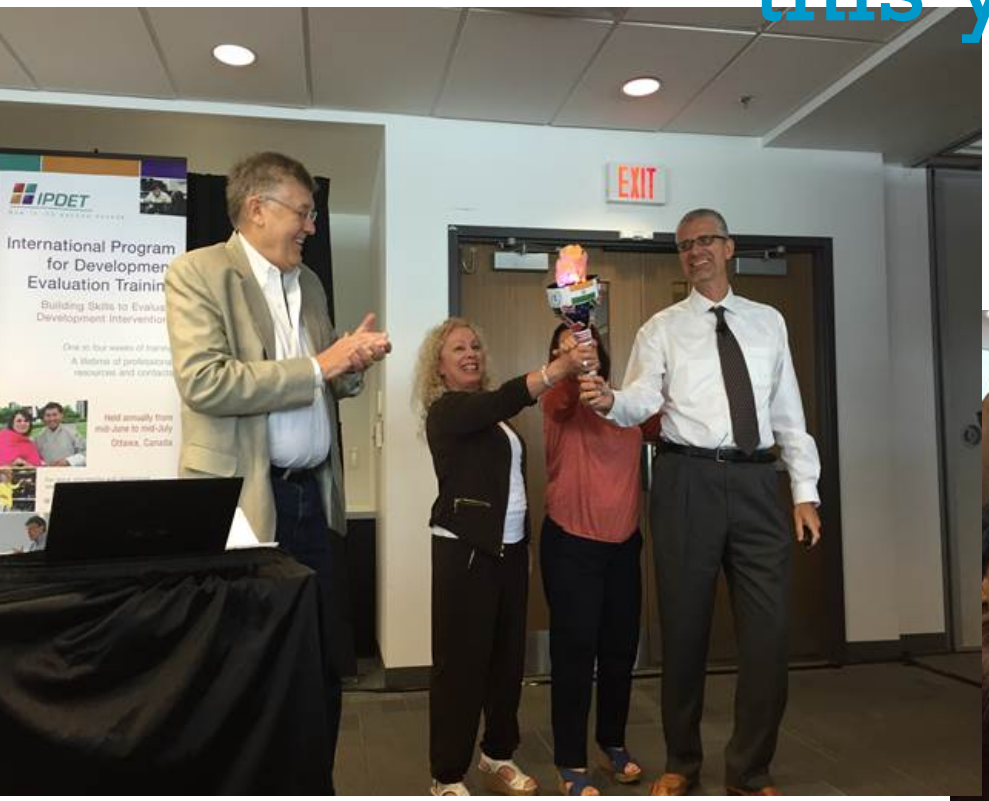
Michael Quinn Patton

July 2, 2015



2015
Année
internationale
de l'évaluation

Torch to celebrate the International year of Evaluation -- the 37th time the torch was lighted this year



BetterEvaluation
Sharing information to improve evaluation

Five ways to celebrate 2015 - the International Year of Evaluation!

2015 بين الاقوامی سال برای تشخیص
2015 Année internationale de l'évaluation
2015 国际评估年
2015 International Year of Evaluation
2015 السنة الدولية للتقييم
2015 Año Internacional de la Evaluación
2015 Международный год оценки
2015 SANADKA CAALAMIGA EE HORUMARINTA QIIMEYNTA
2015 Internationales Jahr der Evaluation

Original Primary Options

Formative

and

Summative

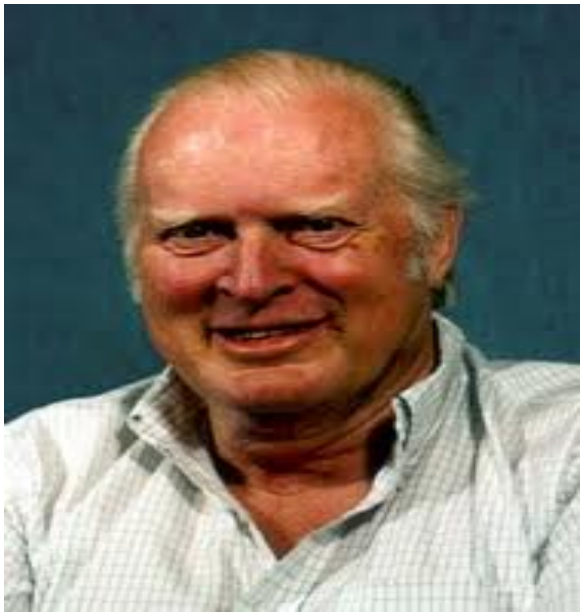
Evaluation

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

Michael Scriven(1967).

"The methodology of evaluation."

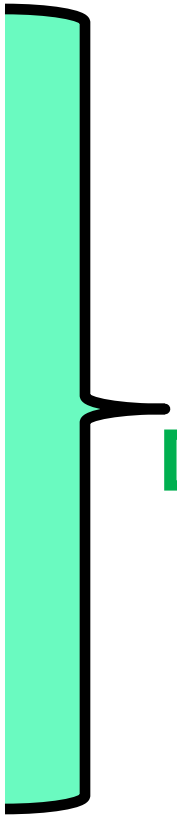
Pp. 39-83 in Ralph W. Tyler et al. (eds.) *Perspectives of Curriculum Evaluation*. AERA Monograph Series on Curriculum Evaluation, 1. Chicago: Rand McNally



Blandin Community Leadership Program

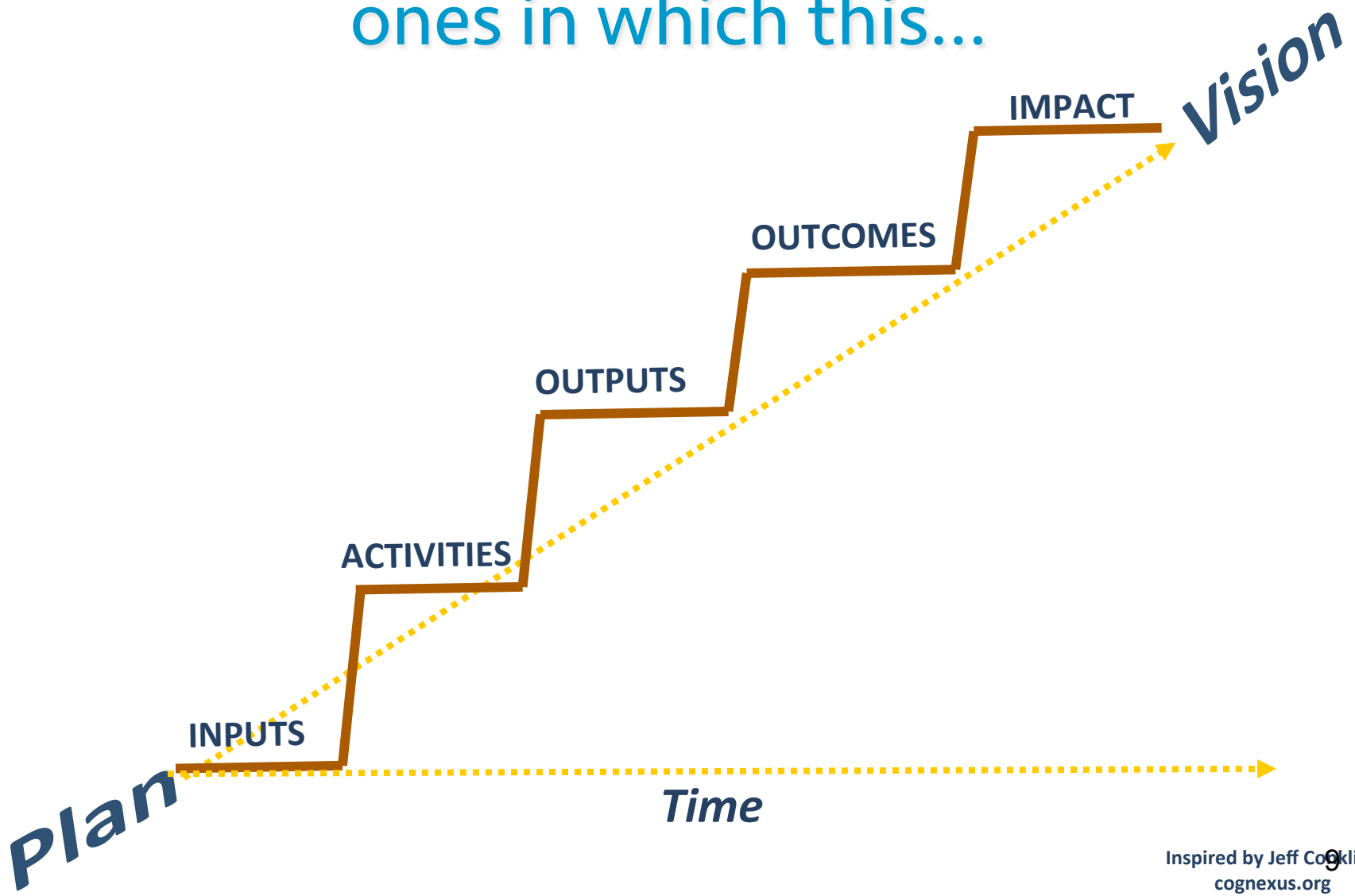
Conditions that challenge traditional evaluation

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



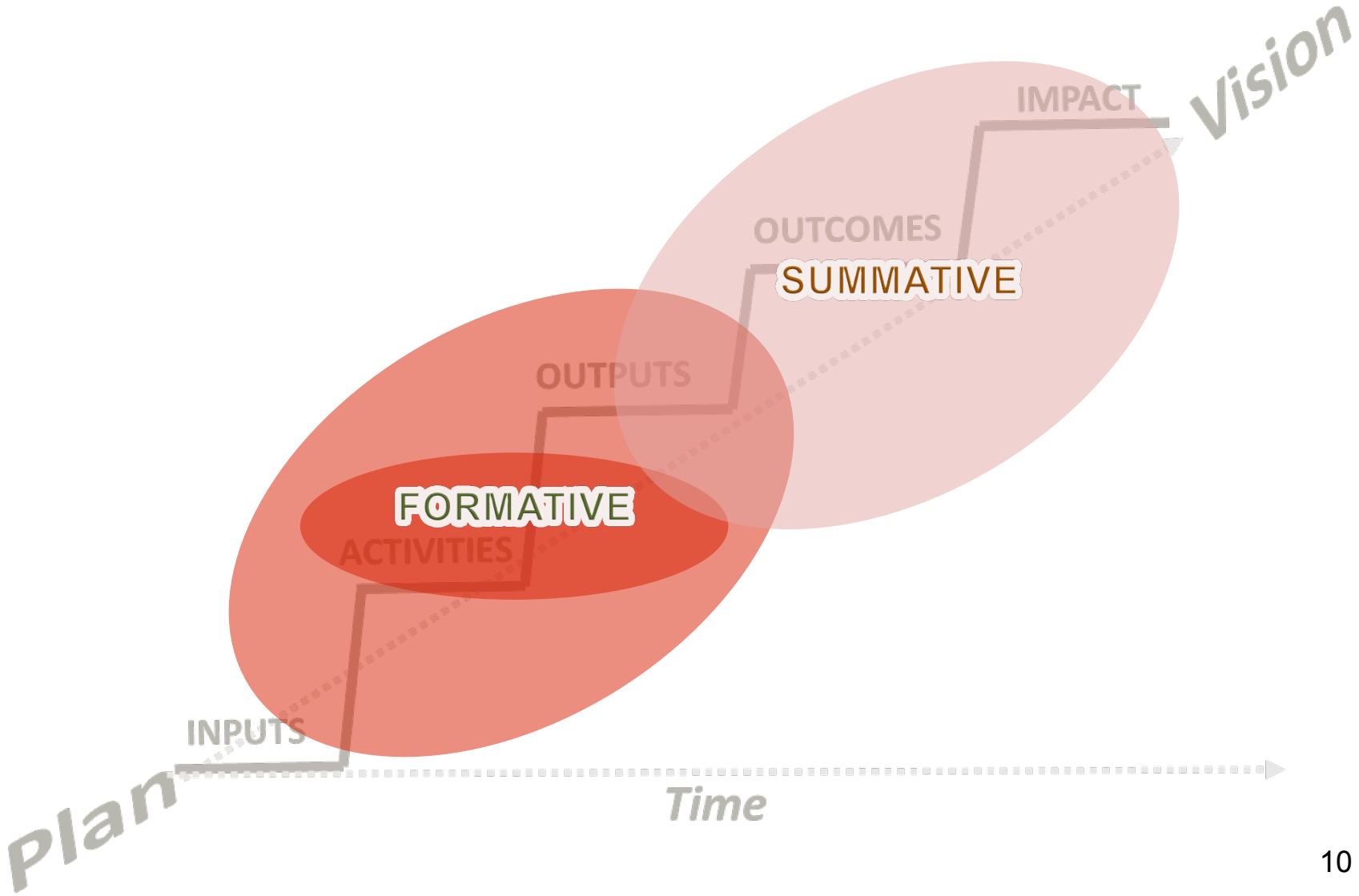
Adaptive Management and Developmental Evaluation

Complex development situations are ones in which this…

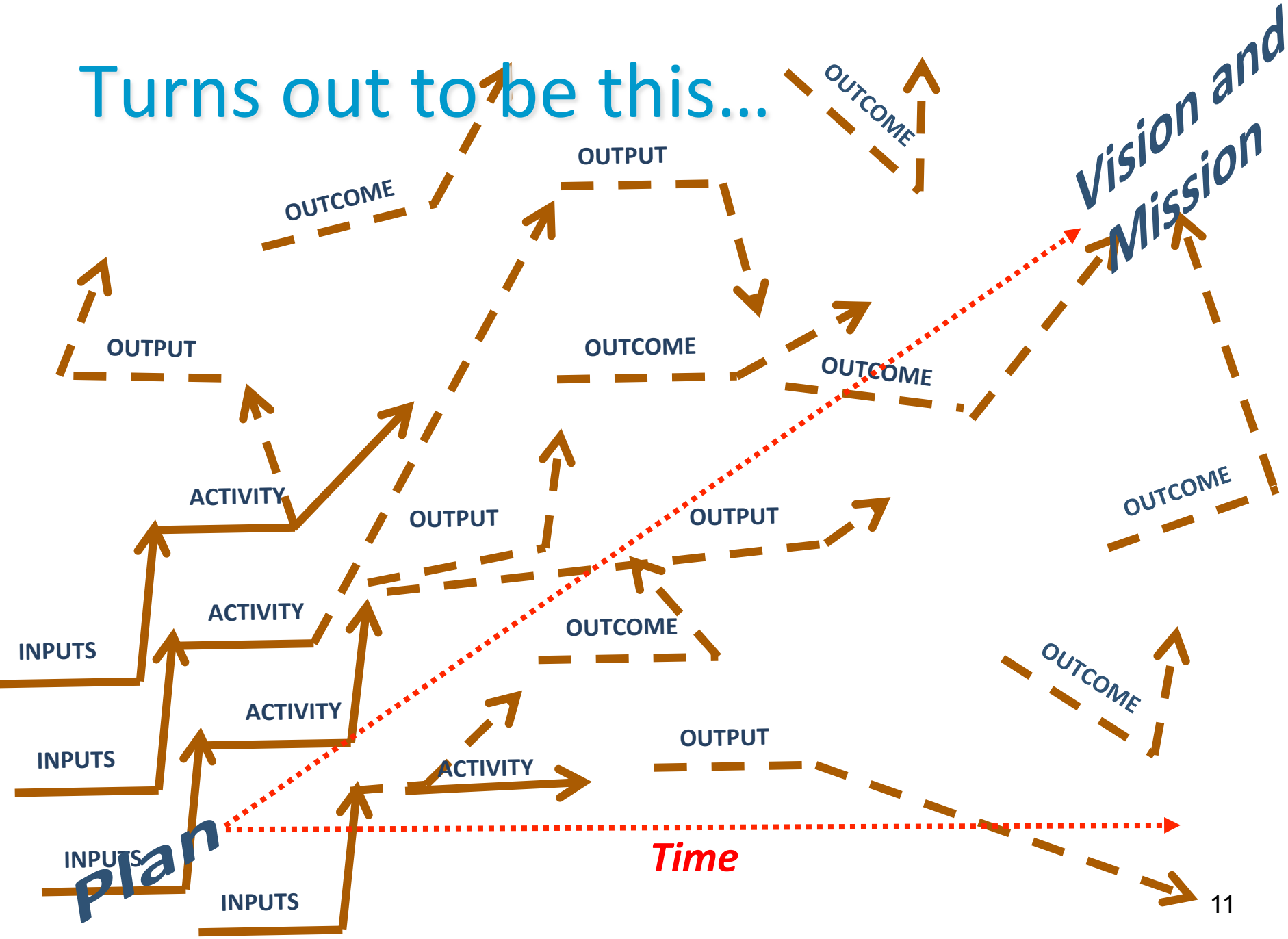


Inspired by Jeff Conklin, cognexus.org

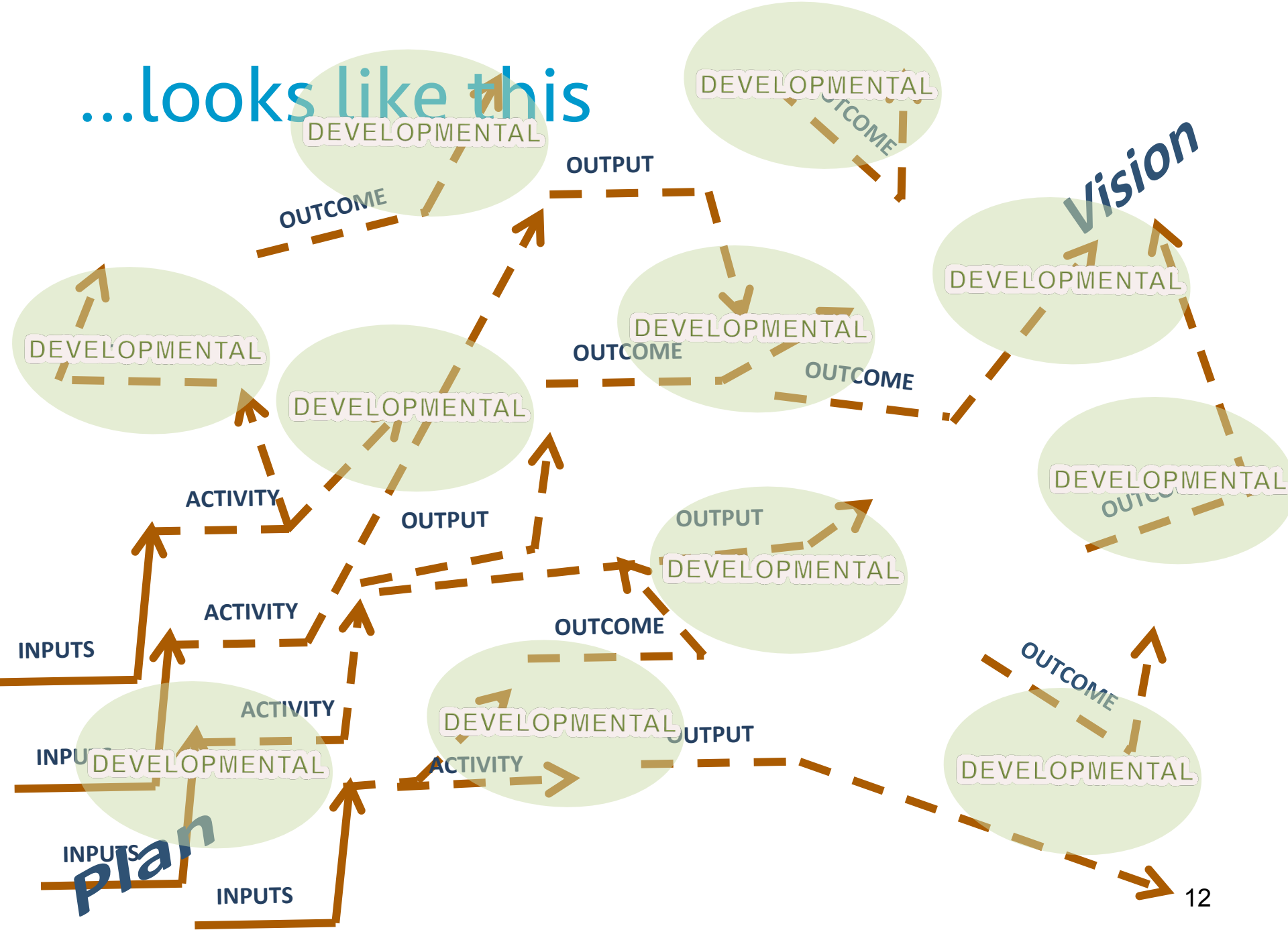
And this…


Vision
IMPACT
OUTCOMES
SUMMATIVE
OUTPUTS
FORMATIVE
ACTIVITIES
INPUTS
Plan
Time

Turns out to be this…



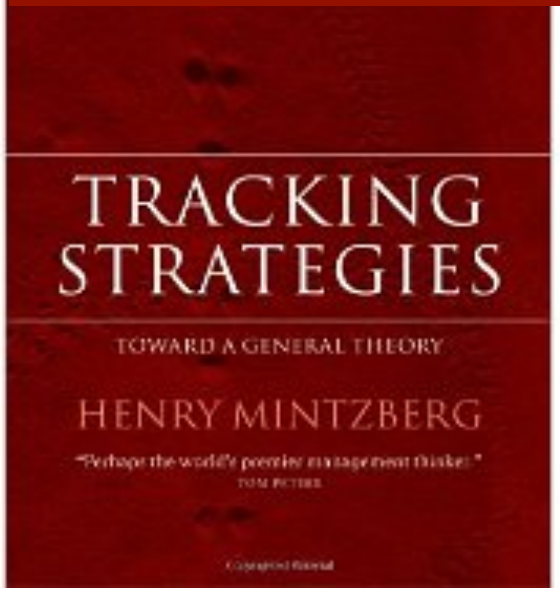
...looks like this



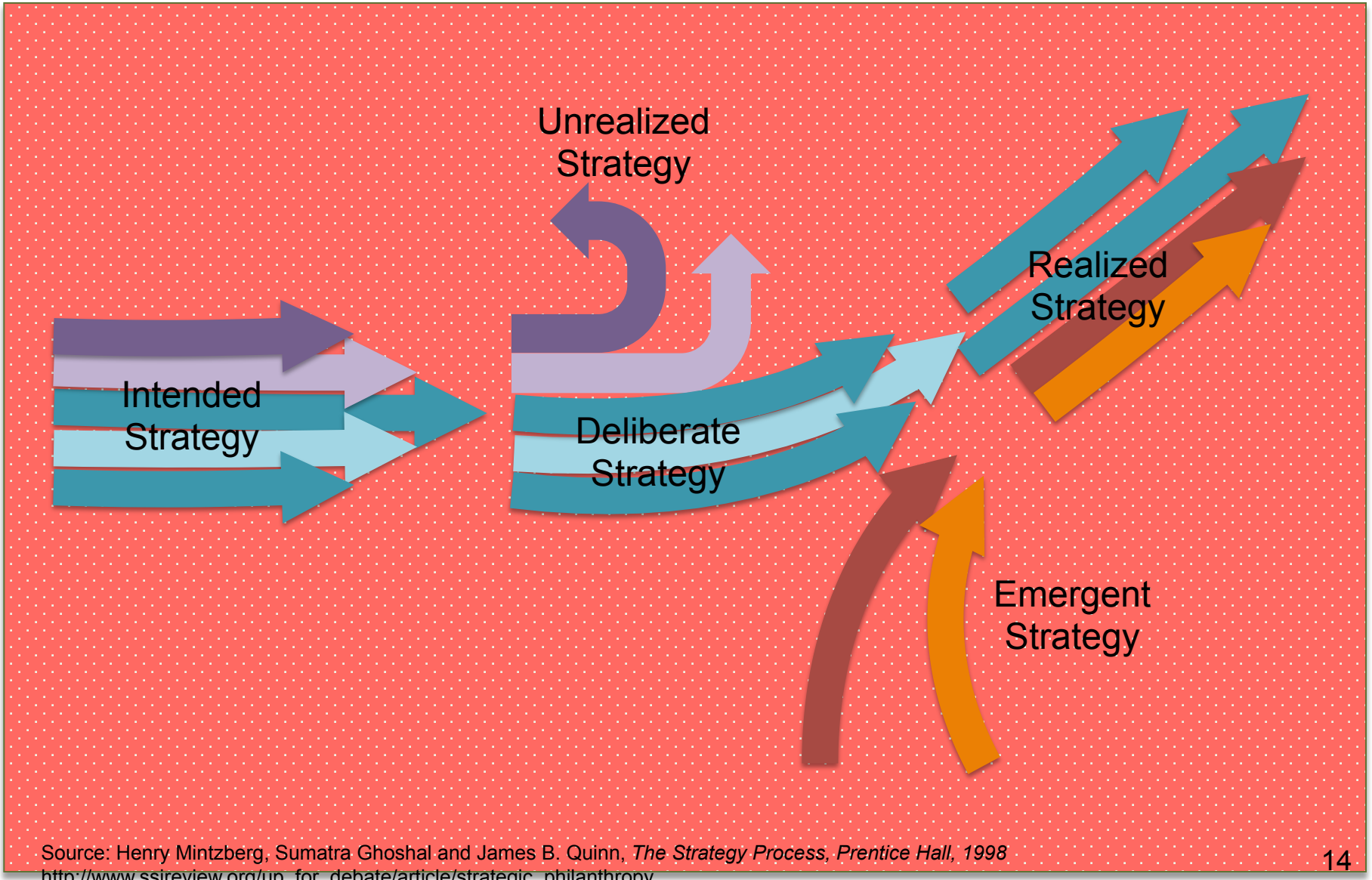
Henry Mintzberg

Strategic Leadership Expert

Evaluation of strategy Implementaion

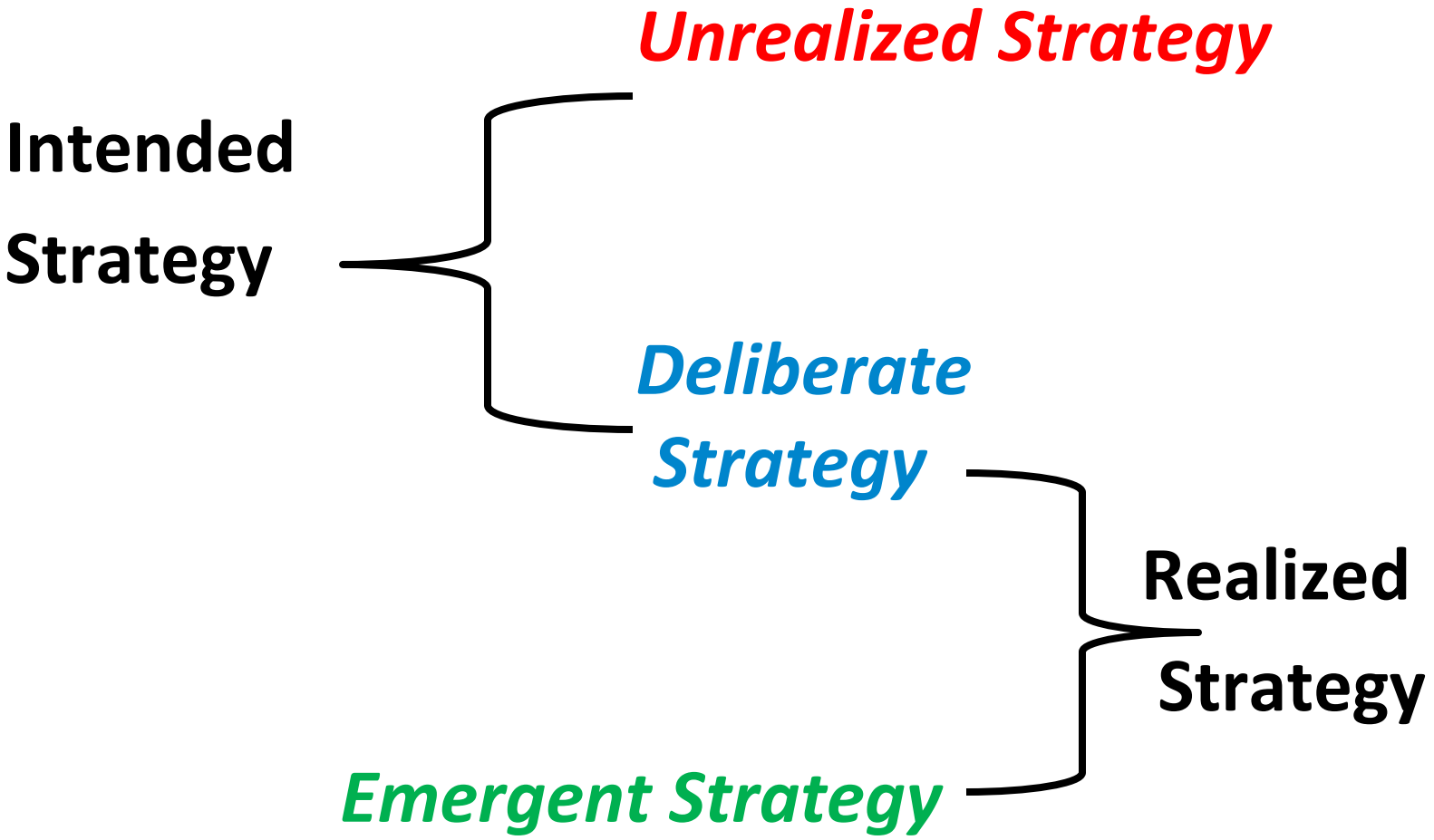


How emergent strategy works

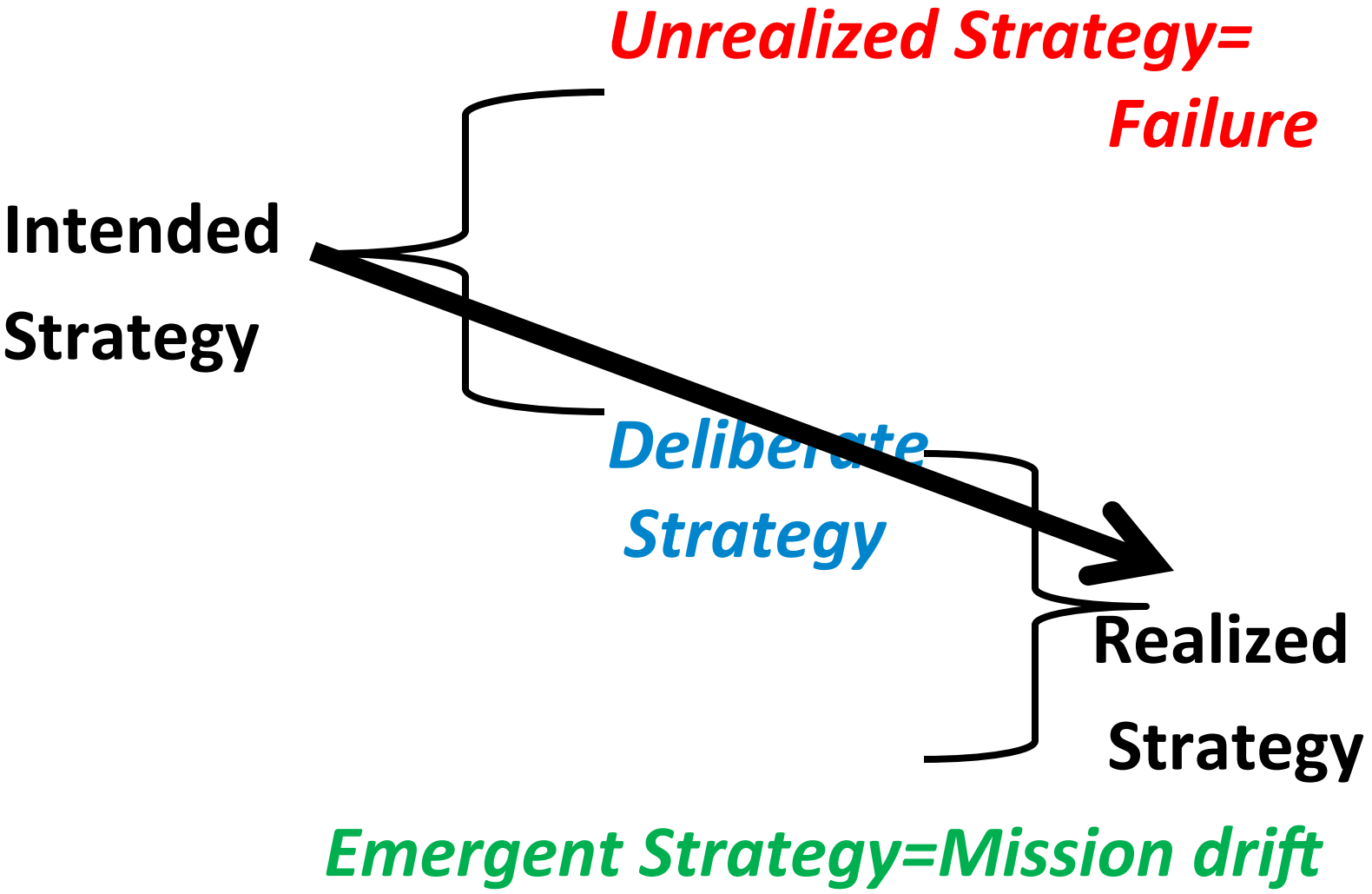


Source: Henry Mintzberg, Sumatra Ghoshal and James B. Quinn, *The Strategy Process, Prentice Hall, 1998*
http://www.ssireview.org/up_for_debate/article/strategic_philanthropy

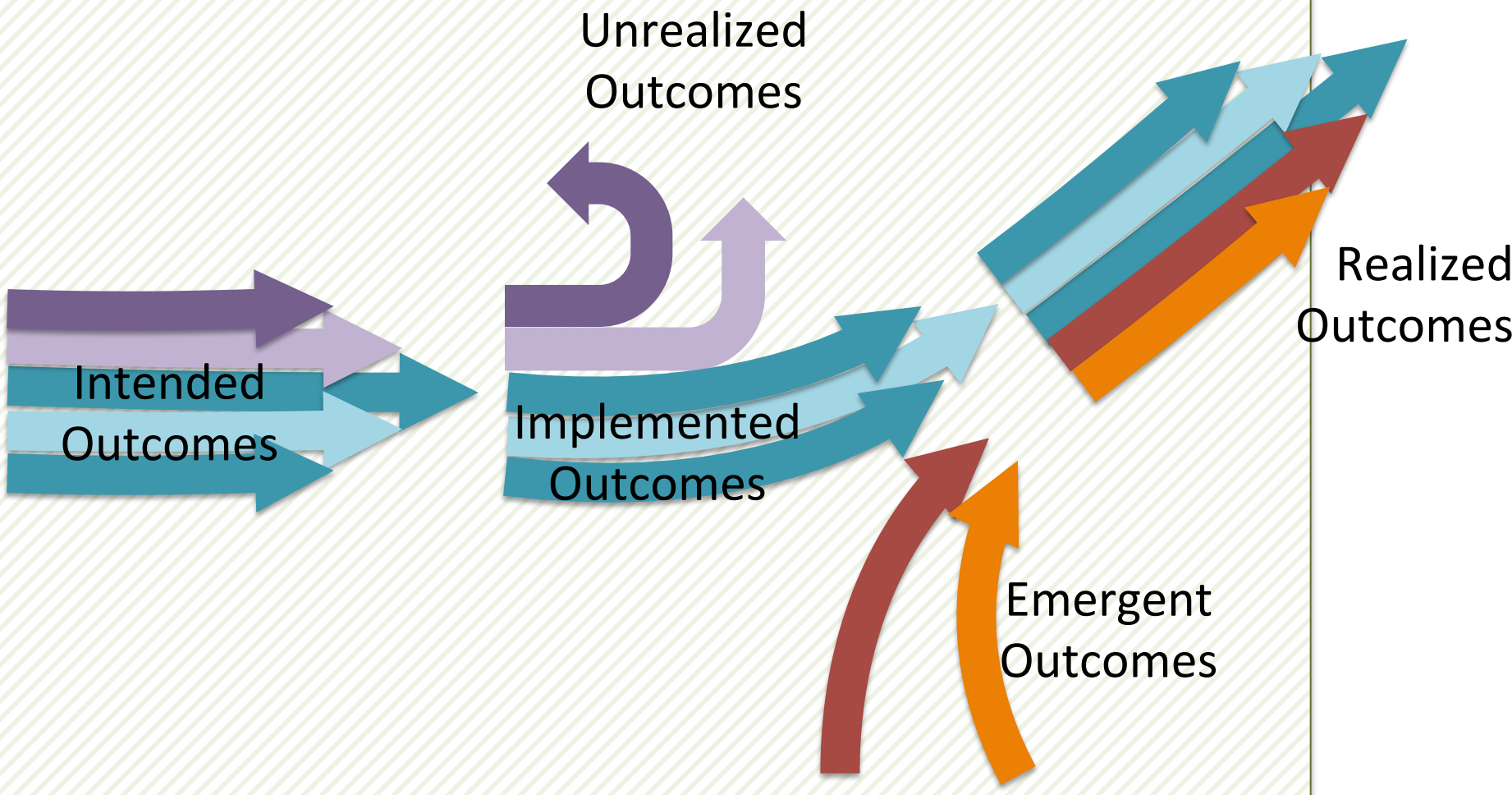
Mintzberg on Strategy



Traditional Accountability Focus



How developmental outcomes evaluation works



Source: Henry Mintzberg, Sumatra Ghoshal and James B. Quinn, *The Strategy Process, Prentice Hall, 1998*
http://www.ssireview.org/up_for_debate/article/strategic_philanthropy

Developmental Evaluation Defined

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

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

Key DE Characteristics

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

Key DE Characteristics

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

DE by other names

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

Developmental Purpose

Illuminate, inform, and support what is being developed, identifying the nature and patterns of *development* (innovation, adaptation, systems change), and the implications and consequences of those patterns.

Complexity Perspective

Understand and interpret development through the lens of complexity and conduct the evaluation accordingly. This means using complexity premises and dynamics to make sense of the problems being addressed, guide innovation, adaptation, and systems change strategies, interpret what is developed, adapt the evaluation design as needed, and analyze emergent findings.

Complexity Concepts & Evaluation

- Emergence: Self-organizing, Attractors
- Nonlinear: Small actions can have large reactions. *"The Butterfly Wings Metaphor*
- Dynamical: Interactions within, between, and among subsystems and parts within systems can volatile, changing
- Getting to Maybe: Uncertainty; unpredictable; uncontrollable; unanticipated consequences
- Coevolution: Process uses; interdependence
- Adaptation: Staff & Intended beneficiaries

Uncertainty and Emergence

"No battle plan ever survives contact with the enemy." Field Marshall Helmuth Carl Bernard von Moltke

"Everyone has a plan…until he gets hit."

Former World Heavyweight boxing champion, Mike Tyson

Tom Peters (1996) *Liberation Management* :

"*READY. FIRE. AIM.*"

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

November, 2007:

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

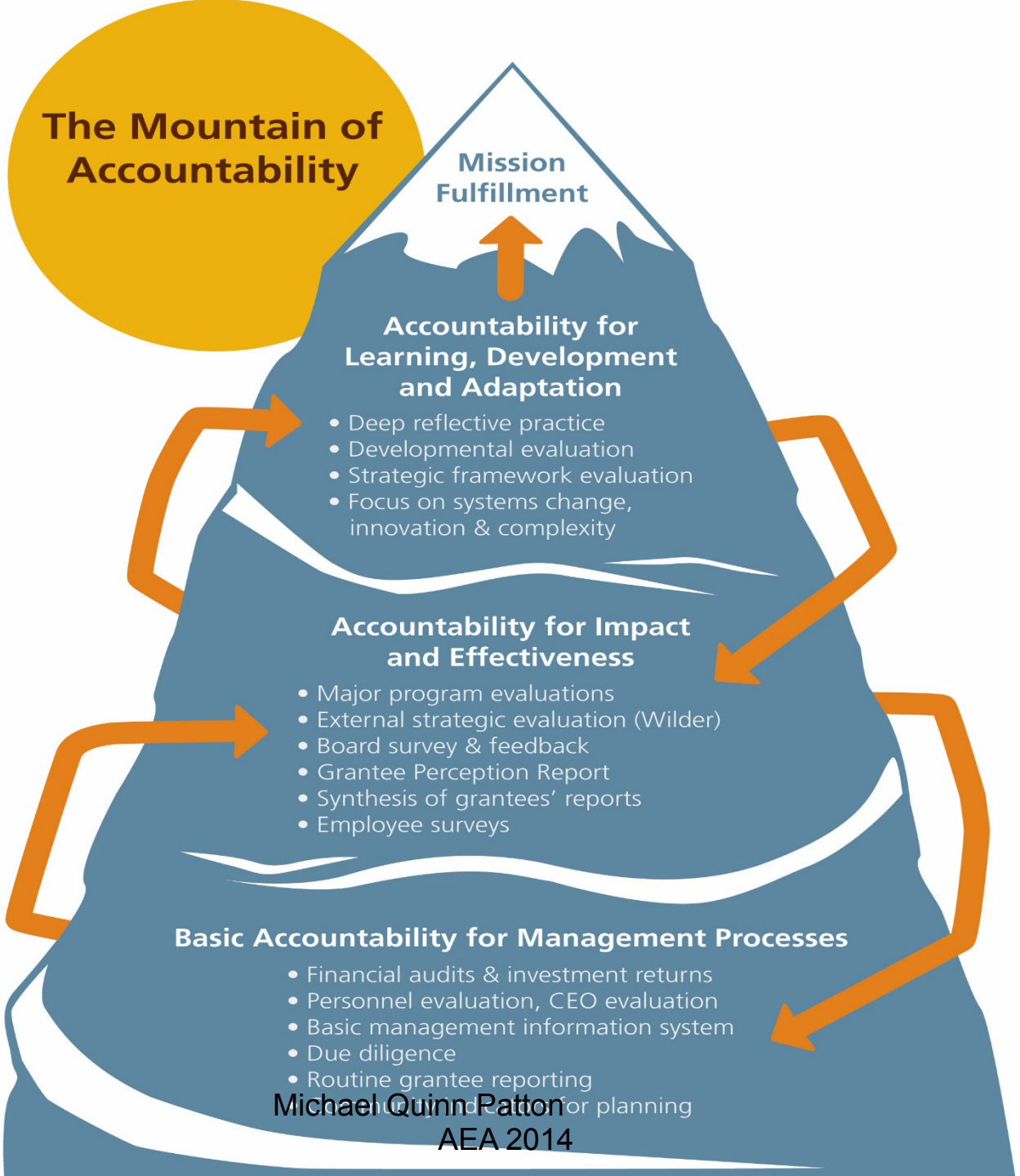
Wise evaluators tailor their approach to fit the complexity of the circumstances they face

Five purposes of developmental evaluation

Primary developmental evaluation purpose	Complex system challenges	Implications
1. Ongoing development	Being implemented in a complex and dynamic environment	No intention to become a fixed/standardised model Identifies effective principles
2. Adapting effective principles to a new context	Innovative initiative Develop 'own' version based on adaption of effective principles and knowledge	Top-down—general principles knowledge disseminated Bottom-up—sensitivity to context, experience, capabilities and priorities Adaptation vs Adoption
3. Developing a rapid response in turbulent crisis conditions, e.g., natural resource or humanitarian disaster	Existing initiatives and responses no longer effective as conditions change suddenly	Planning, execution and evaluation occur simultaneously

Five purposes of developmental evaluation

Primary developmental evaluation purpose	Complex system challenges	Implications
4. Pre-formative development of potentially scalable innovative	Changing and dynamic situations require innovative solutions to worsening conditions Model needs to be developed/does not exist	Models may move into formative and summative evaluation, others remain in developmental mode Inform different potential scaling options
5. Major systems change and cross scale developmental evaluation	Disrupt existing system Taking an innovation to scale Major systems change and changing scale will add levels of complexity, new uncertainties and disagreements	Models change as they are taken across time, space and to larger systems Adaptive cross scale innovations assume complex, nonlinear dynamics—agility and responsiveness Adaptation -- Replication


The Mountain of Accountability
Mission Fulfillment
Accountability for Learning, Development and Adaptation
• Deep reflective practice
• Developmental evaluation
• Strategic framework evaluation
• Focus on systems change, innovation & complexity
Accountability for Impact and Effectiveness
• Major program evaluations
• External strategic evaluation (Wilder)
• Board survey & feedback
• Grantee Perception Report
• Synthesis of grantees' reports
• Employee surveys
Basic Accountability for Management Processes
• Financial audits & investment returns
• Personnel evaluation, CEO evaluation
• Basic management information system
• Due diligence
• Routine grantee reporting

Government Applications

LIVING CITIES VISION

The region's transit corridors are healthy and vibrant places where people of all incomes and especially those with the greatest need, can live, work, play and climb the economic ladder.

Initiative Goals (as defined by the Living Cities Integration Initiative):

Goal 1: Improve the lives of low-income people

Goal 2: Create a new framework for solving complex problems

Goal 3: Challenge obsolete conventional wisdom

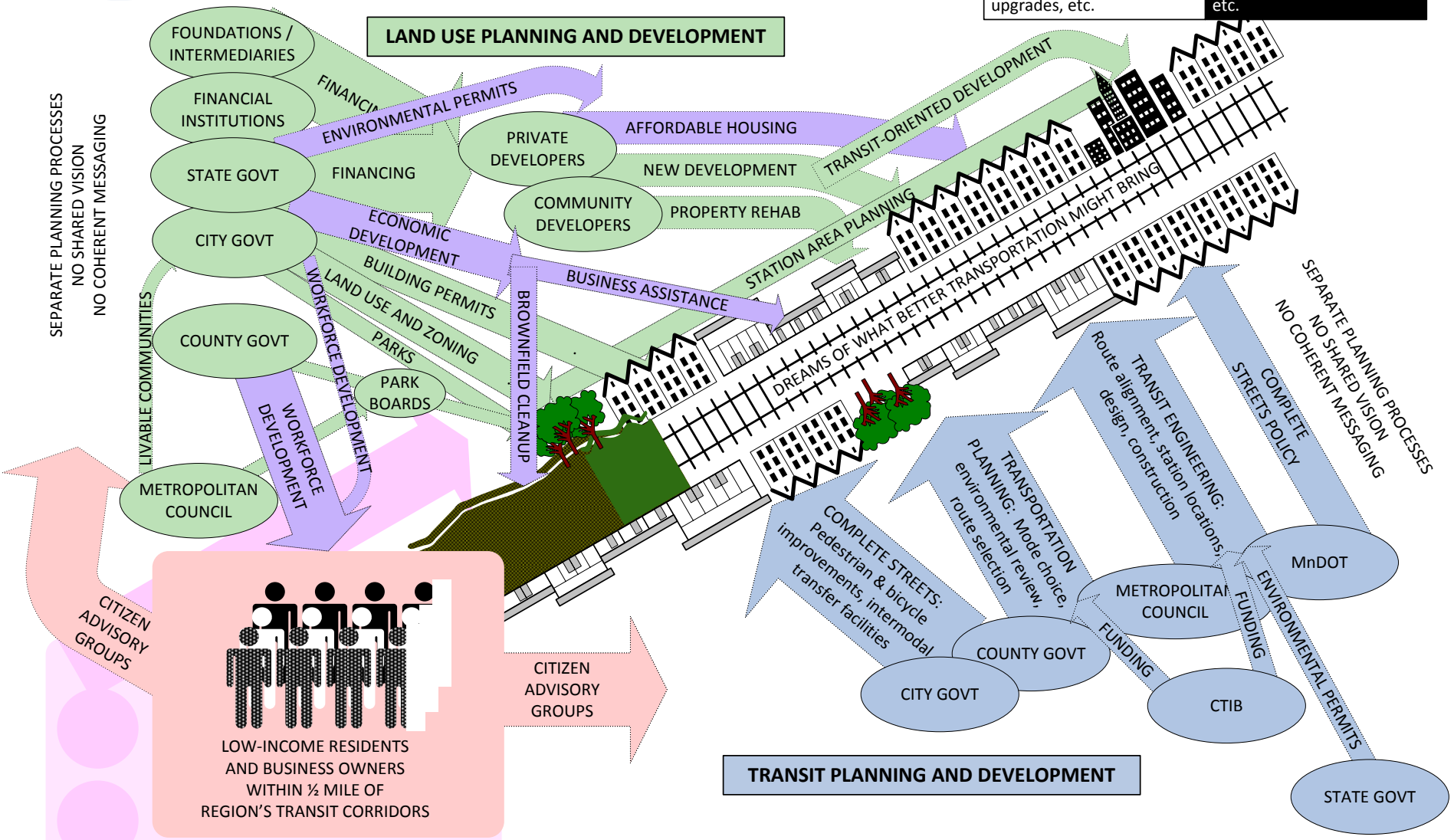
Goal 4: Drive the private market to work on behalf of low-income people

Goal 5: Create a "new normal"/systems change

THEORY OF CHANGE:

BASELINE SYSTEMS

POTENTIAL BENEFITS:	NEGATIVE IMPACTS:
Better access to jobs & other destinations, thriving businesses, neighborhood upgrades, etc.	Displacement, unaffordability, loss of neighborhood identity, etc.



HISTORICAL CONTEXT:

IN THE PAST, LARGE PUBLIC INFRASTRUCTURE PROJECTS HAVE HARMED LOW-INCOME PEOPLE AND COMMUNITIES

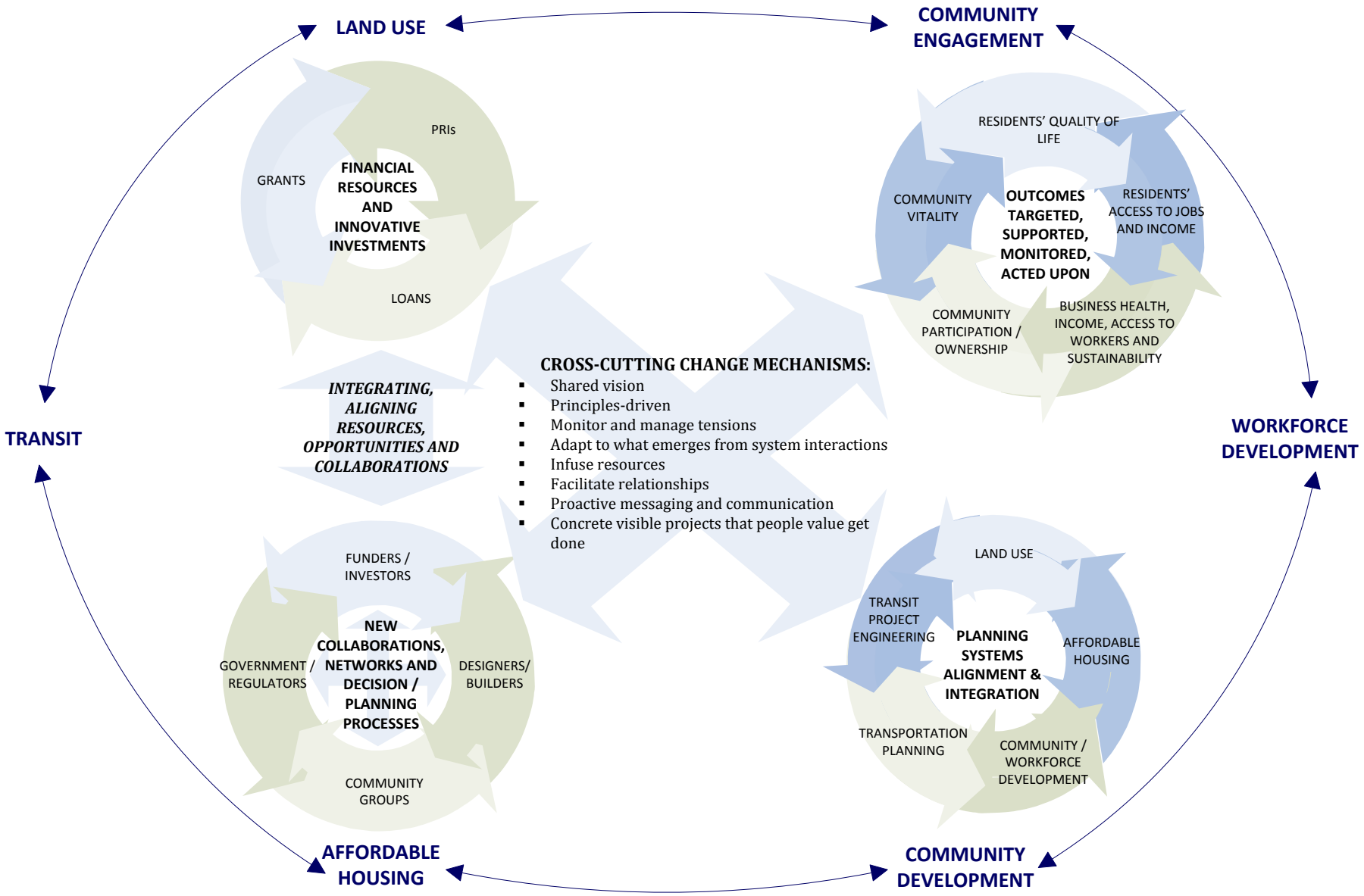
MEMORIES AND RESIDUE EFFECTS OF I-94 / RONDO HISTORY

PEOPLE HAVE ORGANIZED THEIR LIVES AROUND THE BUS SYSTEM ALONG THE CENTRAL CORRIDOR

EXPERIENCE AND IMPACT OF LAKE STREET RECONSTRUCTION ON SMALL BUSINESSES

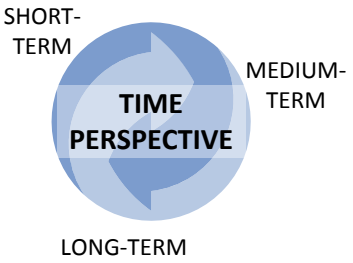
THEORY OF CHANGE:

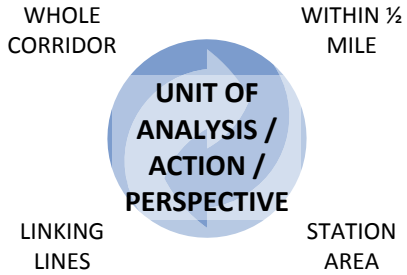
DYNAMIC SYSTEM INFUSIONS AND INTERVENTIONS

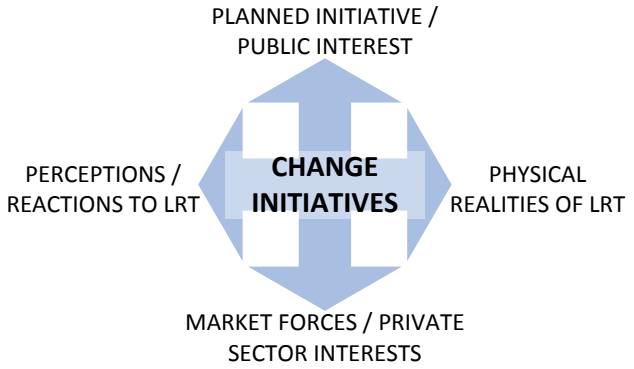


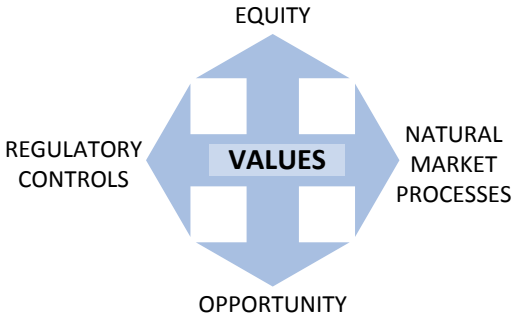
THEORY OF CHANGE:

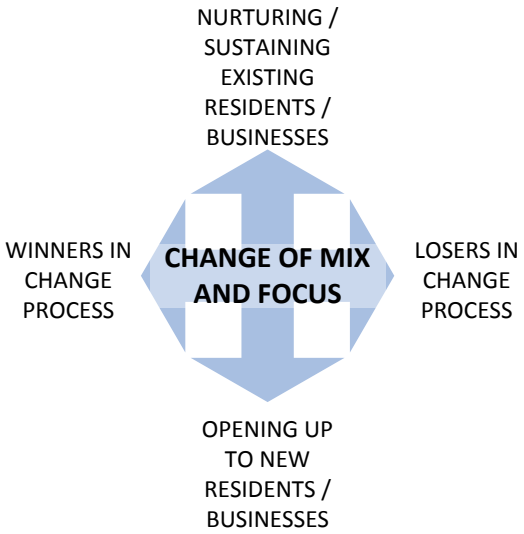
TENSIONS TO MONITOR AND MANAGE

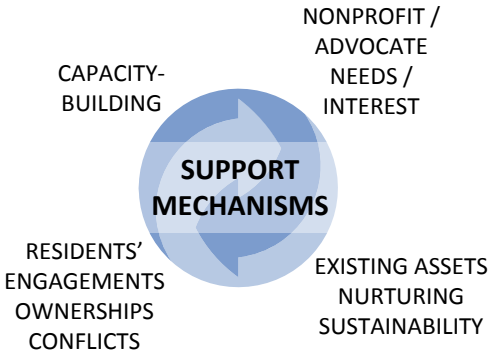


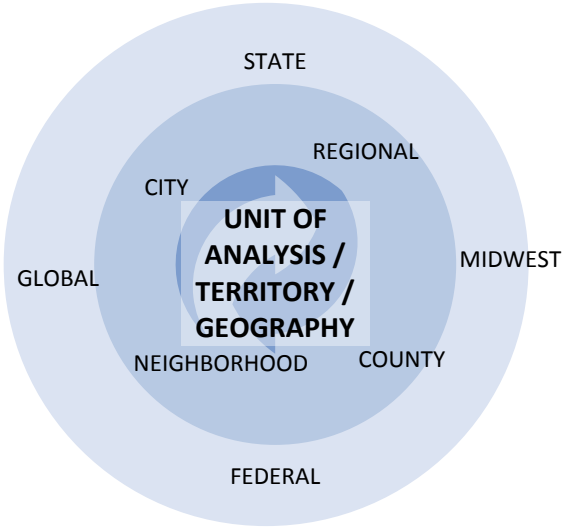


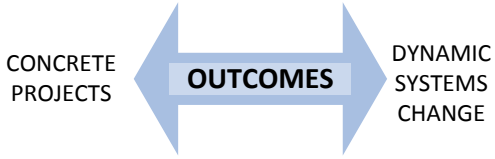












THEORY OF CHANGE:

CONTEXTUAL FACTORS AND PRINCIPLES

CONTEXTUAL FACTORS:

- STATE OF THE ECONOMY (RECESSION/GROWTH)
- POLITICAL CHANGES AT MULTIPLE LEVELS
- LEGAL CHANGES
- TECHNOLOGY CHANGES
- EMPLOYMENT CHANGES

WORKING PRINCIPLES:

- TRANSPARENCY
- CONCERN ABOUT EQUITY, WELL-BEING OF LOW-INCOME PEOPLE/FAMILIES
- GENUINE COMMUNITY ENGAGEMENT
- LEVERAGE
- ALIGNMENT
- CLARITY ABOUT BOUNDARIES AND WHO MAKES WHAT DECISIONS (AND WHAT DECISIONS ARE NEGOTIABLE OR NOT)
- FLEXIBILITY, CREATIVITY, INNOVATION IN FINANCIAL INSTRUMENTS AND NETWORKS OF COLLABORATION
- THOUGHTFUL SITUATIONAL ANALYSIS
- DATA-DRIVEN AND EMPHASIZING TECHNICAL BASIS OF DECISIONS AS APPROPRIATE
- WELCOME PARTNERS
- CREATE INTEGRATED DECISION-MAKING TABLES
- MUTUAL ACCOUNTABILITY

Questions

Q1: What empirical support may be emerging about developmental evaluation of social innovations? Is there any particular stage in the social innovation process or in its 'adaptive cycle' at which it's most appropriate to initiate DE? Are there opportunities to look for to introduce DE?

Q2: Often in the public sector you have an internal evaluation team that supports the whole organization. Even if a Developmental Evaluation approach is adopted in the organization, there is often still the need for evaluations that require a level of independence and objectivity (e.g. summative/close-out evaluations). How would you implement a DE approach while still being able to conduct evaluations that require a level of independence in an organization with a centralized evaluation team? Can the same evaluation team successfully adopt both a DE approach and the more conventional evaluation approach?

- Q3: There appears to be some linkages between developmental evaluation and theory based approaches that are currently supported by the federal government. What are your thoughts oncombining these approaches?What are the challenges/ opportunities in your view? And what would you caution against?
-
-

How DE is different

CONTRASTS

Tradition evaluations….	Developmental evaluations….
1. Testing models	1. Supporting innovation and adaptation

Tradition evaluations....	Developmental evaluations....
2. Render definitive judgments of success or failure: Does the program work?	2. Rendering nuanced, disaggregated feedback & generate learnings for adaptation & development: What works for whom in what ways under what conditions?

Tradition evaluations....	Developmental evaluations....
3. INDEPENDENCE: Evaluator external, independent, objective	3. RELATIONSHIP-FOCUSED, COLLABORATIVE Evaluator a facilitator and learning coach bringing evaluative thinking to the table, supportive of innovator's vision

Tradition evaluations....	Developmental evaluations....
4. CONTROL: Evaluator determines the design based on the evaluator's perspective about what is important. The evaluator controls the evaluation.	4. OPENNESS & NATURALISTIC INQUIRY Evaluator goes with the flow, watches for what emerges

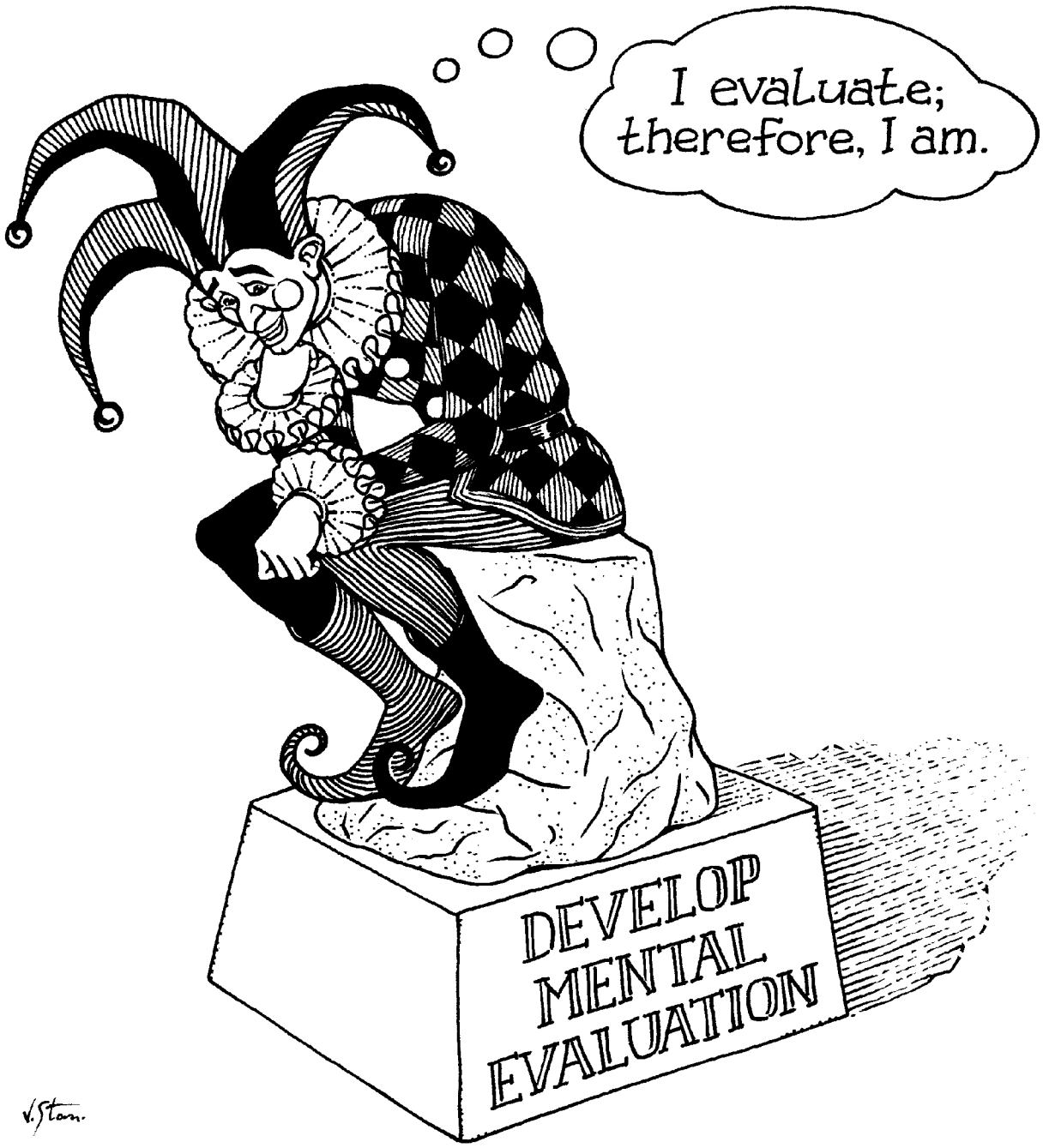
Tradition evaluations....	Developmental evaluations....
5. CERTAINTY: ✓Predetermined outcomes ✓Fix the design upfront ✓Predetermind indicators ✓Fixed questions	5. FLEXIBILITY ✓Emergent outcomes ✓Flexible design ✓Emergent indicators ✓Dynamic questions

Tradition evaluations….	Developmental evaluations….
6. Linear cause-effect thinking and logic models	6. Systems and complexity thinking with attention to dynamics, permeable boundaries, interdependencies, and emergent interconnections

Tradition evaluations....	Developmental evaluations....
7. Value top-down change based on generalizable findings across time & space. High fidelity, prescriptive "best practices" based on summative evaluation	7. Value bottom-up principles that provide direction but have to be adapted to context Aim to produce context-specific understandings that inform ongoing innovation and adaptation.

Tradition evaluations....	Developmental evaluations....
8. Accountability focused on and directed to external authorities and funders.	8. Accountability centered on the innovators' deep sense of fundamental values and commitments – and learning as accountability

Tradition evaluations….	Developmental evaluations….
9. Being outside the action, above the fray	9. Being part of the action, engaged in the fray
10. TRUTH *Speaking truth to power*	10.PERSPECTIVES Facilitating dialogue and engagement with complexity and shifting understandings


I evaluate; therefore, I am.
DEVELOP MENTAL EVALUATION

???

Evidence-based Practice

Evaluation grew up in the "projects" testing models under a theory of change that pilot testing would lead to proven models that could be disseminated and taken to scale:

The search for *best practices*

and

evidenced-based practices

Debate about how the world is changed

Top-down dissemination of "proven best practices models"

versus

Bottoms-up, context sensitive adaptive management

Models vs. Principles

Identifying evidence-based principles for adaptive management

(bottoms-up approach)

versus

Identifying and disseminating proven models

(top down approach)

- Three emergency shelters
- Two drop-in centers
- One street outreach collaborative
- Two counties in the Twin Cities metro

Principles

"I am a man of fixed and unbending principles, the first of which is to be flexible at all times."

U.S. Senator Everett Dirksen

"Principles are like prayers. Noble, of course, but awkward at a party."

Lady Crawley, the Dowager Countess, Downton Abbey

RECIPES vs PRINCIPLES

REPLICATION RECIPE

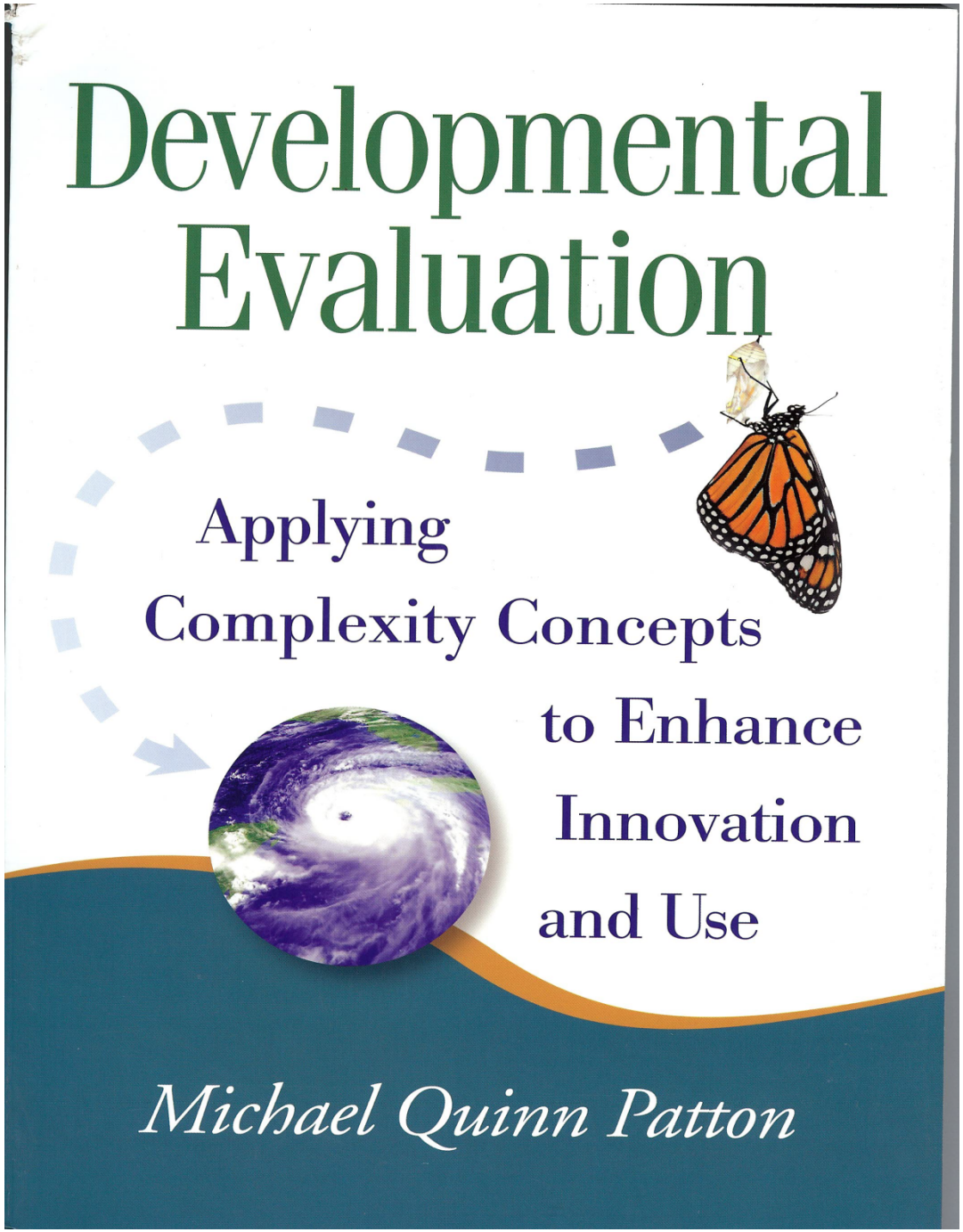
Add 1/4 teaspoon of salt

ADAPTIVE PRINCIPLE

Season to taste & situation

Principles

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



Website sample chapter:

http://www.guilford.com/excerpts/patton.pdf

website for the book:

http://www.guilford.com/cgi-bin/cartscript.cgi?page=pr/patton.htm&dir=research/res_eval&cart_id=824067.29797

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

— Miguel de Cervantes Saavedra, *Don Quixote*

FunGraphix.com

Values Coherence

"When life itself seems lunatic, who knows where madness lies? Perhaps to be too practical is madness. To surrender one's dreams — this may be madness. Too much sanity may be madness — but maddest of all: to see life only as it is, and not also as it should be!"

Don Quixote

References

Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use. Guilford Press, 2011.

Utilization-Focused Evaluation, 4th ed., Michael Quinn Patton, Sage, 2008.

Essentials of Utilization-Focused Evaluation, Michael Quinn Patton, Sage, 2012