

Principles- Focused Evaluation

The GUIDE



Michael Quinn Patton

CES National
Chapter
Ottawa
11 September
2019

MP1

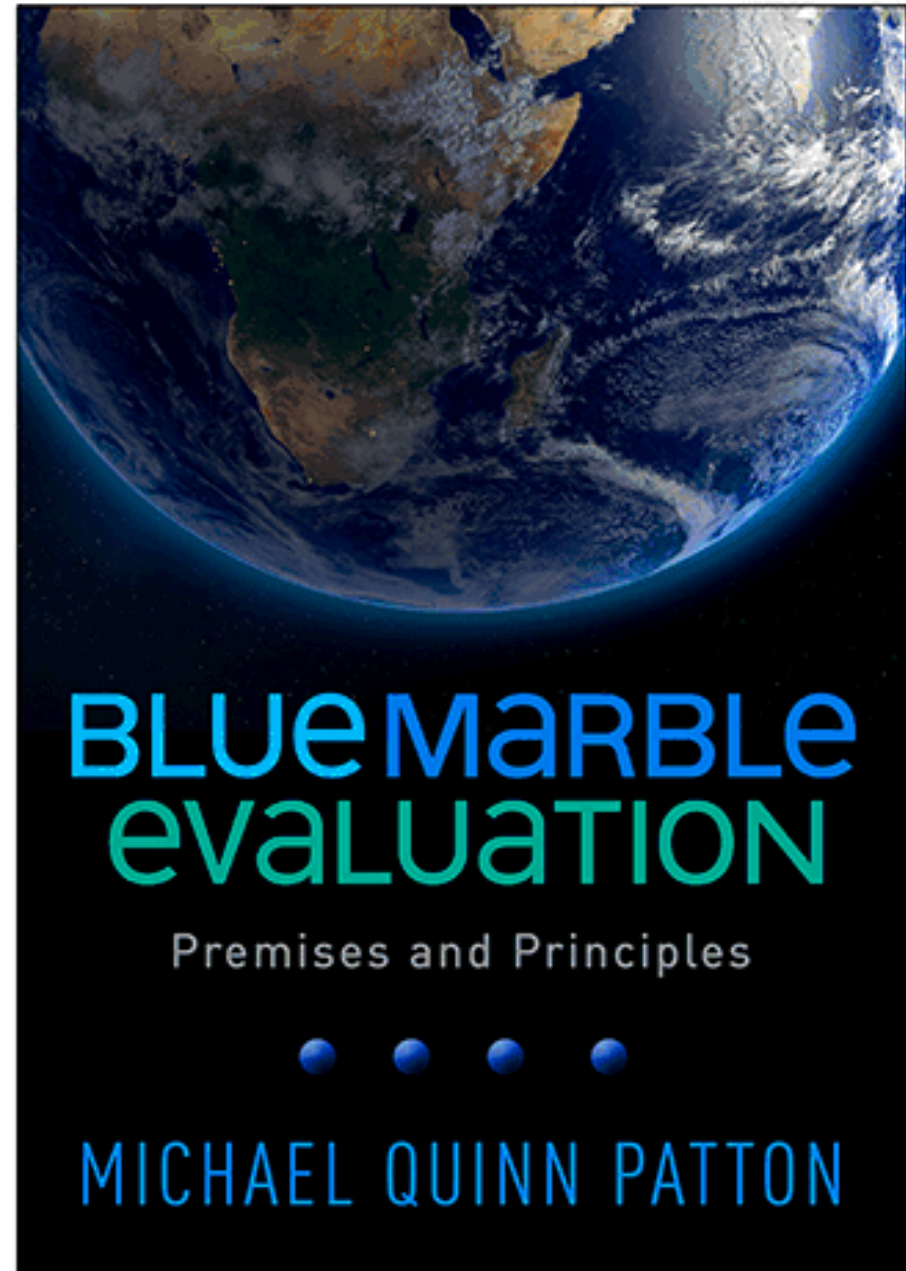
Slide 1

MP1

Michael Patton, 9/11/2019

New Directions and Challenges

New
book
based
on
principles





BLUE MARBLE evaluation

Principles- Focused Evaluation

The GUIDE



Michael Quinn Patton





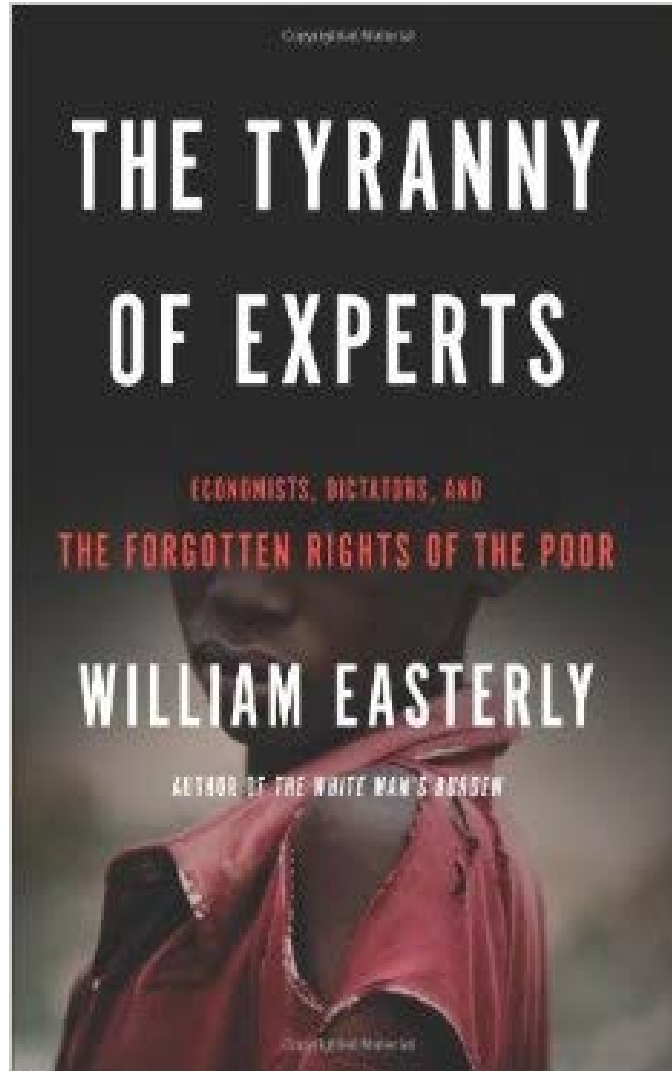
1986





Principles work

- Crafting principles
- Evaluating principles



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

Evaluation

Traditional

Evaluating...

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

Generating...

- Lessons
- Recommendations



Nontraditional & New Directions:

Evaluating...

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

Innovations & Challenges:

Evaluating...

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

Effectiveness Principles

An effectiveness principle is a statement that provides guidance about how to think or behave toward some desired result (either explicit or implicit) based on norms, values, beliefs, experience, and knowledge.

The statement is a hypothesis until evaluated within some context to determine its relative meaningfulness, truth, feasibility, and utility for those attempting to follow it.



Guiding Principles for Evaluators

Competence

- Evaluators are to be competent in their provision of service.
- Evaluators should apply systematic methods of inquiry appropriate to the evaluation.
- Evaluators should possess or provide content knowledge appropriate for the evaluation.

Integrity

- Evaluators are to act with integrity in their relationships with all stakeholders.

Accountability

- Evaluators are to be accountable for their performance and their product.

Principles-focused evaluation questions

1. To what extent and in what ways is the principle meaningful to those to whom it is meant to provide guidance?
2. To what extent is the principle adhered to?
3. If adhered to, to what extent and in what ways does it lead toward desired results?



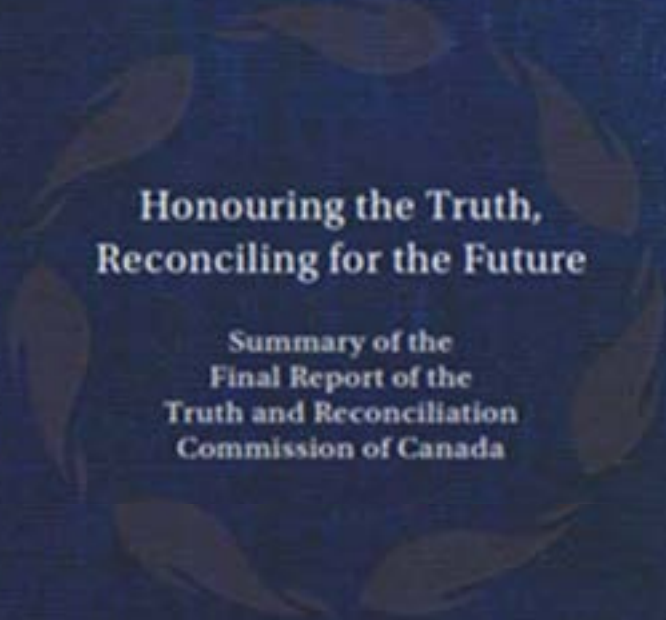
You mustn't compromise your principles, but you mustn't humiliate the opposition. No one is more dangerous than one who is humiliated.

— *Nelson Mandela* —

AZ QUOTES

Mandela-Tutu Principles of Truth & Reconciliation

1. Bring together the oppressor and the oppressed
2. Speak the truth to each other
3. Confession
4. Forgiveness
5. Reconciliation



Honouring the Truth, Reconciling for the Future

Summary of the
Final Report of the
Truth and Reconciliation
Commission of Canada

SYSTEMS THINKING and COMPLEXITY THEORY

Getting to Maybe



THIS BOOK IS FOR THOSE WHO ARE NOT HAPPY WITH THE WAY THINGS ARE AND WOULD LIKE TO MAKE A DIFFERENCE. THIS BOOK IS FOR ORDINARY PEOPLE WHO WANT TO MAKE CONNECTIONS THAT WILL CREATE EXTRAORDINARY OUTCOMES. THIS IS A BOOK ABOUT MAKING THE IMPOSSIBLE HAPPEN. GETTING TO MAYBE: HOW TO CHANGE THE WORLD.



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



“The arc of the moral universe is long,
but it bends towards justice.”

NONVIOLENCE

The Niche of Principles-Focused Evaluation

- Unit of analysis/evaluation focus:
the evaluand
- Approach to programming
- Way to navigate complex dynamic systems
- Approach to evaluation

Rules of Engagement

VS

Principles of Engagement

DRIVING

RULE:



PRINCIPLE

DEFENSIVE
DRIVING

RECIPES vs PRINCIPLES

REPLICATION RECIPE

Add 1/4 teaspoon of salt



ADAPTIVE PRINCIPLE

Season to taste & situation



Managing email



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

Exercise

Rule:

30 minutes of
aerobic exercise
each day

Principle:

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

EVALUATION

Rule (Contract obligation)

Deliver the report on time: the date specified in the contract.

U-FE Principle

Target deliver of findings to be timely and useful for informing decisions and learning opportunities.

Monitor situational developments that may affect timeliness.

American Academy Of Pediatrics Lifts 'No Screens Under 2' Rule



Evaluating...

RULES

Compliance

PRINCIPLES

1. Meaningfulness
& relevance
2. Adherence
3. Results



Moving to a World Beyond “ $p < 0.05$ ”

[Ronald L. Wasserstein](#), [Allen L. Schirm](#) &
[Nicole A. Lazar](#)

Pages 1-19 | Published online: 20 Mar 2019

2. Don't Say "Statistically Significant"

The *ASA Statement on P-Values and Statistical Significance* stopped just short of recommending that declarations of "statistical significance" be abandoned. We take that step here. We conclude, based on our review of the articles in this special issue and the broader literature, that it is time to stop using the term "statistically significant" entirely. Nor should variants such as "significantly different," " $p < 0.05$," and "nonsignificant" survive, whether expressed in words, by asterisks in a table, or in some other way.

Regardless of whether it was ever useful, a declaration of "statistical significance" has today become meaningless. Made broadly known by Fisher's use of the phrase (1925), Edgeworth's (1885) original intention for statistical significance was simply as a tool to indicate when a result warrants further scrutiny. But that idea has been irretrievably lost. Statistical significance was never meant to imply scientific importance, and the confusion of the two was decried soon after its widespread use (Boring 1919). Yet a full century later the confusion persists.

And so the tool has become the tyrant. The problem is not

Yet solid principles for the use of statistics do exist, and they are well explained in this special issue.

We summarize our recommendations in two sentences totaling seven words: “Accept uncertainty. Be thoughtful, open, and modest.” Remember “ATOM.”

We are not alone in this view. “60+ years of incisive criticism has not yet dethroned NHST as the dominant approach to inference in many fields of science,” note Calin-Jageman and Cumming (2019). “Momentum, though, seems to finally be on the side of reform.”

Goodman (2019) agrees: “The initial slow speed of progress should not be discouraging; that is how all broad-based social movements move forward and we should be playing the long game. But the ball is rolling downhill, the current generation is inspired and impatient to carry this forward.”

So, let’s do it. Let’s move beyond “statistically significant,” even if upheaval and disruption are inevitable for the time being. It’s worth it. In a world beyond “ $p < 0.05$,” by breaking free from the bonds of statistical significance, statistics in science and policy will become more significant than ever.

Statistical analysis principles: ATOM

- Accept uncertainty
- Be thoughtful
- Be open
- Be modest

Business Roundtable

While each of our individual companies serves its own corporate purpose, we share a fundamental commitment to all of our stakeholders. We commit to:

- Delivering value to our customers. We will further the tradition of American companies leading the way in meeting or exceeding customer expectations.
- Investing in our employees. This starts with compensating them fairly and providing important benefits. It also includes supporting them through training and education that help develop new skills for a rapidly changing world. We foster diversity and inclusion, dignity and respect.

- Dealing fairly and ethically with our suppliers. We are dedicated to serving as good partners to the other companies, large and small, that help us meet our missions.
- Supporting the communities in which we work. We respect the people in our communities and protect the environment by embracing sustainable practices across our businesses.
- Generating long-term value for shareholders, who provide the capital that allows companies to invest, grow and innovate. We are committed to transparency and effective engagement with shareholders.

Each of our stakeholders is essential. We commit to deliver value to all of them, for the future success of our companies, our communities and our country.

Vibrant communities, Canada

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

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

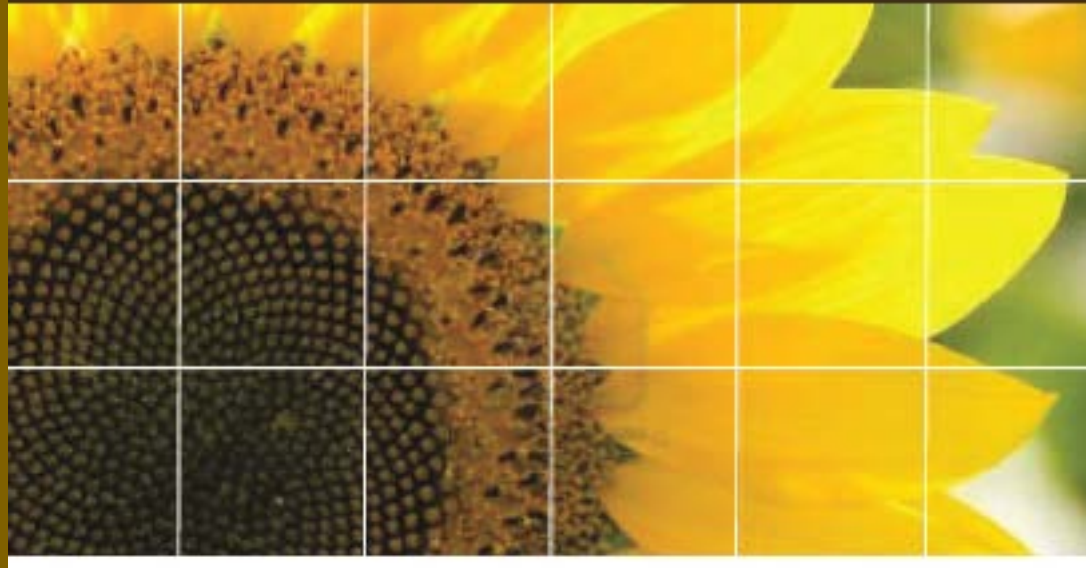
Principles

1. **Poverty Reduction** – Focus on reducing poverty as opposed to alleviating the hardships of living in poverty
2. **Comprehensive Thinking & Action** – Address the inter-related causes of poverty rather than its individual symptoms
3. **Multisectoral Collaboration** – Engage individuals and organizations from at least four key sectors – business, government, non-profit and persons who've experienced poverty – in a joint effort rather than one sector
4. **Community Asset-Building** – Build on community strengths rather than focusing on its deficits
5. **Learning & Change** – Embrace a long term process of learning and change rather than simply undertaking a series of specific interventions

INSPIRED LEARNING

An Evaluation of Vibrant Communities' National Supports

2002 – 2012



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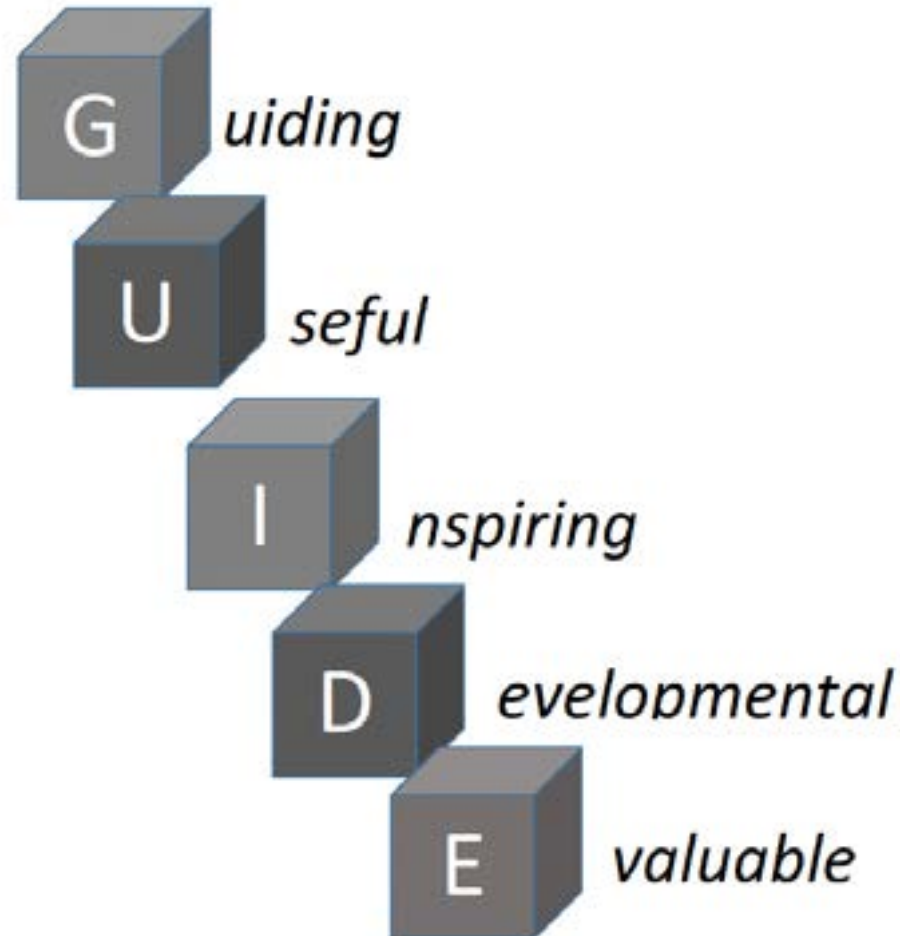
For Effectiveness Principles

SMART Goals



GUIDE Framework

GUIDE Framework for Effectiveness Principles



G

Guiding

- Directional—specifies direction and informs priorities
- Effectiveness-oriented (active verb wording)—“Do this . . .” to be effective
- Distinctive from its opposite or alternative

U

Useful

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

I

Inspiring

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

D

Developmental

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

E

Evaluable

- Can document and judge whether it is followed
- Can document and judge what results
- Can determine if it takes you where you want to go

Evaluation Criteria

1. Meaningfulness

2. Adherence

3. Results



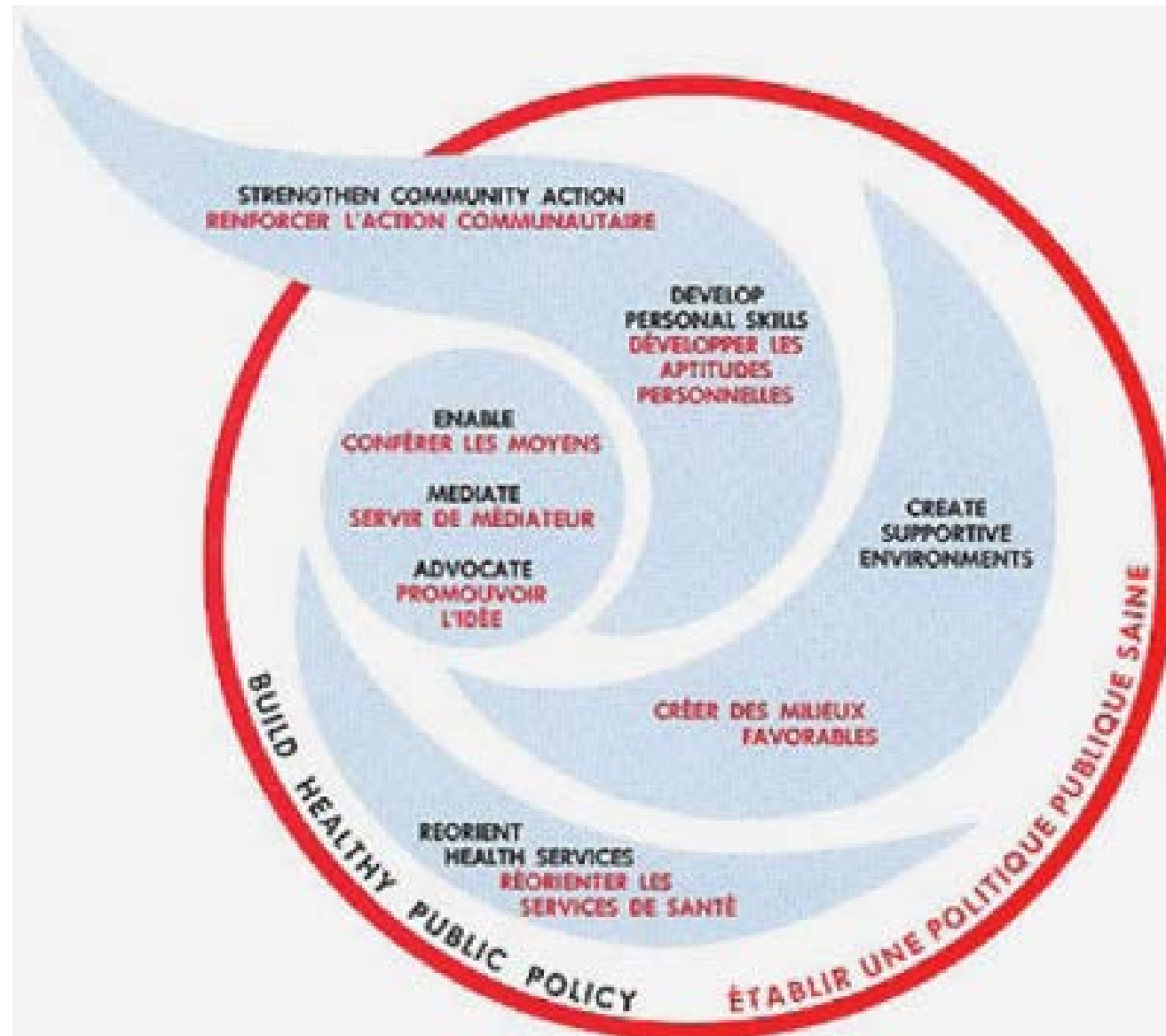
| PRINCIPLES

ResilientTO Principles:

- Advance resilience within an overall framework of equity that helps all Torontonians to survive, adapt, and thrive in the face of any challenge
- Be a bold leader while making space for champions of this work
- Measure, show, and share success
- Stay connected to communities
- Focus for impact and prioritize actions that are implementable
- Be considerate of resource implications and leverage partnerships across sectors to advance implementation

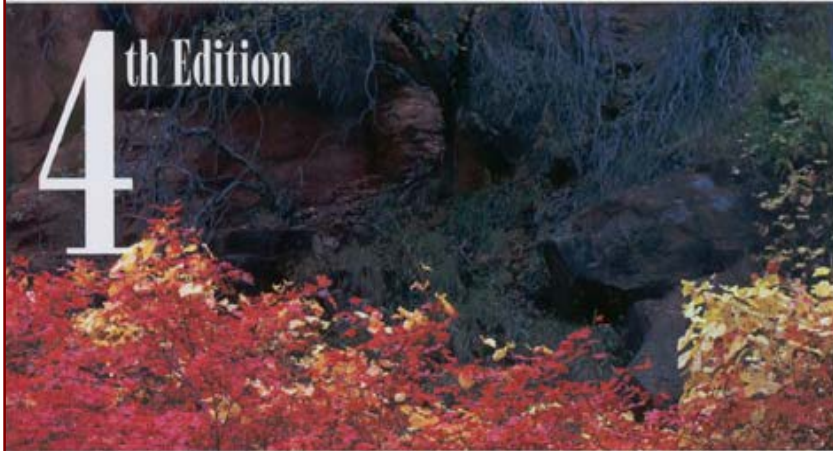
The Ottawa Charter for Health Promotion

First International Conference on
Health Promotion, Ottawa, 21
November 1986



Utilization- Focused Evaluation

4th Edition



Michael Quinn Patton



ESSENTIALS *of* UTILIZATION-FOCUSED EVALUATION



MICHAEL QUINN PATTON



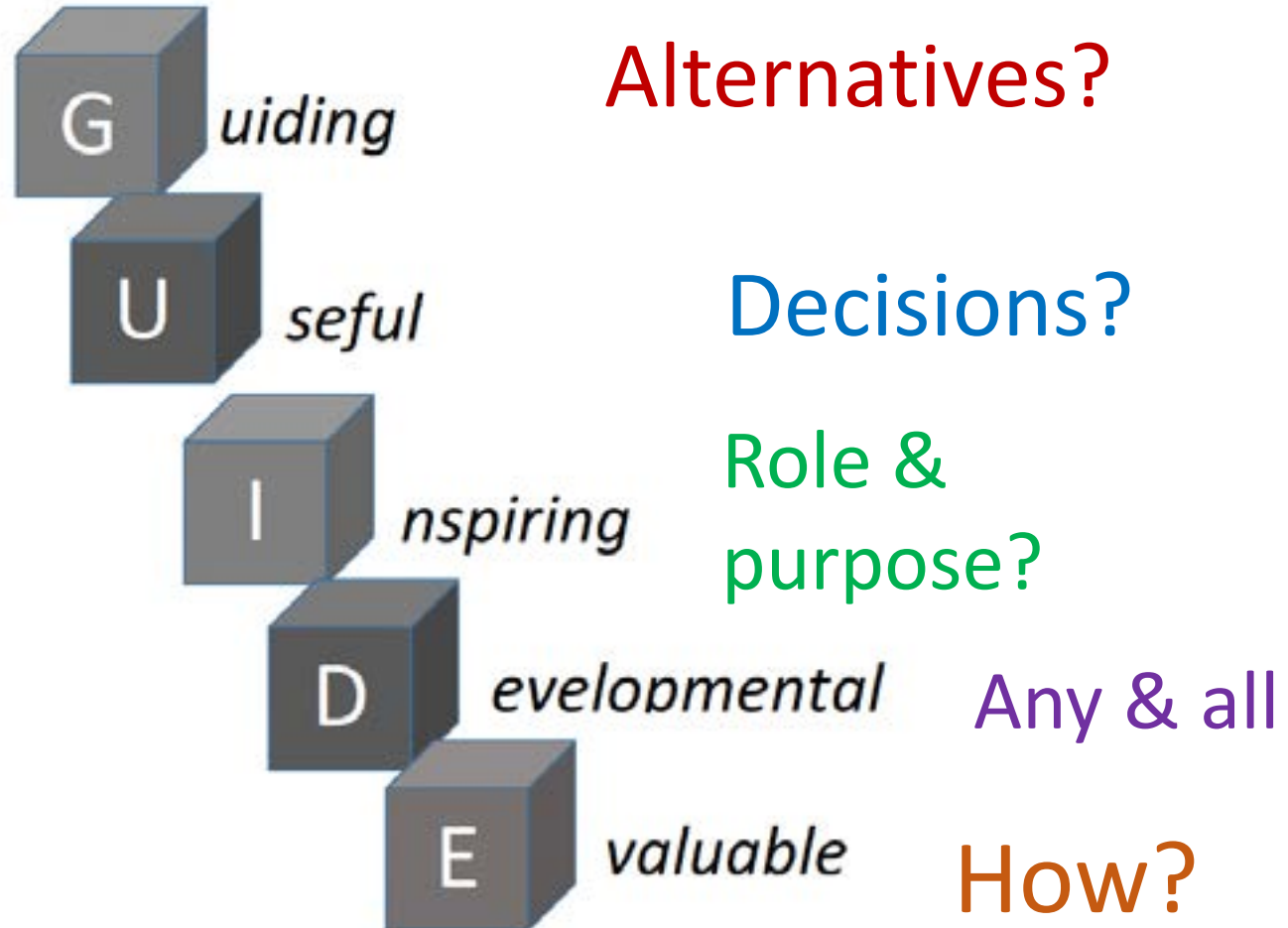
U-FE Principle

Focus on Intended Use
by
Intended Users

Utilization-focused evaluation principle:
Focus on intended use, by and with
intended users, in every aspect of, and at
every stage of, an evaluation.

U-FE Principle

GUIDE Framework for Effectiveness Principles



United Nations

4 humanitarian principles for World Humanitarian Day & every day

<http://WorldHumanitarianDay.org>

Humanity	Neutrality	Impartiality	Operational independence
<p>Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.</p>	<p>Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.</p>	<p>Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.</p>	<p>Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.</p>

Economic Principles Exercise

Paul: Gregory Mankiw in his Principles of Economics outlines Ten Principles of Economics that we will replicate here, they are:

1. People face trade-offs
2. The cost of something is what you give up to get it
3. Rational people think at the margin
4. People respond to incentives
5. Trade can make everyone better off
6. Markets are usually a good way to organize economic activity
7. Governments can sometimes improve market outcomes
8. A country's standard of living depends on its ability to produce goods and services
9. Prices rise when the government prints too much money
10. Society faces a short-run tradeoff between Inflation and unemployment.

Principles of Appreciative Inquiry

The Constructionist Principle: Knowledge about an organization and the destiny of that organization are interwoven. Reality is created through social interactions.

The Simultaneity Principle: Inquiry and change are not separate; they are simultaneous. All forms of inquiry are interventions. Questions set the stage for what is found.

The Anticipatory Principle: The most important resources we have for generating constructive organization change or improvement are our collective imagination and our discourse about the future.

The Poetic Principle: Human organizations are open books. An organization's story is continually being co-authored by the people within the organization and by those outside who interact with it.

The Positive Principle: Momentum for change requires large amounts of both *positive affect* and *social bonding* - things like hope, inspiration, and sheer joy in creating with one another...Positive image results in positive action.

The Wholeness Principle: Involving stakeholders builds collective capacity for inquiry.

The Enactment Principle: "We must be the change we want to see."

The Free Choice Principle: People are motivated to act when they have a choice in how they will contribute.

PRINCIPLES



Māori

He Oranga Poutama Initiative



Māori Health Initiative Example

The story of *He Oranga Poutama*, evaluators Kate McKegg and Nan Wehipeihana



TO Māori

WITH Māori

AS Māori

Overarching Principle

Engage in health and recreation
AS Māori

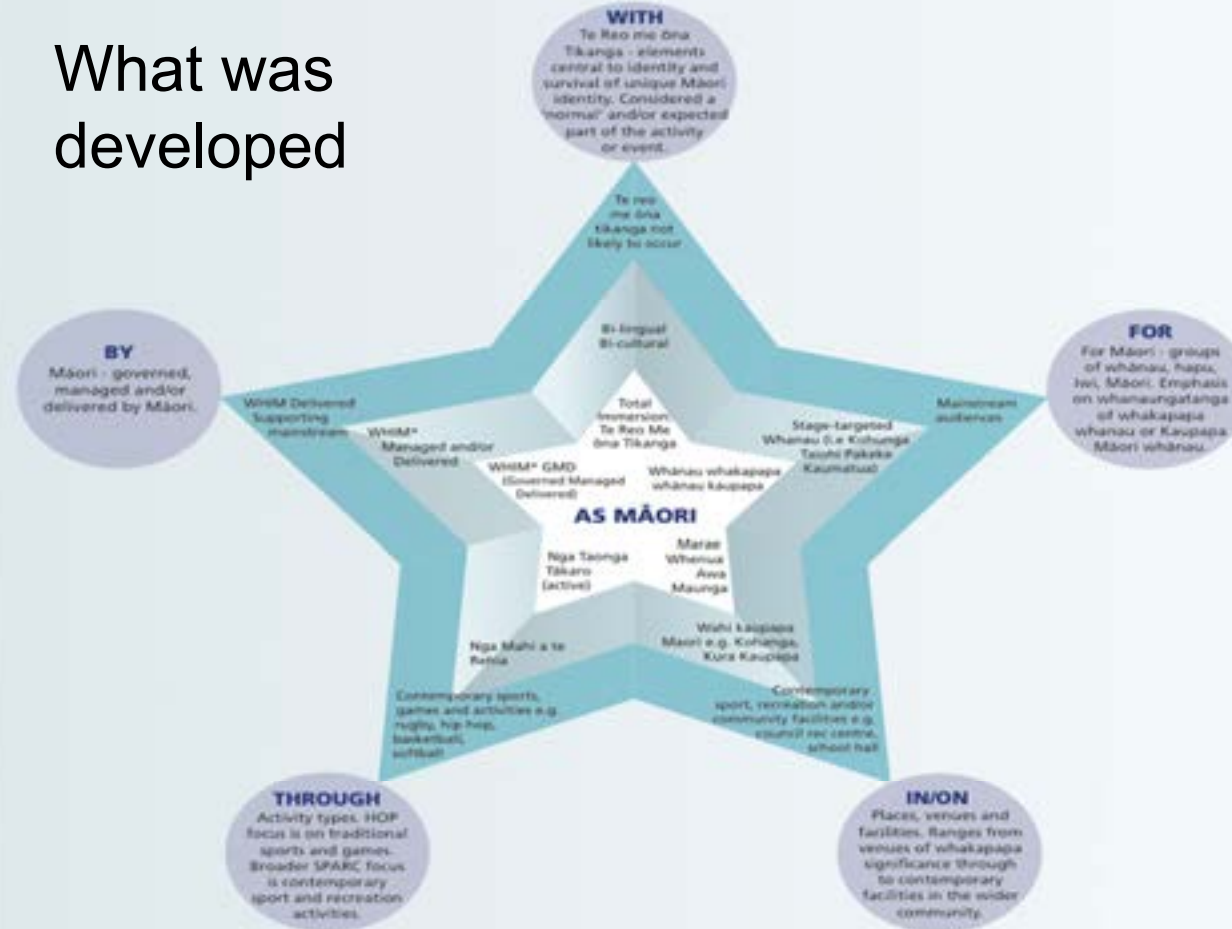
He Oranga Poutama Developmental Evaluation



HOP initiative set out to develop a practical, grounded understanding of what *as Māori* looks like in diverse activities.

Core principles were developed and adapted in various local settings along with a system of national coordination and support to facilitate local effort.

What was developed



* WHIM: Whānau, Hapu, Iwi, Māori * GMD: Governed, Managed, Delivered

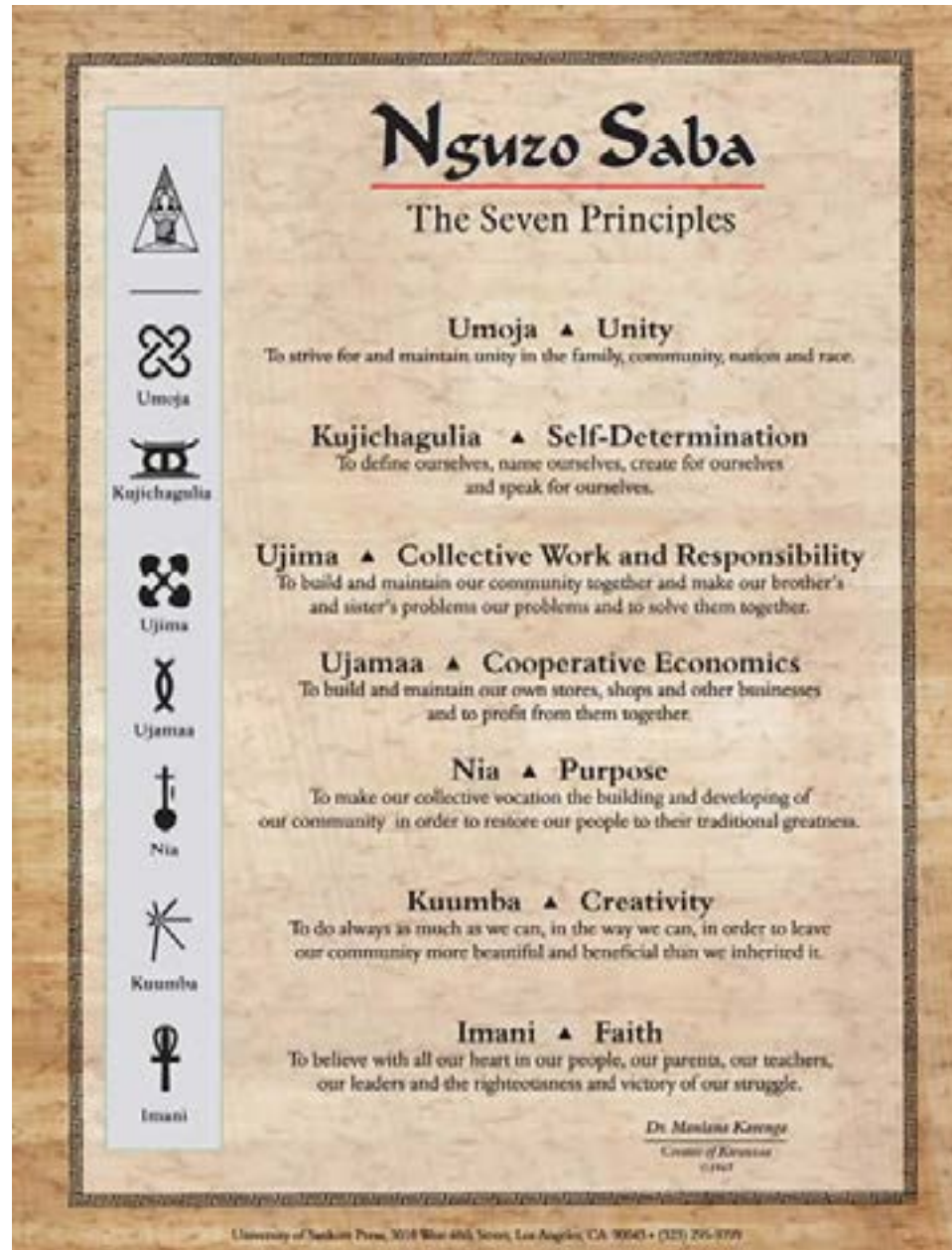
- This 'Whetu' outlines a five-criteria continuum to help determine 'as Māori' participation for the context of the He Oranga Poutama initiative.
- The closer an activity maps to the criteria in the inner star, closest to the 'As Māori' centre, the more likely it is to contribute to HOP's goal of participating as 'Māori' in sport and recreation.
- Generally three dimensions of the inner star are required for a strong HOP goal connection.
- Dimensions of the outer star are strongly aligned to participation in sport and recreation by Māori in mainstream initiatives or events.

AES Best Evaluation Policy and Systems Award

2013 Award Winners: Nan Wehipeihana, Kate McKegg and Kataraina Pipi of Research Evaluation Consultancy Limited (a member of the Kinnect Group), and Veronica Thompson from Sport New Zealand) for Developmental Evaluation – *He Oranga Poutama*: what have we learned?



Project SPIRIT

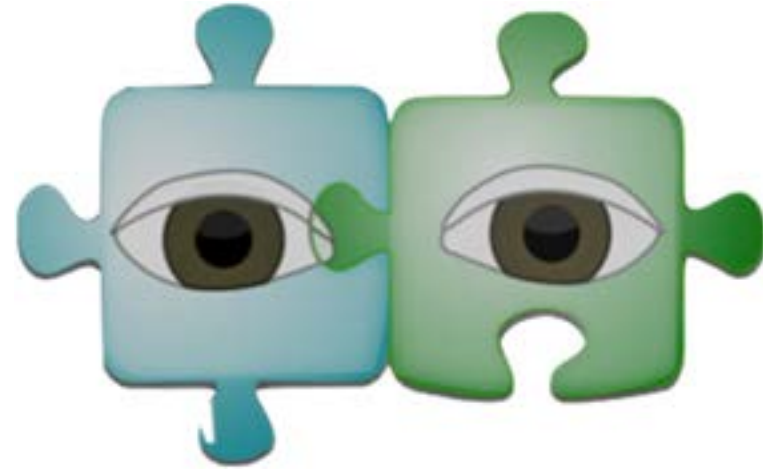


Seven *Ojidwe* Principles

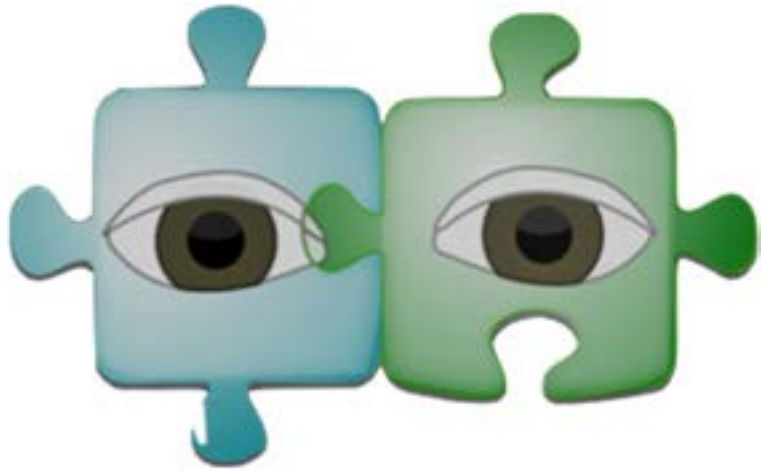
1. Humility – *Dbaadendiziwin --humiliting*
2. Honesty – *Gwekwaadziwin-- honesting*
3. Wisdom – *Nbwaakaawin -- wisdoming*
4. Truth – *Debwewin --truthing*
5. Respect – *Mnaadendimowin--respecting*
6. Bravery - *Aakwa'ode'ewin --braverying*
7. Love – *Zaagidwin--loving*

Two-Eyed Seeing

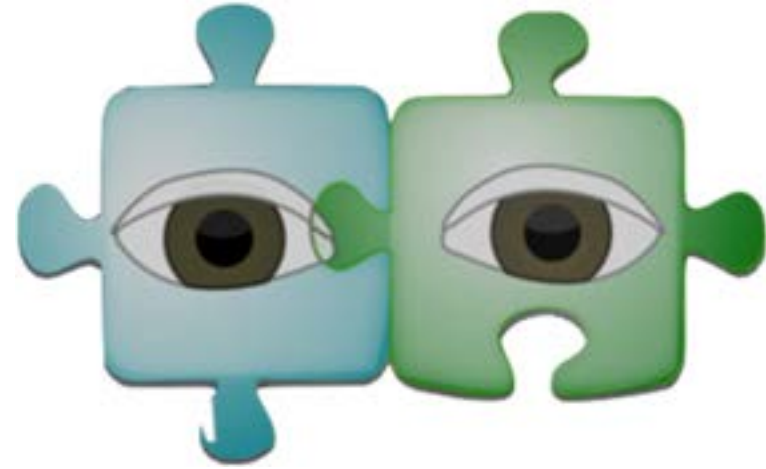
The Guiding Principle
brought into the
Integrative Science
co-learning journey
by [Mi'kmaw Elder Albert Marshall](#).



Etuaptmumk is the Mi'kmaw word for
Two-Eyed Seeing.



Two-Eyed Seeing refers to learning to see from one eye with the strengths of Indigenous knowledges and ways of knowing, and from the other eye with the strengths of Western knowledges and ways of knowing ... and learning to use both these eyes together, for the benefit of all.



Elder Albert indicates that Two-Eyed Seeing is the gift of multiple perspectives treasured by many Aboriginal peoples. We believe it is the requisite Guiding Principle for the new consciousness needed to enable Integrative Science work, as well as other integrative or transcultural or transdisciplinary or collaborative work.

9

evidence-based,
guiding principles
to help youth
overcome
homelessness

February 2014

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

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



Principles-focused evaluation

1. Identified principles in draft form
2. Collaboratively identified fourteen youth
3. Interviewed youth, reviewed their case file, interviewed a nominated staff person
4. Synthesized information and wrote case stories
5. Reviewed stories with the youth
6. Analyzed stories, looking for principles and emergent themes

Trusting Youth-Adult Relationships

True caring by staff is profoundly
important to youth.

Build relationships by interacting with youth in
an honest, dependable,
authentic, caring
and supportive way

And you be like, “Okay, I have all this on my plate. I have to dig in and look into [the choices I’m making] to make my life more complete.” And I felt that on my own, I really couldn’t. Not even the strongest person on God’s green Earth can do it. I couldn’t do it. So I ended up reaching out to [the youth shelter], and they opened their arms. They were like just, “Come. Just get here,” and they got me back on track.

-Pearl

If I was to sit in a room and think about, like, everything that happened to me or I've been through, I'll get to cryin' and feelin' like I don't wanna be on Earth anymore—like I wanted to die. When I talk to somebody about it, it makes me feel better. The people I talk to about it give me good advice. They tell me how much they like me and how [good] I'm doin'. They just put good stuff in my head, and then I think about it and realize I am a good person and everything's gonna work out better.

-Maria

How this is different

The opposite of this principle (*trusting adult-youth relationships*) is to;

focus on the transaction (ex: help with GED preparation, help with resume writing, help applying for housing) while minimizing opportunities for relationships to develop.

Journey Oriented

Interact with youth to help them understand the interconnectedness of past, present and future as they decide where they want to go and how to get there

The opposite

Immediate outcomes focus:
housing

Trauma-Informed

Recognize that most homeless youth have experienced trauma; build relationships, responses, and services on that knowledge

The opposite

Standards of behavior; compliance with rules

Non-Judgmental

Interact with youth without labeling or judging them
on the basis of background, experiences,
choices or behaviors

Harm Reduction

Contain the effects of risky behavior in the short-term
and seek to reduce its effects in the long-term

The opposite: Zero tolerance

PRINCIPLES FOR WORKING WITH HOMELESS YOUTH

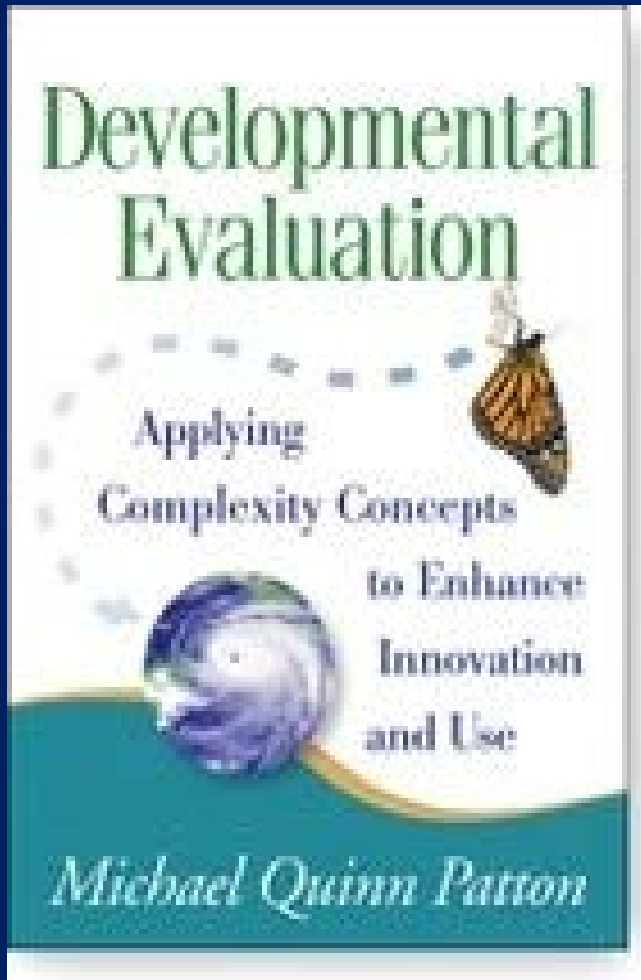
1. *Journey oriented.* Interact with youth to help them understand the interconnectedness of past, present, and future as they decide where they want to go and how to get there.
2. *Trauma-informed care.* Recognize that all homeless youth have experienced trauma; build relationships, responses, and services on that knowledge.
3. *Nonjudgmental engagement.* Interact with youth without labeling or judging them on the basis of their background, experiences, choices, or behaviors.
4. *Harm reduction.* Contain the effects of risky behavior in the short term, and seek to reduce its effects in the long term.
5. *Trusting youth–adult relationships.* Build relationships by interacting with youth in an honest, dependable, authentic, caring, and supportive way.
6. *Strengths-based approach.* Start with and build on the skills, strengths, and positive characteristics of each youth.
7. *Positive youth development:* Provide opportunities for youth to build a sense of competency, usefulness, belonging, and power.
8. *Holistic.* Engage youth in a manner that recognizes that mental, physical, spiritual, and social health are interconnected and interrelated.

Exercise: Thmaris Case Study

- Take 10 minutes to refresh yourself with the Thmaris Case Study.
- Refer to the principles on page 7 of the case study.
- To what extent do you find evidence of each principle in action?

- [Rahim's] not going to send me to the next man, put me onto the next person's caseload. He just always took care of me.[...]I honestly feel like if I didn't have Rahim in my corner, I would have been doing a whole bunch of dumb shit. I would have been right back at square one. I probably would have spent more time in jail than I did. I just felt like if it wasn't for him, I probably wouldn't be here right now, talking to you.

-Thmaris



DE Purposes

Purpose

Challenge

Implications

1 Ongoing development

Implemented in complex & dynamic environment

No intention of becoming fixed;
identifies effective principles

2 Adapting effective principles to new contexts

Innovative initiatives:
Develop 'their own' version

Knowledge interpreted, adapted to context through DE.

Evidence-based Practice

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

The search for *best practices*
and *evidenced-based practices*

Fundamental Issue: How the World Is Changed

**Top-down scaling of
“proven models” with**

Fidelity Evaluation

versus



**Bottoms-up adaptive management
and**

Developmental Evaluation

Models vs. Principles

Identifying proven principles for
adaptive management
(bottoms-up approach)

versus

Identifying and disseminating
proven models
(top down approach)

CONTEXTUAL SCALING

- Options by context
- Principles-based adaptation
- DE documents and assesses adaptation

versus

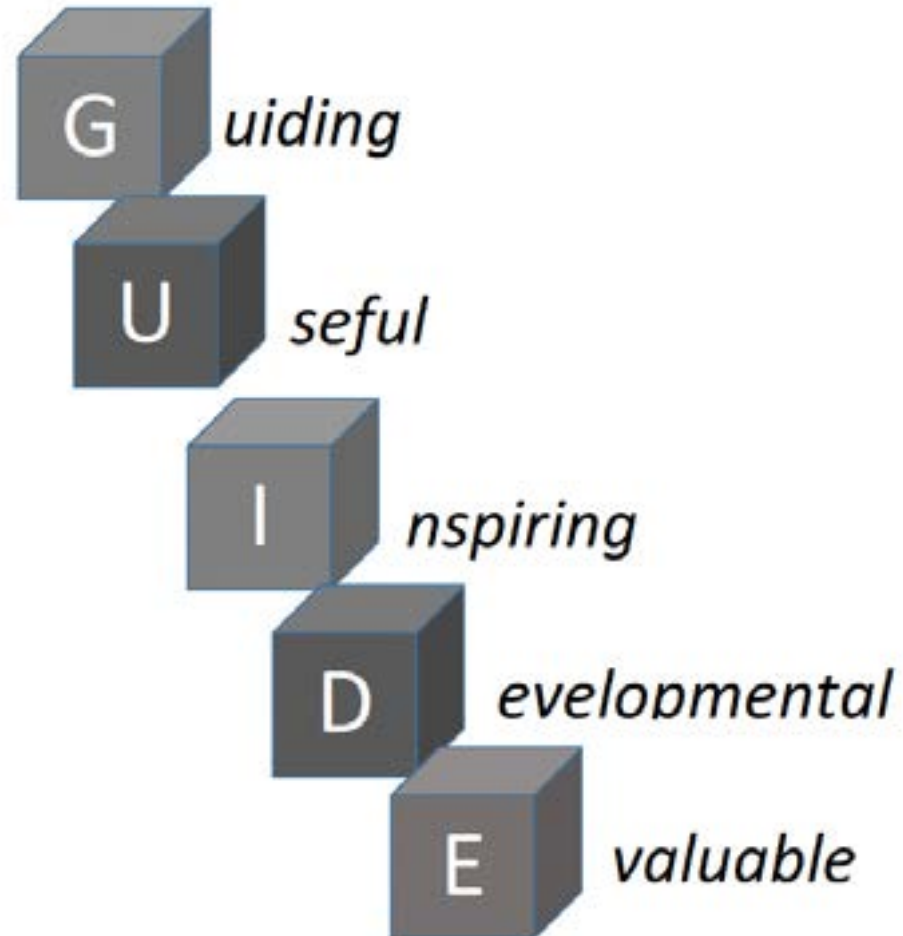
HIGH FIDELITY REPLICATION

Three kinds of evidence-based interventions

- **Summative evaluation** of a single program, grant, or model.
- **Meta-analysis** of results for several programs/grants using the same model aiming at the same outcomes.
- **Synthesis of effective principles:** *Diverse interventions adhering to shared evidence-based principles.*

GUIDE Framework

GUIDE Framework for Effectiveness Principles



Principles

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

Evaluating Principles

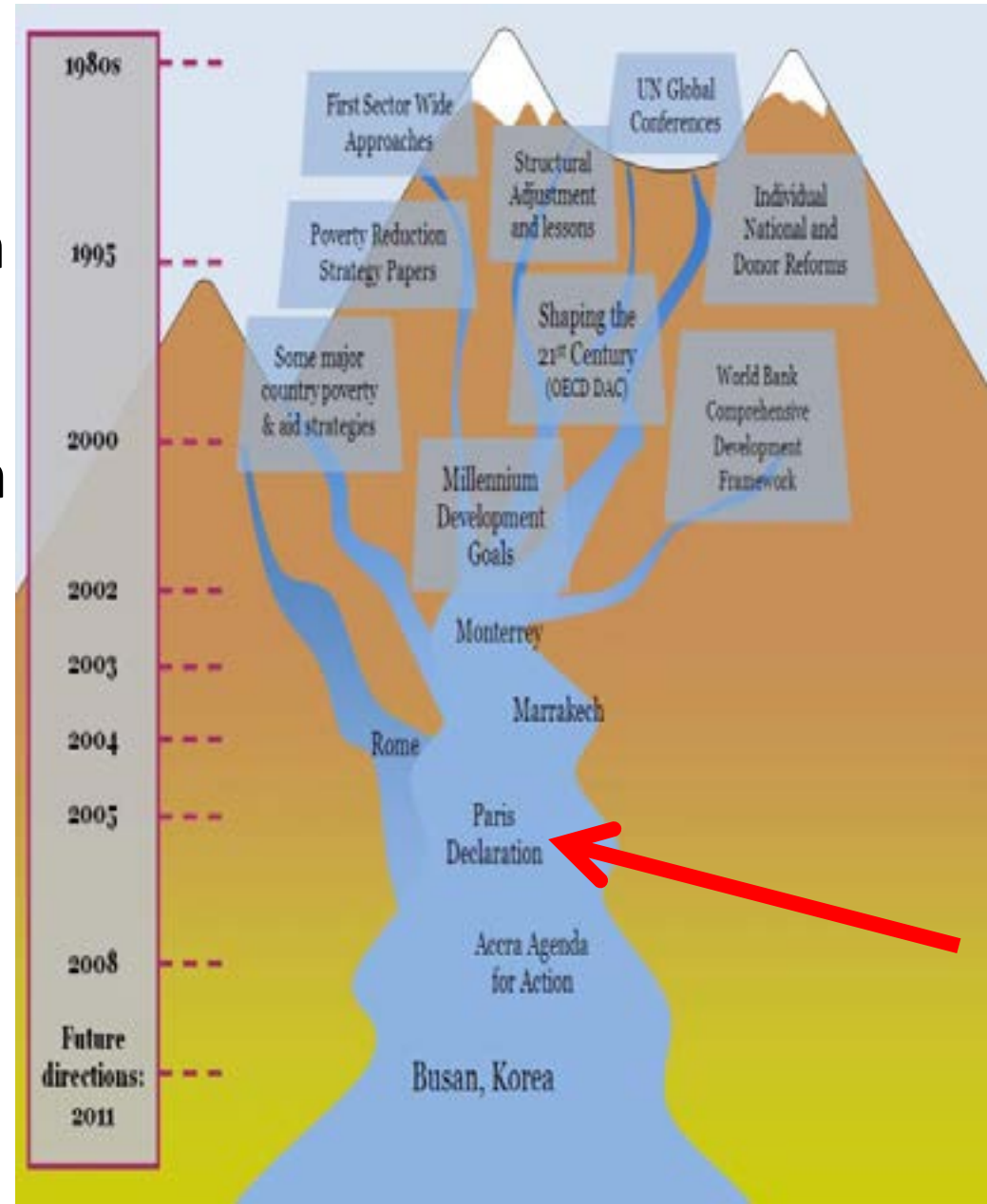
The Evaluation of the Paris Declaration

**Evaluation of the Evaluation
June, 2011**

Evaluation of the Paris Declaration

RELEVANCE

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



The Paris Declaration on Aid Effectiveness

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

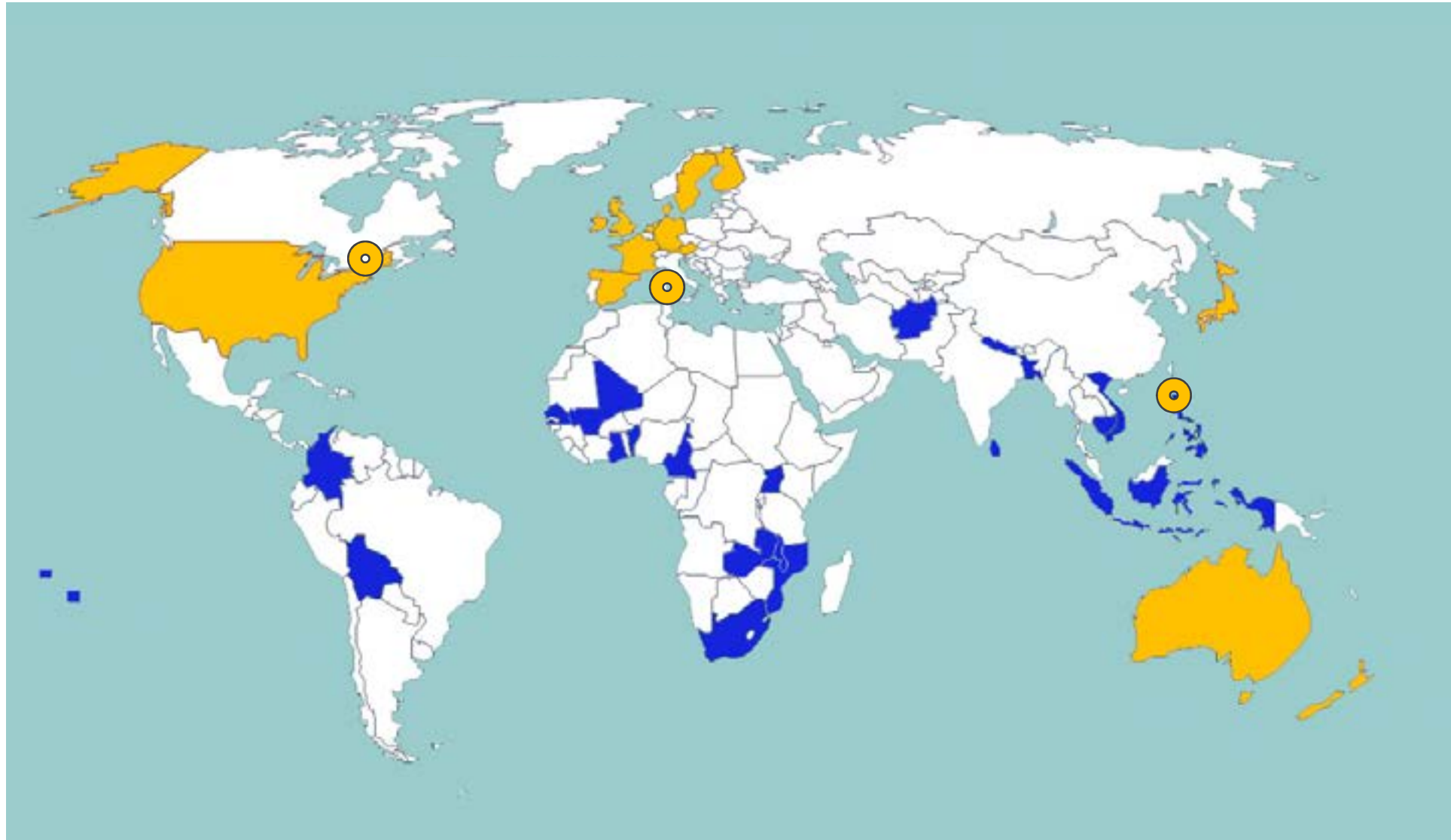
The Paris Declaration outlines the following five fundamental principles for making aid more effective:



Paris Declaration Principles

- 1. Ownership:** *Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.*
- 2. Alignment:** *Donor countries align behind these objectives and use local systems.*
- 3. Harmonisation:** *Donor countries coordinate, simplify procedures and share information to avoid duplication.*
- 4. Results:** *Developing countries and donors shift focus to development results and results get measured.*
- 5. Mutual accountability:** *Donors and partners are accountable for development results.*

Relationships: Country Evaluations & Donor Studies



CORE INTERNATIONAL EVALUATION TEAM



Evaluation metrics

- Direction
- Distance
- Speed

OVERALL FINDINGS

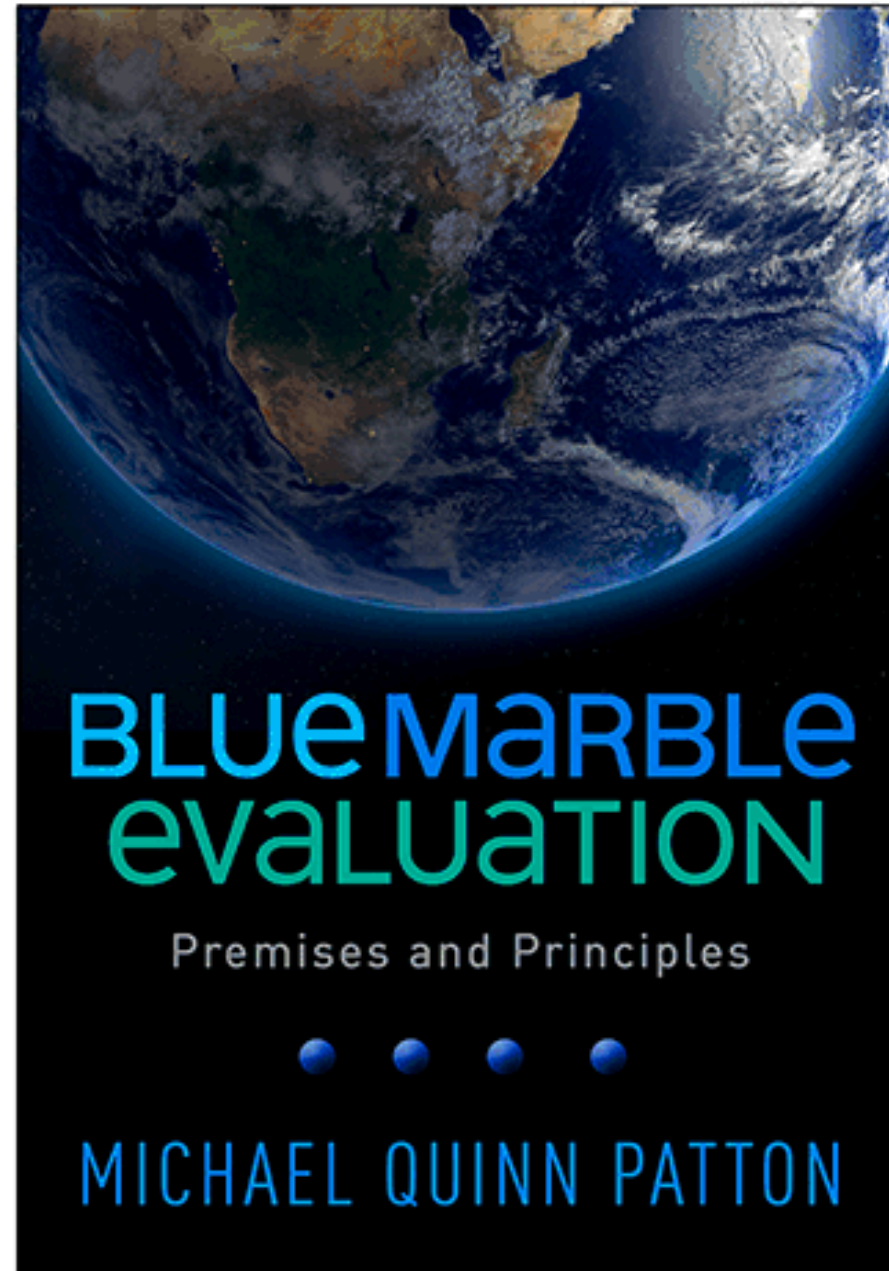
- **Country ownership** has advanced farthest
- **Alignment** and **harmonization** improved unevenly.
- **Mutual accountability** and **managing for results** lagging most
- Action on mutual accountability is now **the most important need** - backed by transparency and a realistic acceptance and management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

Process Use

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



BLUEMARBLE evaluation





Blue Marble Global Scale Principle

Blue Marble Global Scale Principle	Design Guidance	Evaluation Criterion and Question
Engage using a global perspective.	Look beyond nation-state borders and boundaries to affect transnational, regional, and global patterns, interactions, and dynamics.	Global scale fidelity: To what extent and in what ways is an initiative or intervention truly global in both processes and results?

Blue Marble GLOCAL Principle

Blue Marble GLOCAL Principle	Design Guidance	Evaluation Criterion and Questions
Integrate interconnections across levels	When designing an intervention or initiative, look at the interactions, interdependencies, and interconnections across levels (micro, meso, macro). Take into account how people, information, and resources flow from local to global, and global to local.	GLOCAL fidelity: In what ways is an initiative or intervention truly GLOCAL? In both processes and results? What are the interactions, interdependencies, and interconnections across levels? How do they intersect for mutually reinforcing systems change?

GLOCAL



ZOOMING IN & ZOOMING OUT

- A BLUE MARBLE
EVALUATOR
SKILL!



Blue Marble Cross-Silos Principle

Blue Marble Cross-Silos Principle	Design Guidance	Evaluation Criterion and Questions
Evaluate interconnections across sectors and issues.	When designing an intervention or initiative, examine the interactions, interdependencies, and interconnections across sectors, issues, problems, and SDGs. Understand the multi-dimensional, systemic nature of issues and design for systems change, especially	Cross-silos fidelity: To what extent and in what ways is an initiative or intervention truly holistic, systemically working across silos in both processes and results?

Understanding a system involves
systemically examining....

✓ Inter-relationships/interconnections

and

✓ Perspectives

and

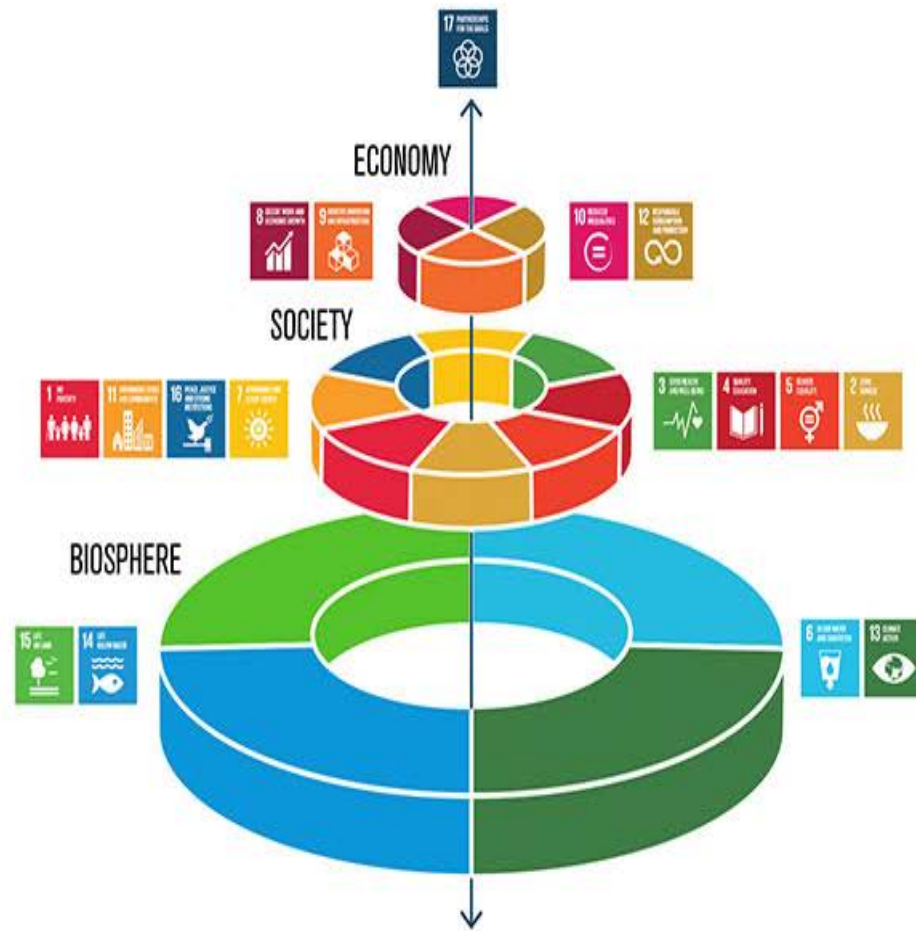
✓ Boundaries

and

✓ Dynamics









BLUEMARBLE evaluation

PRINCIPLES

Blue Marble Principles

<i>OVERARCHING BLUE MARBLE PRINCIPLES 1-4</i>		
1. Global Thinking Principle Apply whole Earth, big picture thinking to all aspects of systems change.	2. Anthropocene as Context Principle Know and face the realities of the Anthropocene -- and act accordingly	3. Transformative Engagement Principle Engage consistent with the magnitude, direction, and speed of transformations needed and envisioned.
4. Overarching Integration Principle: <i>Integrate the Blue Marble principles in the design, engagement with, and evaluation of systems change and transformation initiatives.</i>		

OPERATING PRINCIPLES 5-16

5. Transboundary engagement principle <i>Act at a global scale.</i>	6. GLOCAL Principle: <i>Integrate complex interconnections across levels.</i>	7. Cross-silos principle: <i>Engage across sectors and issues for systems change.</i>
8. Time being of the essence: <i>Act with a sense of urgency in the present, support adaptive sustainability long-term, grounding both in understanding the past</i>	9. Ying-yang Principle: <i>Harmonize conceptual opposites</i>	10. Bricolage Methods Principle: <i>Conduct utilization-focused evaluations incorporating Blue Marble principles to match methods to the evaluation situation.</i>

<p>11. World Savvy</p> <p>Principle:</p> <p><i>Engage in ongoing learning relevant to Blue Marble principles and practices.</i></p>	<p>12. Skin-in-the-game</p> <p>principle:</p> <p><i>Acknowledge and act on your stake in how the Anthropocene unfolds.</i></p>	<p>13. Theory of transformation principle:</p> <p><i>Design and evaluate transformation based on an evidence-supported theory of transformation.</i></p>
<p>14. Transformation Fidelity Principles:</p> <p><i>Ensure that what is called transformation constitutes transformation.</i></p> <p><i>Corollary: Evaluate whether and how what is called transformational engagement constitutes a trajectory toward transformation.</i></p>	<p>15. Transformational alignment principle:</p> <p><i>Transform evaluation to evaluate transformation.</i></p>	<p>16. Evaluation as intervention principle:</p> <p><i>Integrate and network evaluations to inform and energize transformation.</i></p>

EXHIBIT 15.2. Blue Marble Principles

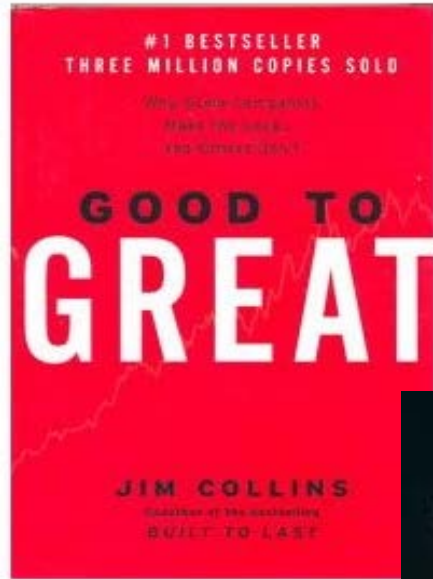
OVERARCHING BLUE MARBLE PRINCIPLES 1–4

- | | | |
|--|---|--|
| 1. Global Thinking principle:
<i>Apply whole-Earth, big-picture thinking to all aspects of systems change.</i> | 2. Anthropocene as Context principle:
<i>Know and face the realities of the Anthropocene—and act accordingly.</i> | 3. Transformative Engagement principle:
<i>Engage and evaluate consistent with the magnitude, direction, and speed of transformations needed and envisioned.</i> |
| 4. Integration principle:
<i>Integrate the Blue Marble principles in the design, engagement with, and evaluation of systems change and transformation initiatives.</i> | | |

BLUE MARBLE OPERATING PRINCIPLES 5–16

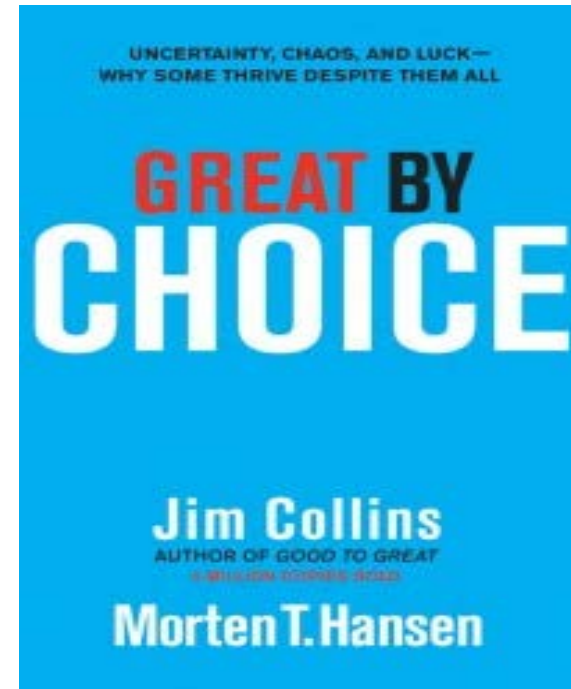
- | | | |
|---|---|--|
| 5. Transboundary Engagement principle:
<i>Act at a global scale.</i> | 6. GLOCAL principle:
<i>Integrate complex interconnections across levels.</i> | 7. Cross-Silos principle:
<i>Engage across sectors and issues for systems change.</i> |
| 8. Time Being of the Essence principle:
<i>Act with a sense of urgency in the present, support adaptive sustainability long term, grounding both in understanding the past.</i> | 9. Ying–Yang principle:
<i>Harmonize conceptual opposites.</i> | 10. Bricolage Methods principle:
<i>Conduct utilization-focused evaluations incorporating Blue Marble principles to match methods to the evaluation situation.</i> |
| 11. World Savvy principle:
<i>Engage in ongoing learning relevant to Blue Marble principles and practices.</i> | 12. Skin in the Game principle:
<i>Acknowledge and act on your stake in how the Anthropocene unfolds.</i> | 13. Theory of Transformation principle:
<i>Design and evaluate transformation based on an evidence-supported theory of transformation.</i> |
| 14. Transformation Fidelity principle:
<i>Ensure that what is called transformation constitutes transformation.</i>

Corollary: <i>Evaluate whether and how what is called transformational engagement constitutes a trajectory toward transformation.</i> | 15. Transformational Alignment principle:
<i>Transform evaluation to evaluate transformation.</i> | 16. Evaluation as Intervention principle:
<i>Integrate and network evaluations to inform and energize transformation.</i> |



2001

PRINCIPLES

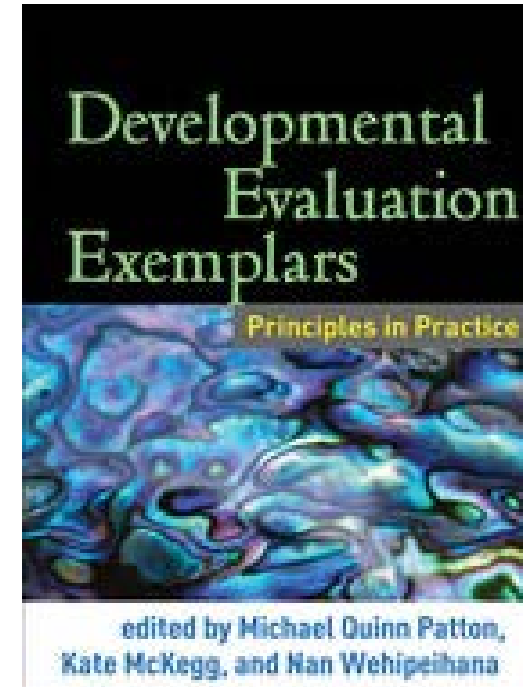


2012



DE Principles

- 1. Developmental purpose***
- 2. Evaluation rigor***
- 3. Utilization focus***
- 4. Innovation niche***
- 5. Complexity perspective***
- 6. Systems thinking***
- 7. Co-creation***
- 8. Timely feedback***



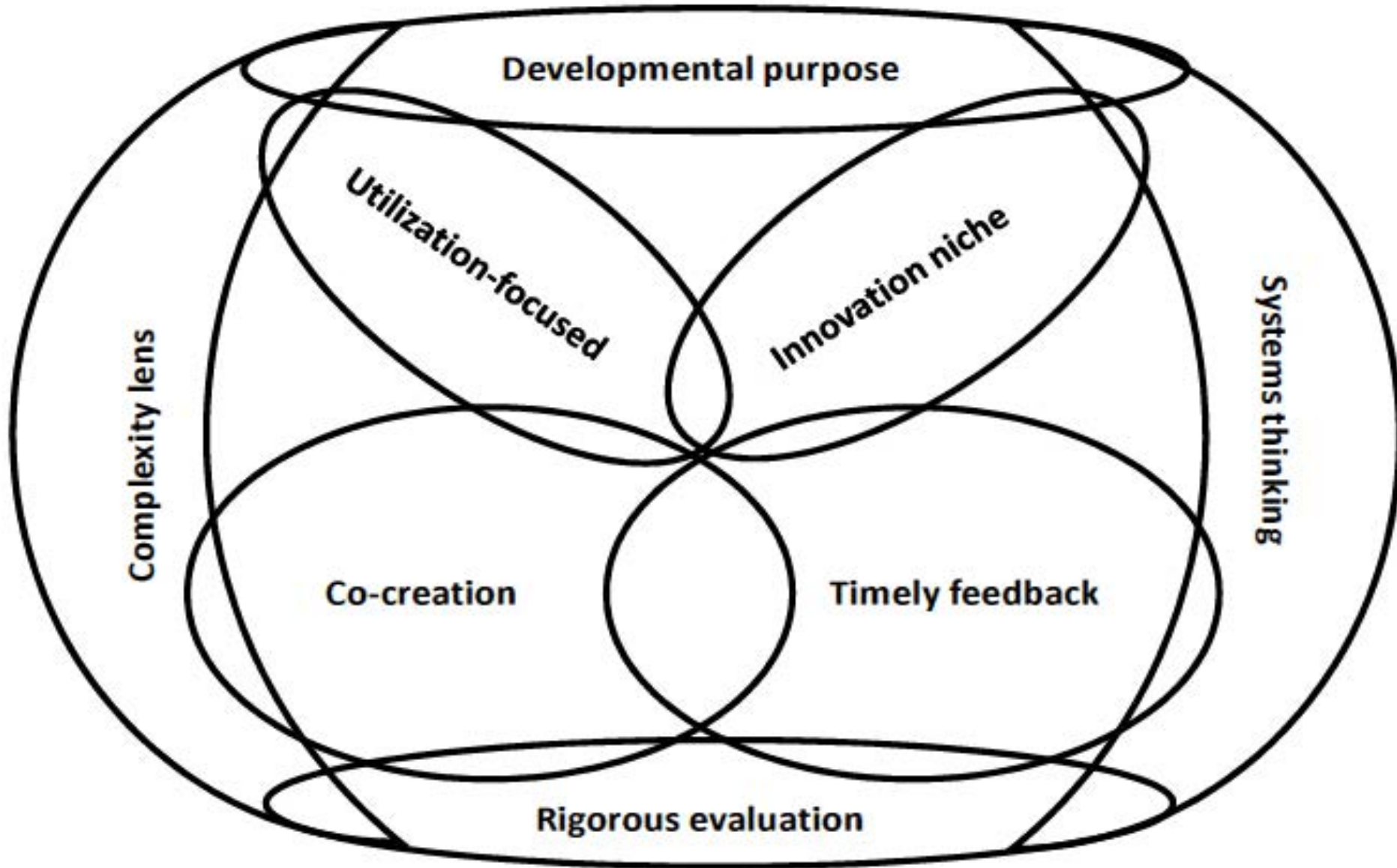


EXHIBIT 31.8. An Integrated Set of Principles for Use in Guiding Collaborative Approaches to Evaluation



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PATHS TO THE FUTURE OF

EVALUATION

2019

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