

Principles- Focused Evaluation

The GUIDE

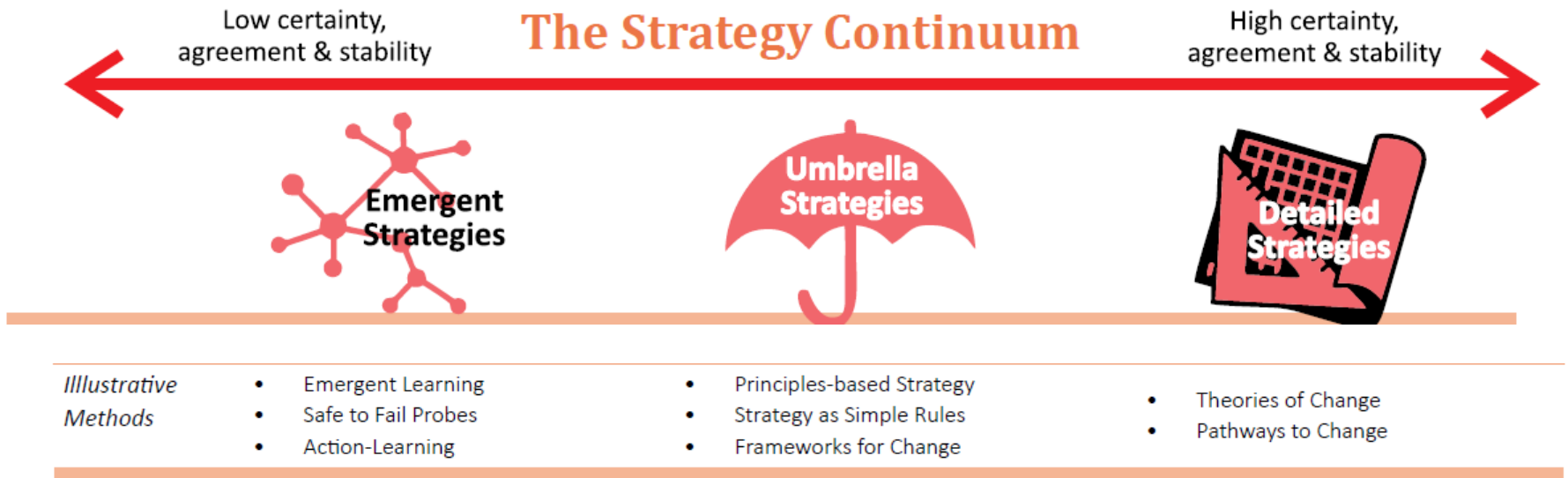


Michael Quinn Patton

Evaluation Masterclass March, 2018

*Michael Quinn Patton &
Mark Cabaj*

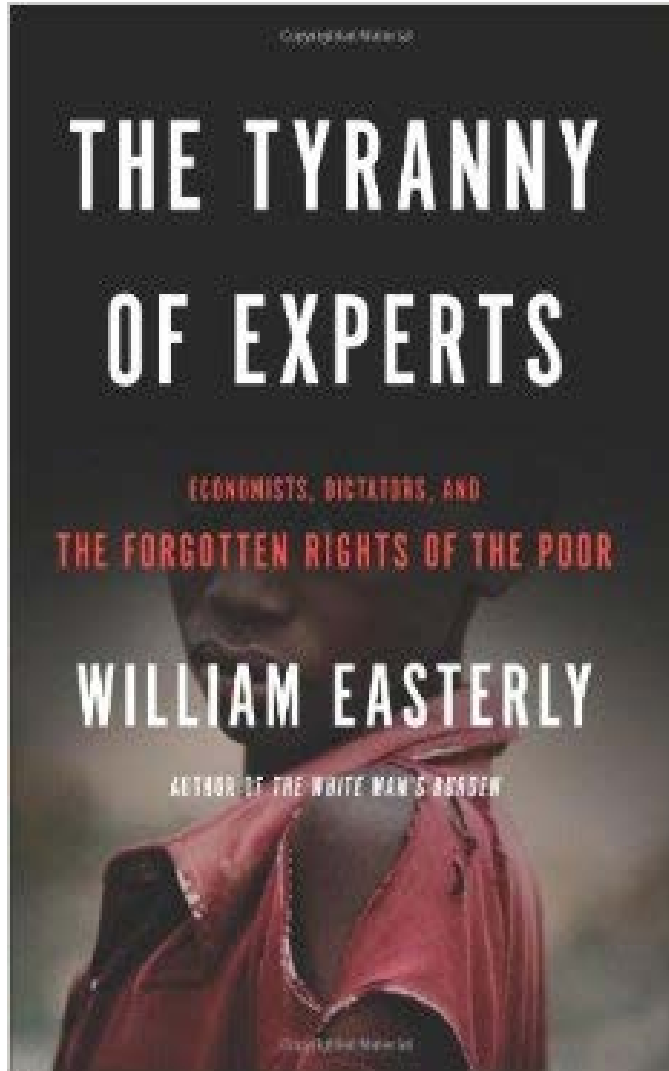






1986





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

Baseline

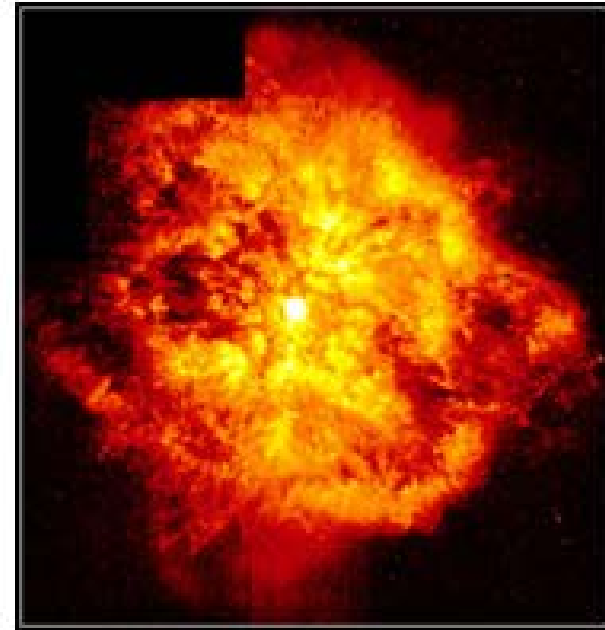
Identify a principle that informs and guides your life choices and decisions. Any kind of choice. Work. Family. Money. Relationships. Faith. Any principle.

Write it down.

That's your baseline, your starting point, *your first principle*. See if it changes, or your approach to following it changes, as we work on principles-focused evaluation today.

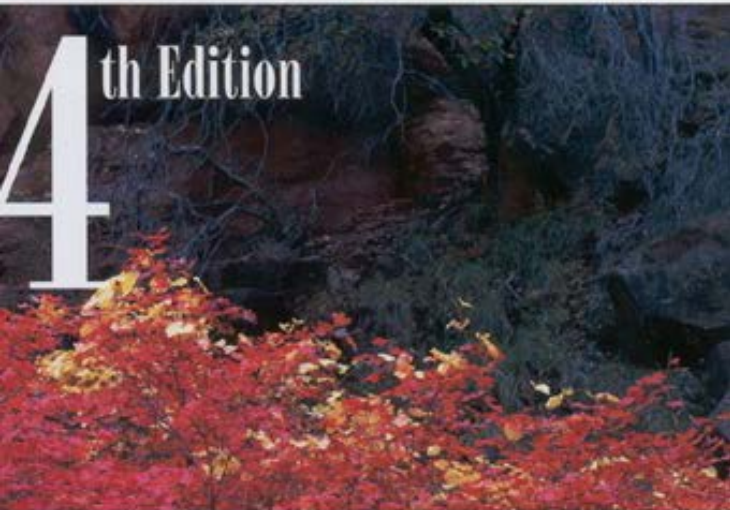


***In the
beginning...***



Utilization-Focused Evaluation

4th Edition



Michael Quinn Patton

Evaluation principles

- What two utilization-focused evaluation principles are illustrated and followed?
- What utilization-focused principle is NOT adhered to?

CANADIAN EVALUATION SOCIETY
SOCIÉTÉ CANADIENNE D'ÉVALUATION

AMERICAN EVALUATION ASSOCIATION
ASSOCIATION AMÉRICAINE D'ÉVALUATION



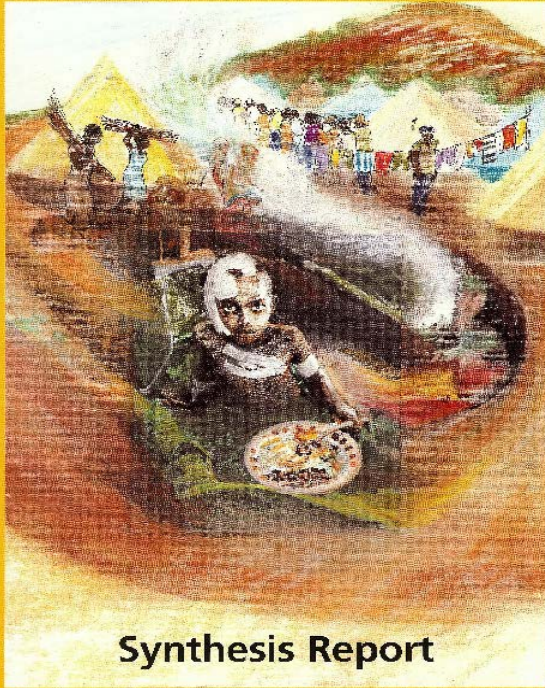
**Crossing Borders,
Crossing Boundaries**
2005 Joint CES/AEA Conference

**Franchir les frontières,
repousser les limites**
Congrès conjoint SCÉ/AEA 2005

SPEAK TRUTH TO POWER



The International Response
to Conflict and Genocide:
Lessons from the Rwanda Experience

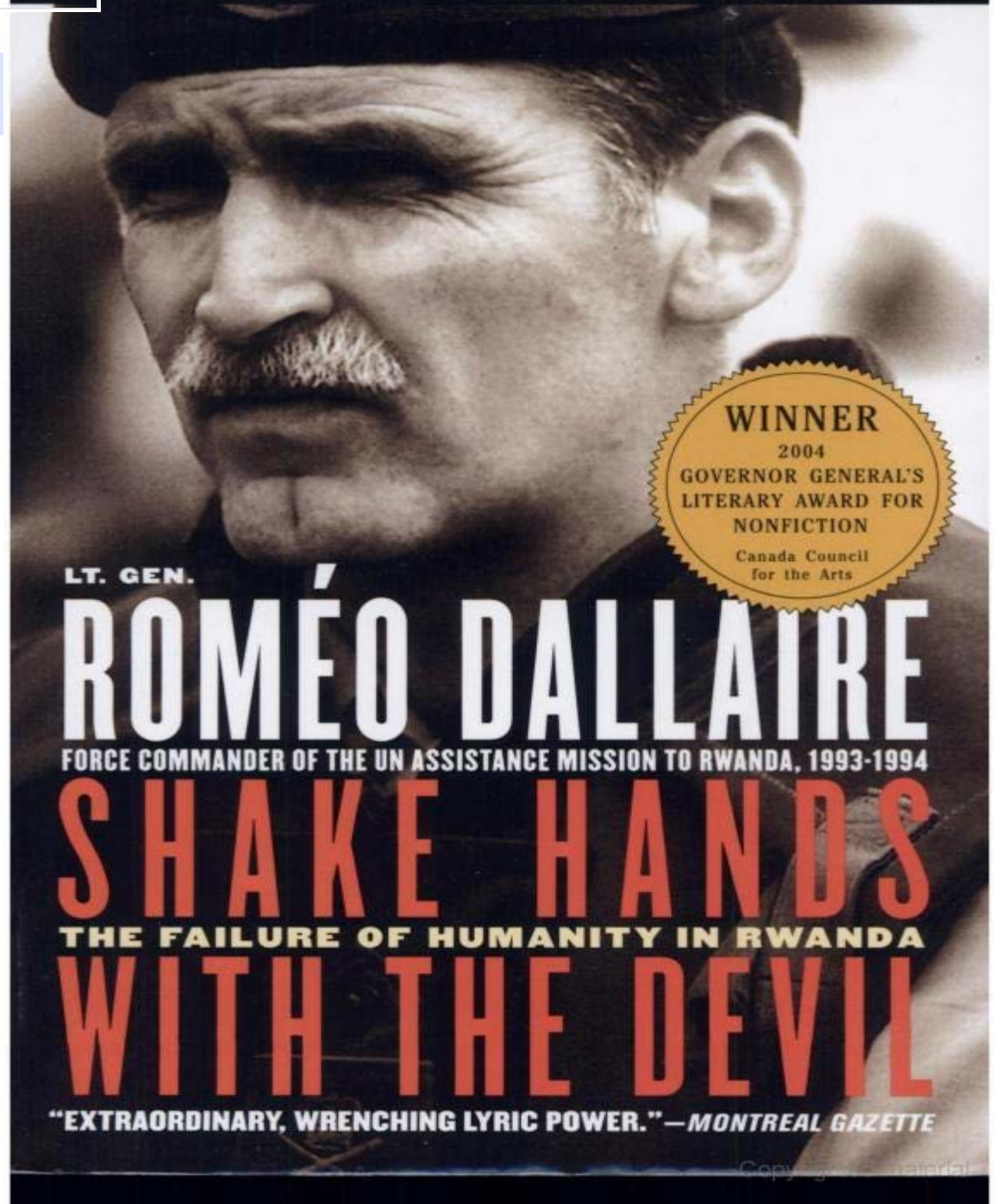


Synthesis Report

Joint Evaluation of Emergency Assistance to Rwanda

The International Response to Conflict and Genocide:
Lessons from the Rwanda Experience





WINNER
2004
GOVERNOR GENERAL'S
LITERARY AWARD FOR
NONFICTION
Canada Council
for the Arts

LT. GEN.

ROMÉO DALLAIRE

FORCE COMMANDER OF THE UN ASSISTANCE MISSION TO RWANDA, 1993-1994

**SHAKE HANDS
WITH THE DEVIL**
THE FAILURE OF HUMANITY IN RWANDA

"EXTRAORDINARY, WRENCHING LYRIC POWER."—MONTREAL GAZETTE

Evaluation

Traditional

Evaluating...

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

Generating...



• 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



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

Principle of Ubuntu

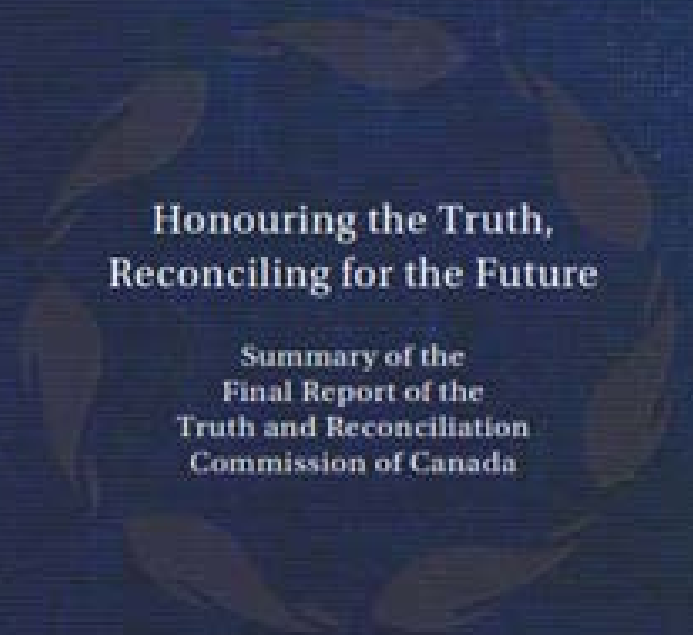
The principle of interpersonal interaction that pervades sub-Saharan Africa, *ubuntu* emphasizes the idea that:

“A person is a person because of other people.”

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

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

Bishop Desmond Tutu



Honouring the Truth, Reconciling for the Future

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

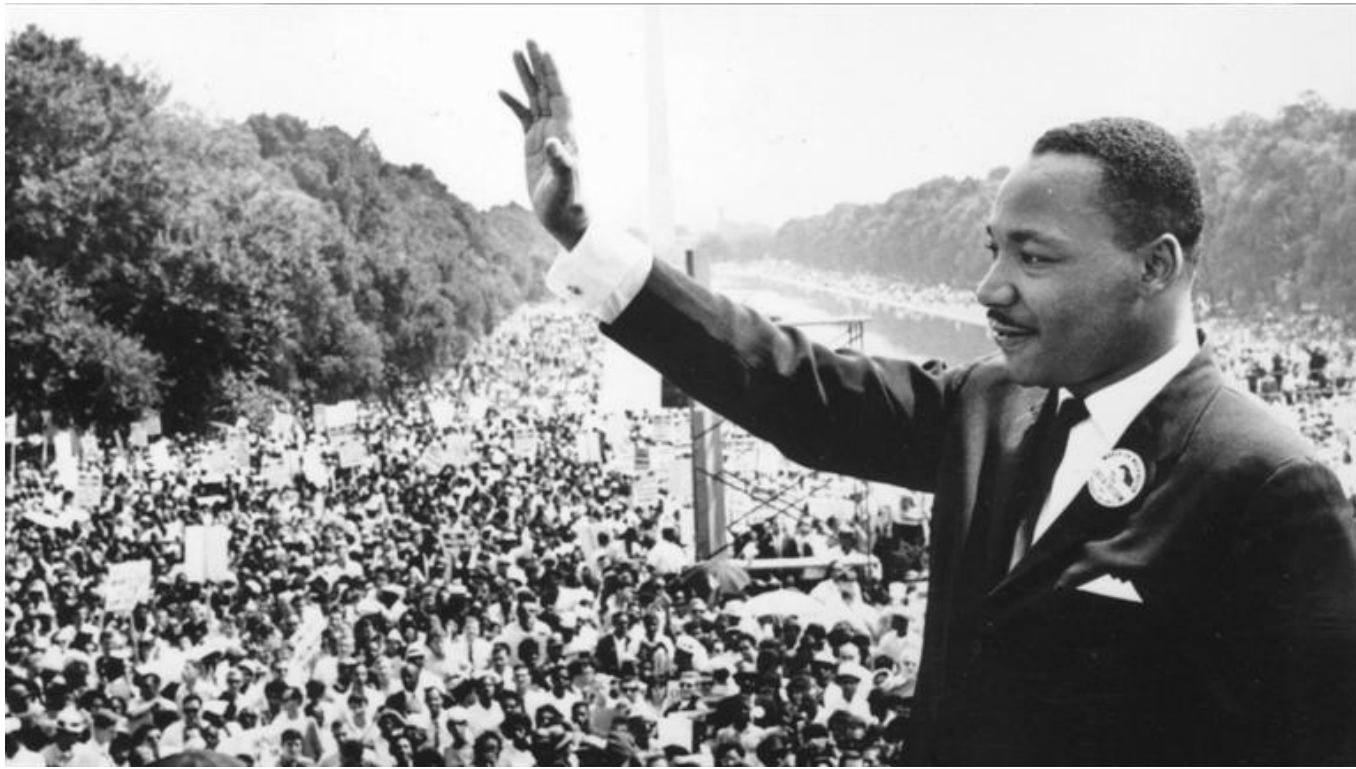
SYSTEMS THINKING and COMPLEXITY THEORY

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

Principles-focused evaluation questions

1. Is the principle meaningful to those to whom it is meant to provide guidance?
2. Is the principle adhered to?
3. If adhered to, does it lead toward desired results?

The Niche of Principles-Focused Evaluation

- Unit of analysis (evaluand)
- Approach to programming
- Way to navigate complex dynamic systems
- Approach to evaluation

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.

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.

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



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.

Evaluating...

RULES

Compliance

PRINCIPLES

1. Meaningfulness
& relevance
2. Adherence
3. Results

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.

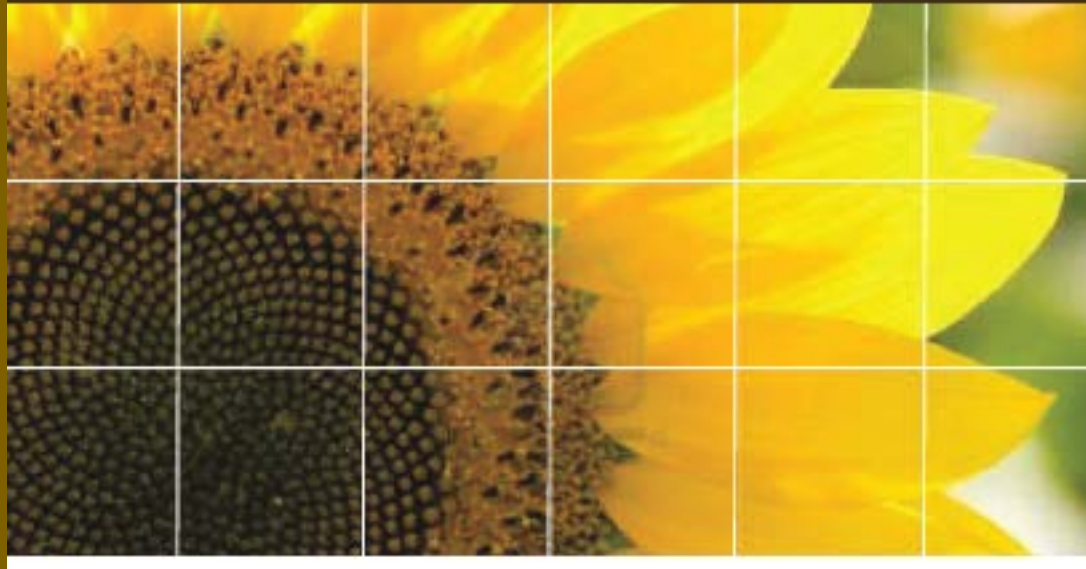
Principles

1. **Poverty Reduction** – a focus on reducing poverty as opposed to alleviating the hardships of living in poverty
2. **Comprehensive Thinking & Action** – addressing the inter-related causes of poverty rather than its individual symptoms
3. **Multisectoral Collaboration** – engaging 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** – building on community strengths rather than focusing on its deficits
5. **Learning & Change** – embracing 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



GUIDE

For Effectiveness Principles

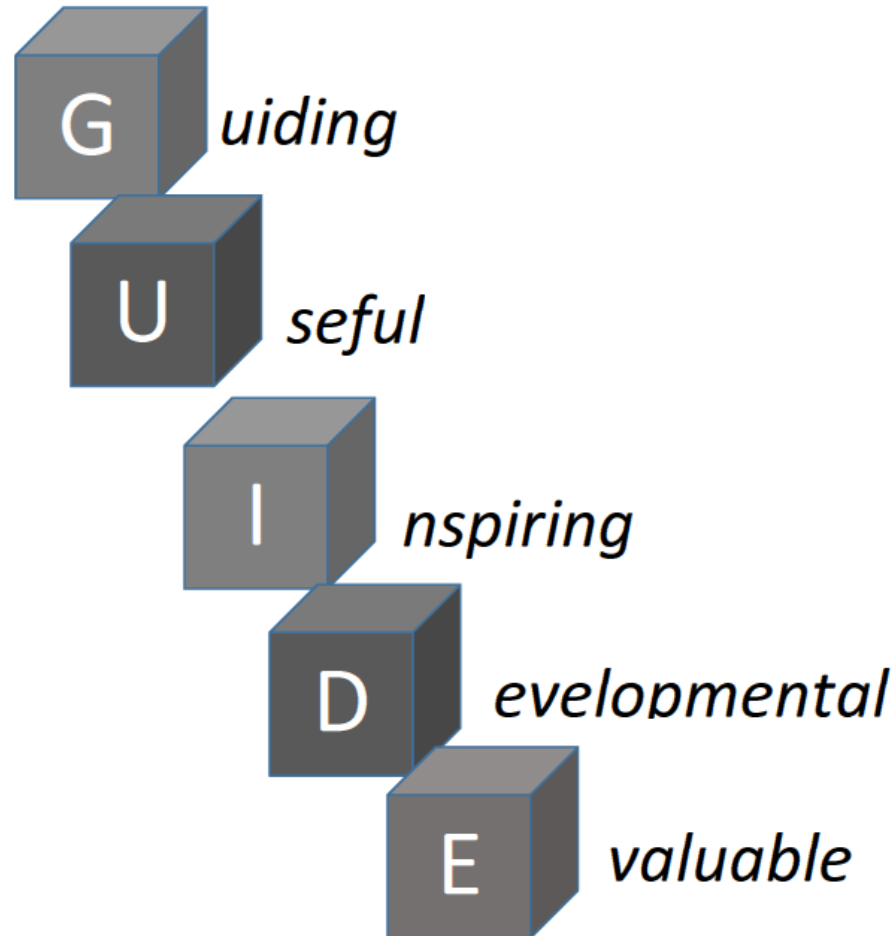
SMART Goals



Note: R is sometimes *Relevant* rather than *Realistic*; T is sometimes *Time-bound*, not *Timely*.

GUIDE Framework

GUIDE Framework for Effectiveness Principles





Guiding

- Prescriptive -- provides advice and guidance
- Directional -- specifies direction and informs priorities
- Effectiveness-oriented (active verb wording) -- "Do this..." to be effective
- Distinctive from its opposite or alternative



Useful

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



Inspiring

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



Developmental

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



Evaluable

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

Evaluation Criteria

1. Meaningfulness
2. Adherence
3. Results

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.

G Guiding

A principle is prescriptive. It provides advice and guidance on what to do, how to think, what to value, and how to act to be effective. It offers direction. The wording is imperative: *Do this*. The guidance is sufficiently distinct that it can be distinguished from contrary or alternative guidance.

The utilization-focused evaluation principle prescribes identifying intended users from the beginning and involving them in determining how an evaluation will be used, then designing the evaluation accordingly. Alternative and contrary principles are: Design an evaluation to be credible to scholars. Attend to use when you have findings to be used. Worry about accuracy, not use. Identifying and articulating alternative possible principles clarifies a particular principle's guidance.

U *Useful*

A high-quality principle is useful in informing choices and decisions. Its utility resides in being actionable, interpretable, feasible, and pointing the way toward desired results for any relevant situation. The principle provides guidance for translating knowledge into action.

The purpose of the utilization-focused evaluation principle is to enhance actual use of an evaluation by those for whom and with whom it is being done. It can be applied to any evaluation situation. The principle advises focusing on use throughout the evaluation from the beginning, not just at the end when findings are ready. That's useful advice; not easy, but doable, interpretable, and actionable.

I *Inspiring*

Principles are values based, incorporating and expressing ethical premises, which

is what makes them meaningful. They articulate what matters, both in how to proceed and the desired result. They articulate how to do things right (effectively) and the right thing to do (express the values basis for action). That should be inspirational.

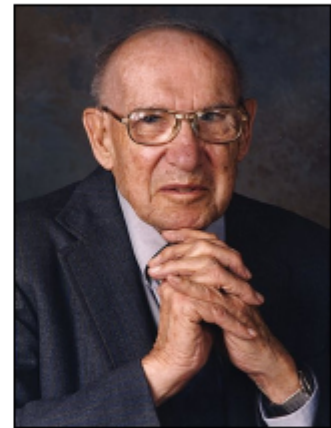
The utilization-focused evaluation principle values use. Valuing use is both an ethical and pragmatic stance. It implies that evaluations should not be done as a matter of compliance or window dressing but should be conducted so as to be useful—and actually used. This, the principle asserts, is the evaluator's calling. This is what makes evaluation worthwhile, meaningful, and a contribution to solving societal problems and improving lives. To behave otherwise is wasteful and unethical. The desired result is enhanced use of the evaluation by those for whom it is intended for social betterment. For evaluators who care about a better world, use is the vehicle for realizing that noble vision, so the principle is hopefully inspiring, both in the vision it offers and the implication that the desired result (greater evaluation use) is possible by following the principle.

Principles-focused strategy and evaluation should inspire as well as provide direction

Outcomes should be inspirational

When asked about the bottom line for not-for-profit organizations, the great management guru Peter Drucker said:

"The end results are people with changed lives."



**Outcomes should specify
how lives will be changed.**

YWCA Toronto Values

- Caring
- Honesty
- Health
- Responsibility
- Inclusiveness
- Respect



A TURNING POINT
FOR WOMEN



D *Developmental*

The developmental nature of a high-quality principle refers to its adaptability and applicability to diverse contexts and over time. A principle is thus both context sensitive and adaptable to real-world dynamics, providing a way to navigate the turbulence of complexity and uncertainty. In being applicable over time, it is enduring (not time-bound) in support of ongoing development and adaptation in an ever-changing world.

The utilization-focused evaluation principle applies to any context in which an evaluation is being conducted. It applies across levels from local, to regional, to state, national, and international. It applies as an intervention, change initiative, policy, or program develops and on through its implementation. It provides guidance for any number of intended uses and applies to different purposes for evaluation (accountability, program improvement, strategy analysis, overall summative judgments of merit and worth, monitoring, or knowledge generation).

E *Evaluable*

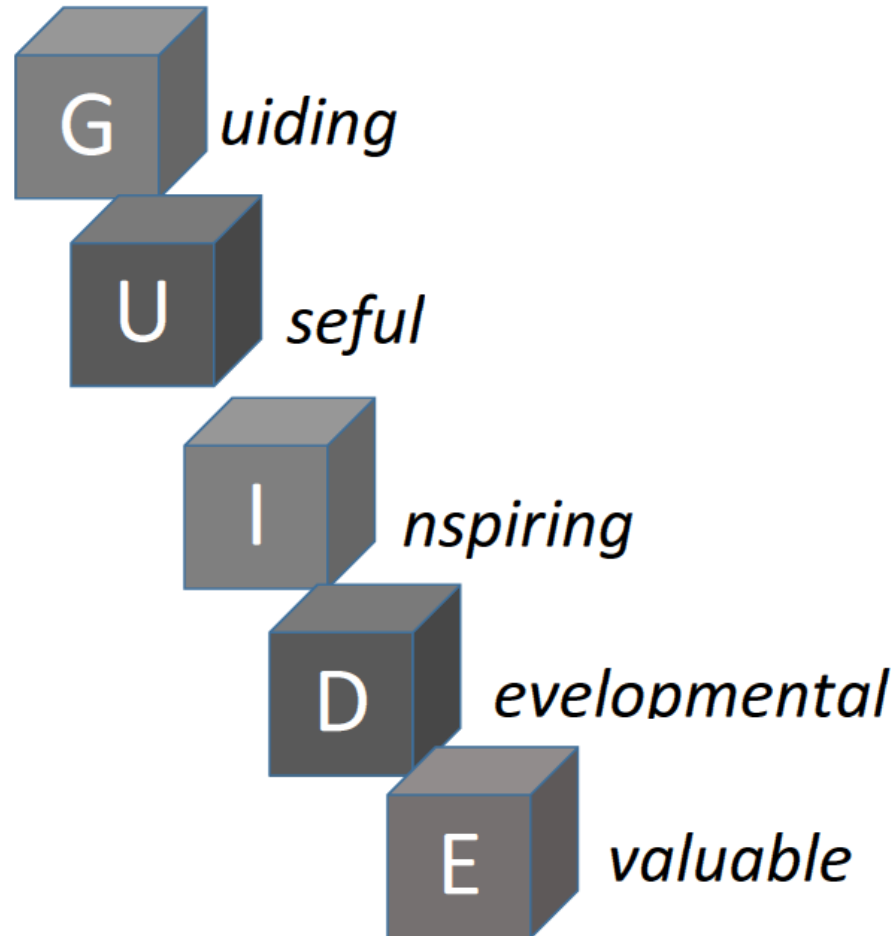
A high-quality principle must be evaluable. This means it is possible to document and judge whether it is actually being followed, and document and judge what results from following

the principle. In essence, it is possible to determine if following the principle takes you where you want to go.

The utilization-focused evaluation principle can be evaluated by following up with intended users to find out if the evaluation was used in intended ways and to get their feedback on the extent to which their involvement affected how they used the evaluation. There is a substantial literature reporting on evaluation of the utilization-focused evaluation principle (Patton, 2008, 2012a).

GUIDE Framework

GUIDE Framework for Effectiveness Principles



Review your principle

1

Take another look at your baseline principle.

2

Examine it using the GUIDE criteria.

3

Revise accordingly.

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

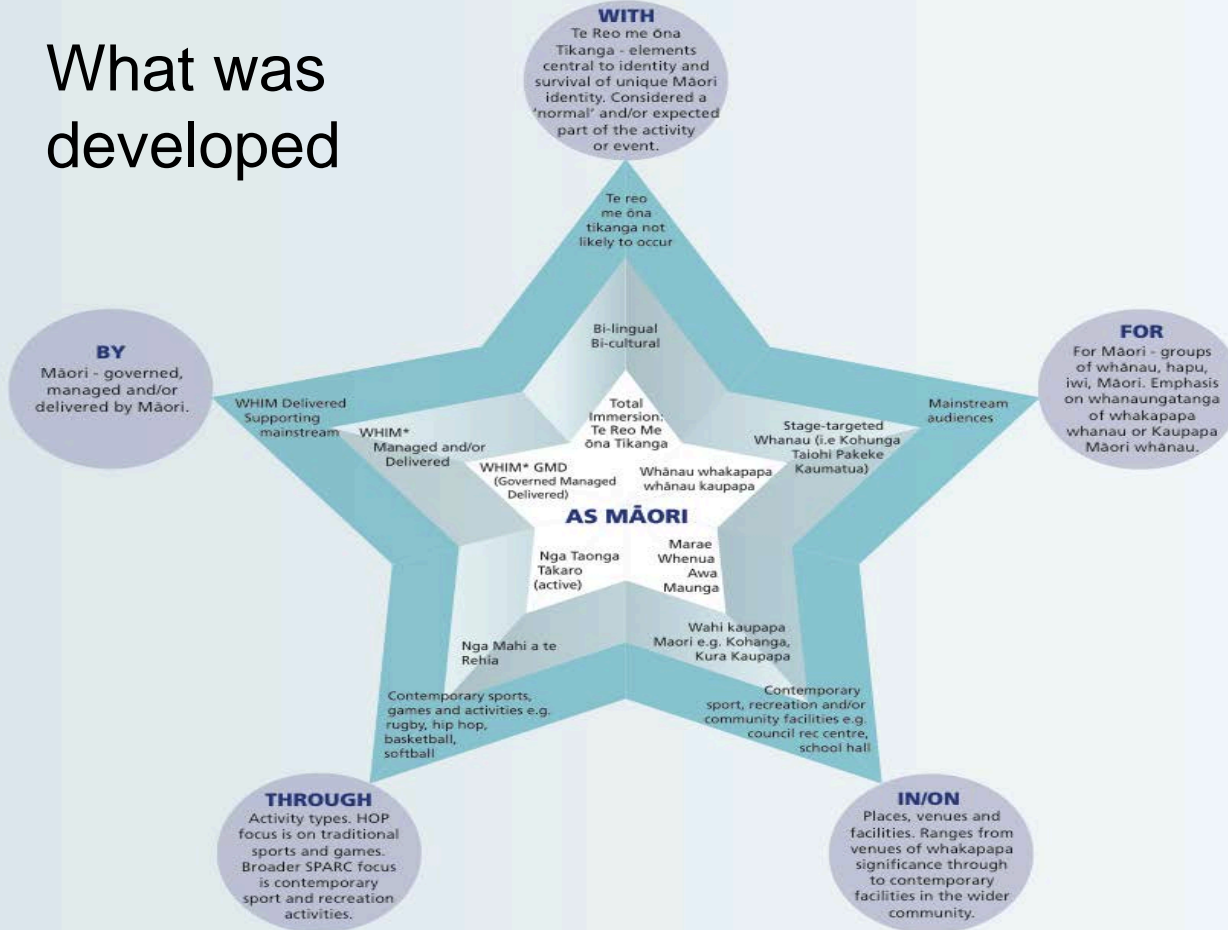
He Oranga Poutama Developmental Evaluation



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

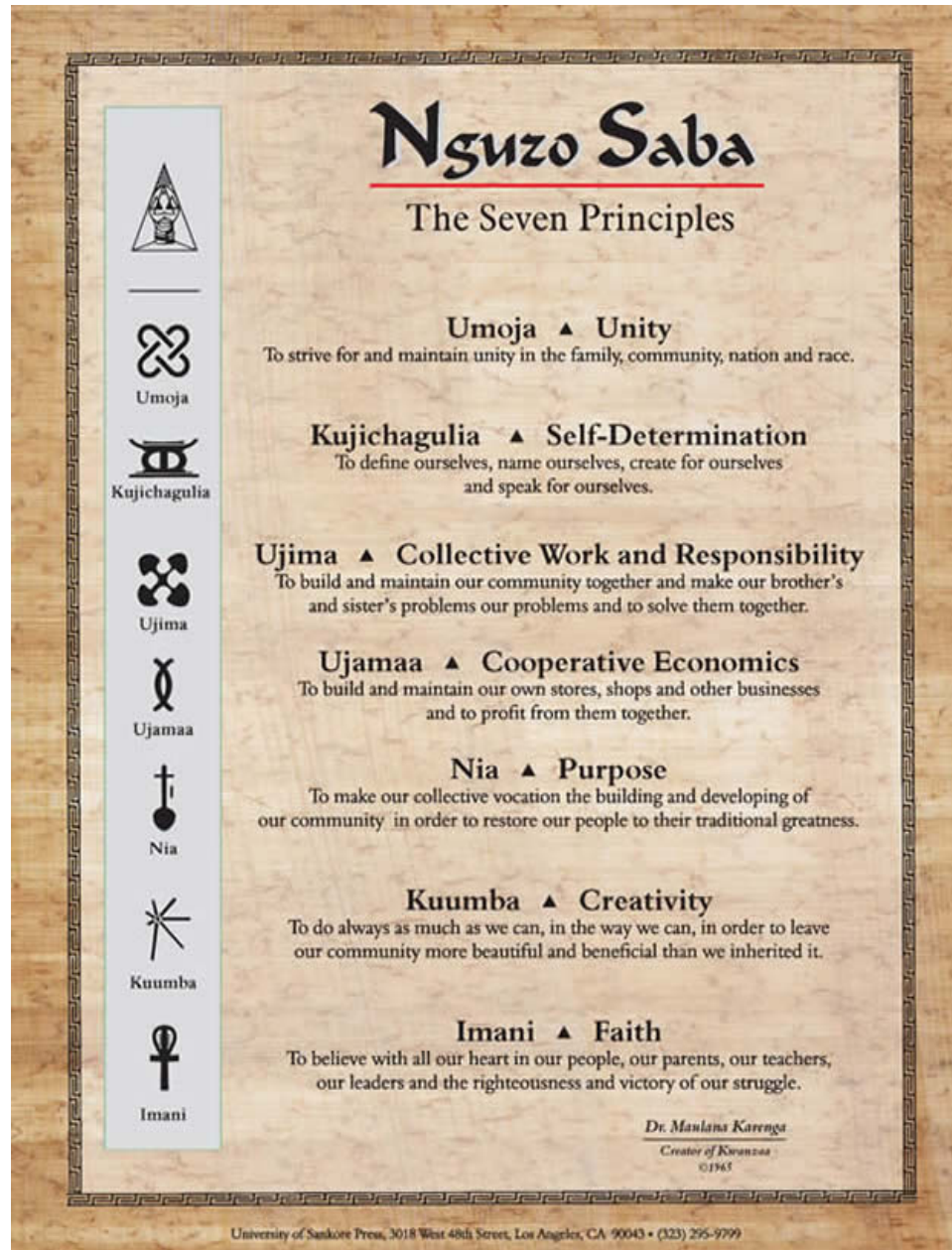
- This 'Whetu' outlines a five-criteria continuum to help determine 'as Māori' participation for the context of the He Oranga Poutama initiative.
- The closer an activity maps to the criteria in the inner star, closest to the 'As Māori' centre, the more likely it is to contribute to HOP's goal of participating 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*
2. Honesty - *Gwekwaadziwin*
3. Wisdom – *Nbwaakaawin*
4. Truth - *Debwewin*
5. Respect - *Mnaadendimowin*
6. Bravery - *Aakwa'ode'ewin*
7. Love - *Zaagidwin*

United Nations

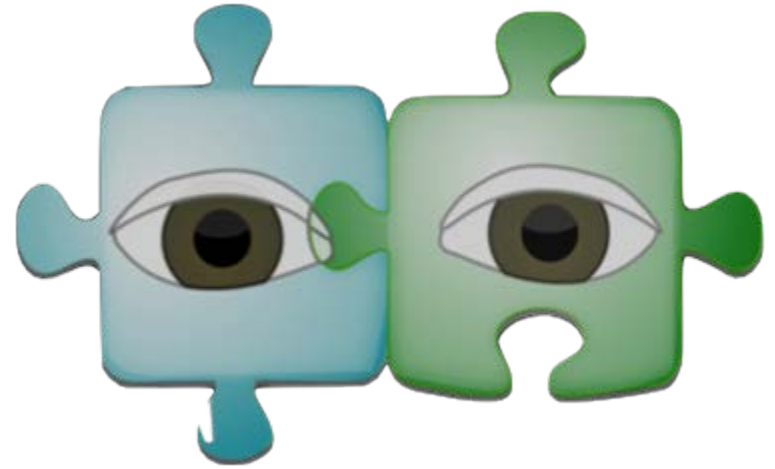
4 humanitarian principles for World Humanitarian Day & every day

<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>

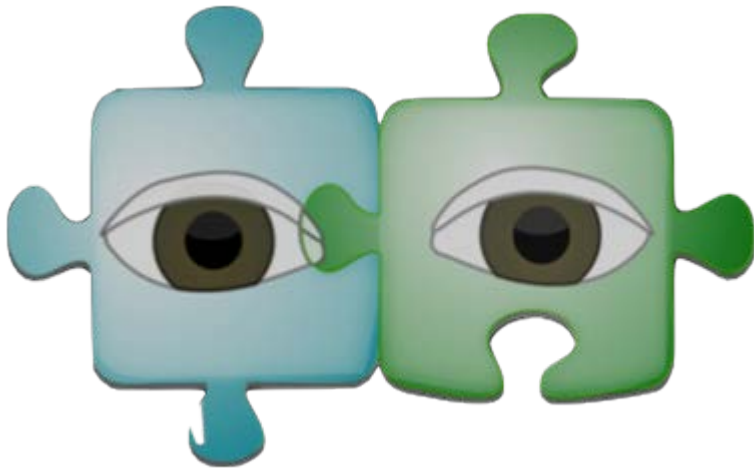
Insert video

Two-Eyed Seeing

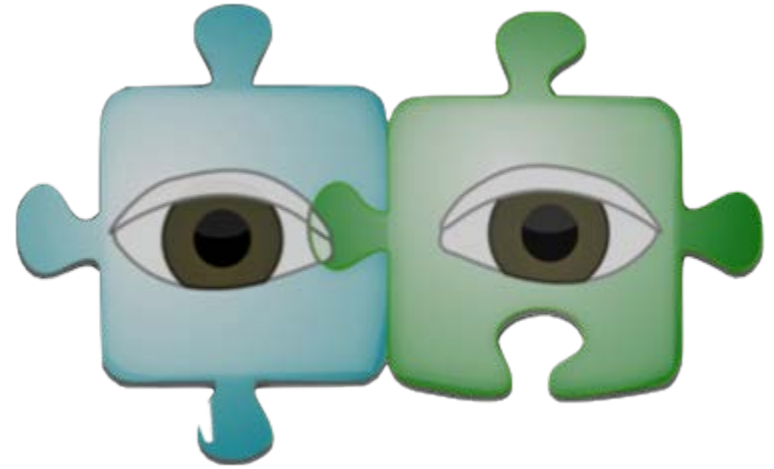


The Guiding Principle
brought into the
Integrative Science
co-learning journey
by [Mi'kmaw Elder Albert Marshall](#).

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.

The Exercise

- Take two minutes to read the “Call to Action” at your table.
- What principles (if any) do you see informing this ‘call to action’?
- How (if at all) would the principle of two eyed seeing change these actions items and/or how they are implemented?

Exercise

- What did the application of two eyed seeing principle reveal to you about the crafting principle-focused interventions?

Lunch

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

- [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

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

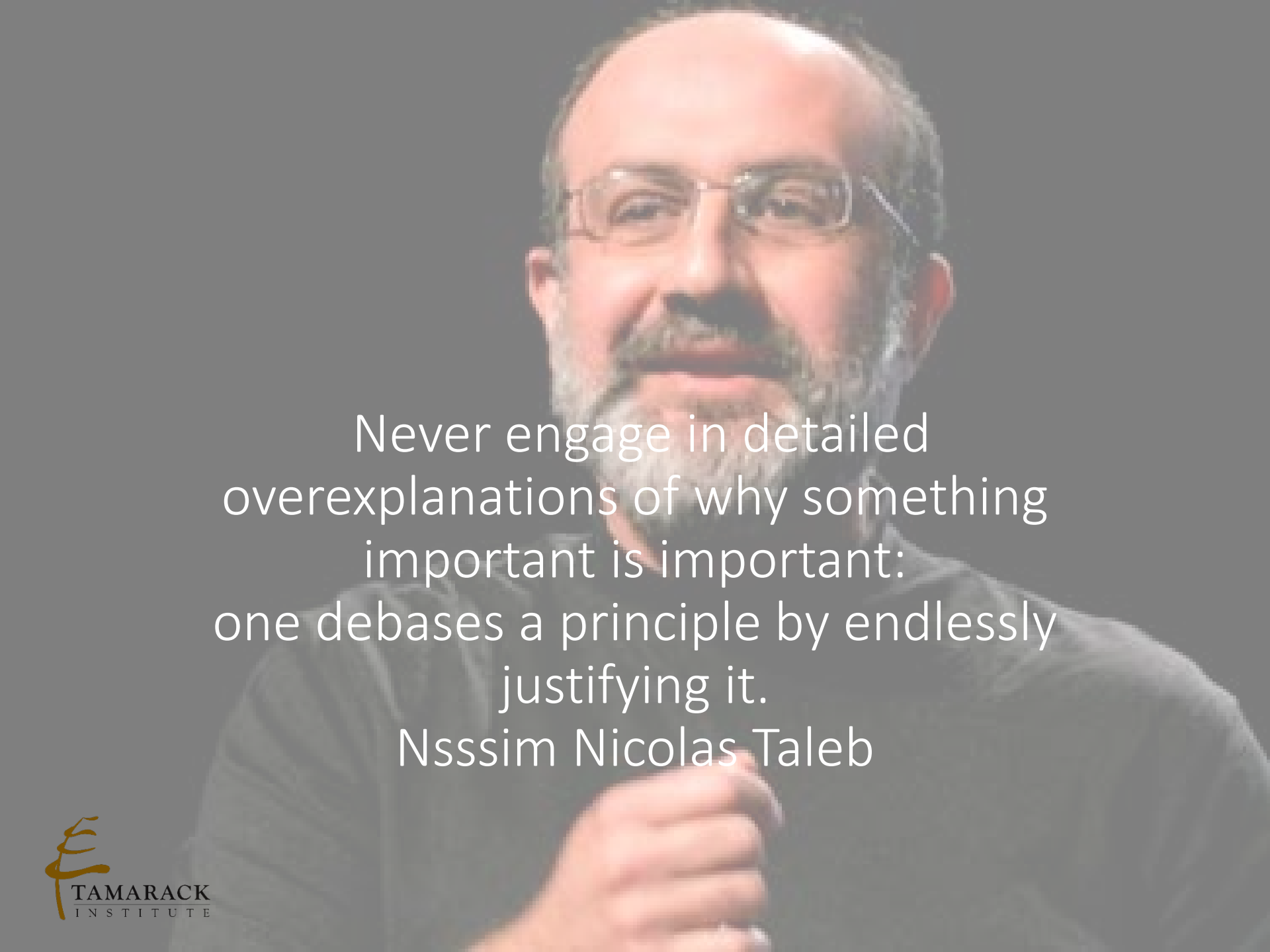
PRINCIPLES FOR WORKING WITH HOMELESS YOUTH

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.

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

Lady Crawley, the Dowager Countess, Downton Abbey



A portrait of Nassim Nicolas Taleb, a man with a grey beard and glasses, wearing a dark shirt. The background is a solid dark grey.

Never engage in detailed
overexplanations of why something
important is important:
one debases a principle by endlessly
justifying it.

Nsssim Nicolas Taleb

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?

Developmental Evaluation

Applying
Complexity Concepts
to Enhance
Innovation
and Use

Michael Quinn Patton

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

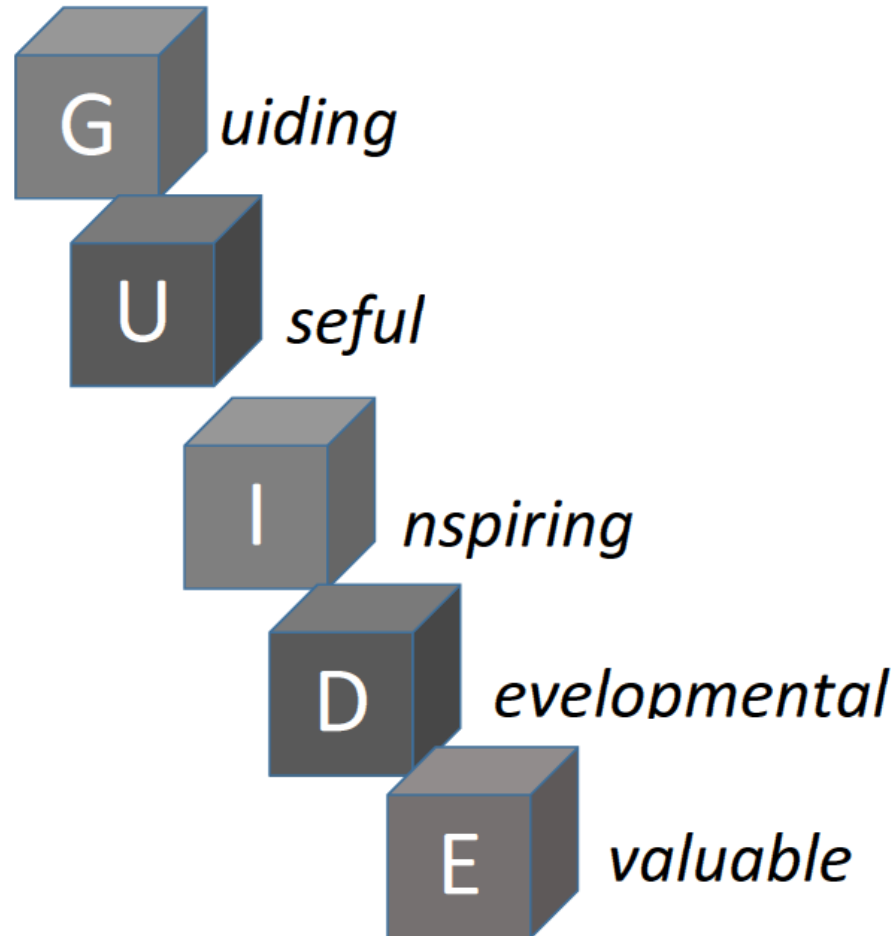
HIGH FIDELITY REPLICATION

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**

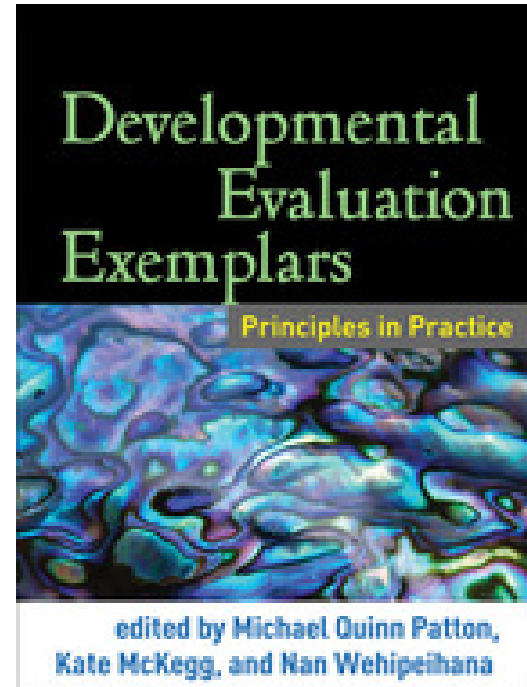
EXHIBIT 31.8. An Integrated Set of Principles for Use in Guiding Collaborative Approaches to Evaluation

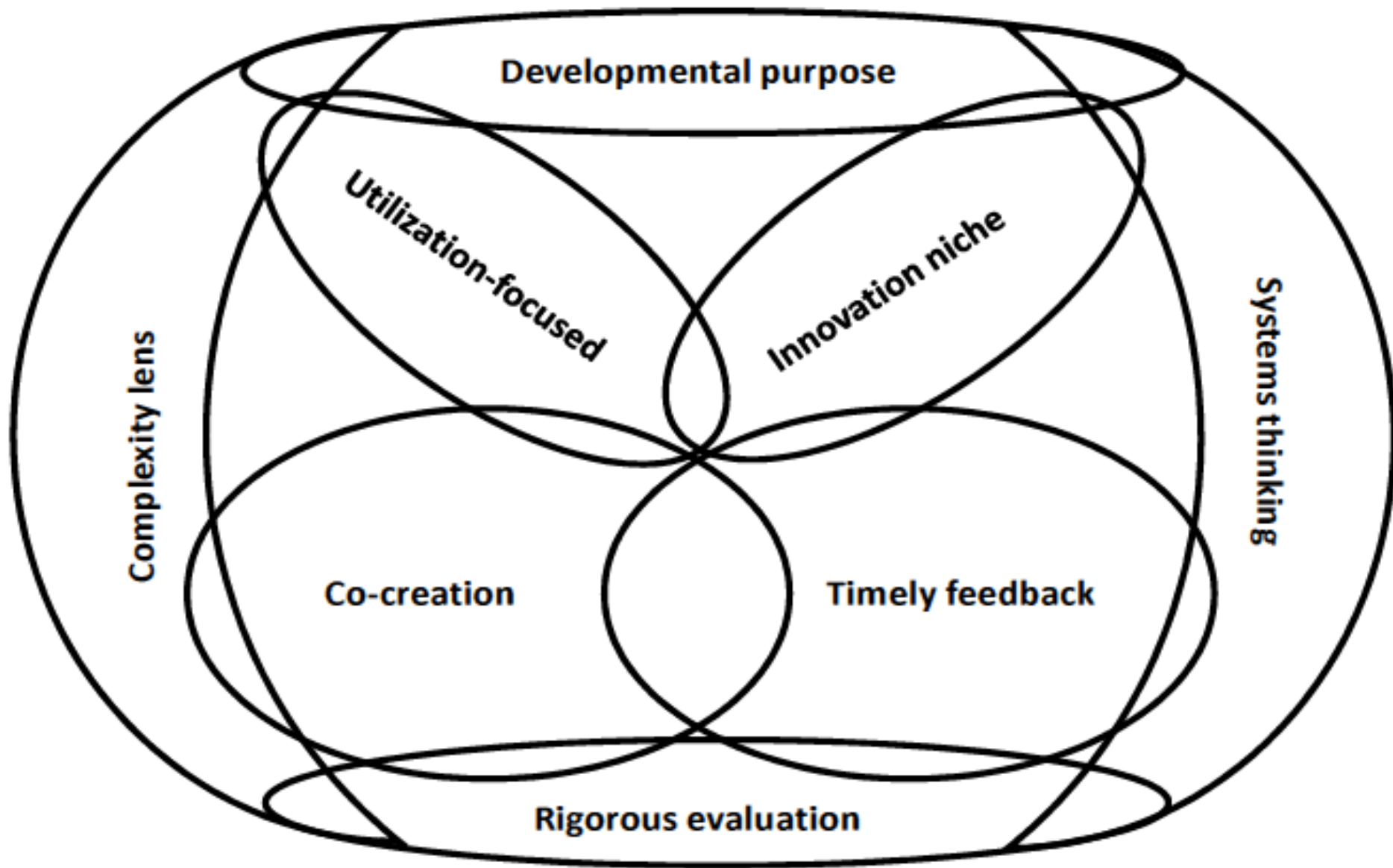


Source: From Shulha, Whitmore, Cousins, Gilbert, and al Hudib (2016, p. 194). Copyright 2016 by Sage Publications. Reprinted by permission of Sage Publications, Inc.

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***





Principles-Focused Evaluation Serving Diverse Purposes

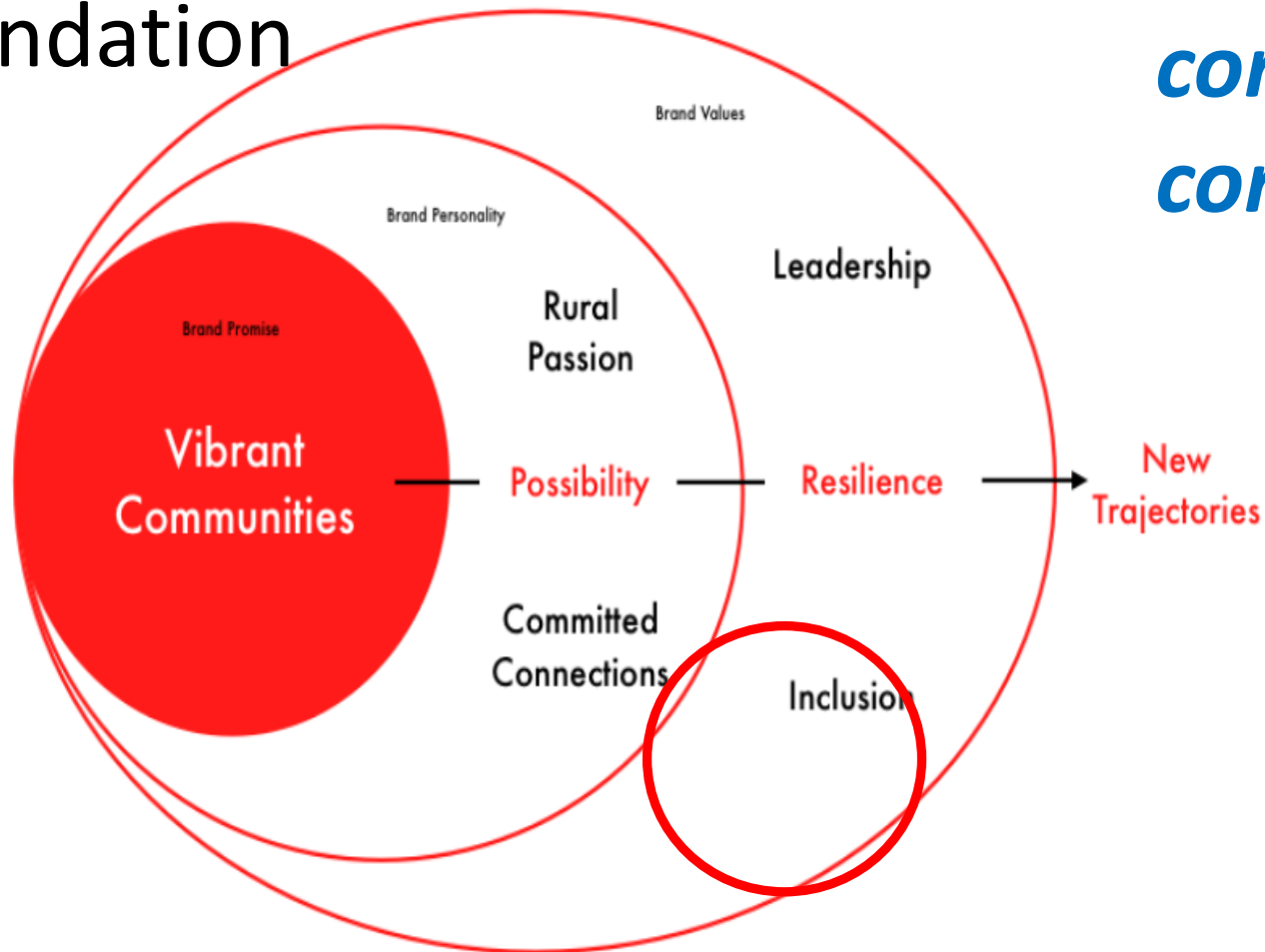
Evaluation purpose	Principles-focused evaluation questions	Concrete Examples
1. Formative evaluation	A principles-focused formative evaluation: How can the program's adherence to principles be improved?	The evaluation shows that staff in a program for homeless youth are interpreting the principle of "trauma-informed care" in different ways. Staff training to improve shared adherence to the principle is recommended.
2. Accountability	A principles-focused evaluation for accountability: Is the program following principles as specified in funding and policy mandates?	A major housing renovation project in a low income community mandates community consultation on playground and green space design. The evaluation documents the nature, extent, and types of community consultation and reports the findings in a public accountability report.
3. Knowledge-generating evaluation	A knowledge-generating principles-focused evaluation: What can be learned about the effectiveness of principles?	An online course following principles of online student engagement conducts an evaluation to gather and analyze feedback from faculty and students to generate lessons about the effectiveness of the online course principles that can be used in future online courses.

4. Summative evaluation	<p>A summative principles-focused evaluation: Are the principles currently being followed relevant and effective? Should they be maintained, changed, or dropped altogether (and replaced with “best practices”)?</p>	<p>An innovative higher education program follows learner-centered principles that give students major control over the curriculum. The evaluation gathers data from graduates and their employers about whether students learned what they needed to succeed with the</p>
		<p>findings used to judge if the learner-centered approach is working in the employment marketplace, or if a more employer-focused program should be designed and implemented.</p>

5. Developmental evaluation	A principles-focused developmental evaluation: How are principles being applied in adaption of an innovation to new locations?	A microfinance program based on women's empowerment principles is evaluated to document how the principles of empowerment are being adapted in different cultures and among women with different characteristics: younger, older; married/unmarried; with and without children; with varying degrees of education.
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Strategic Framework Blandin Foundation

Principle:
*Nurture
committed
connections*



Brand Promise - Answers the questions: Who are you? What do you do? & Why does it matter to me?

Brand Personality - Informs the tone and flavor of everything you do and say.

Brand Values - Essential ingredients of your DNA and how you create impact that simply cannot be removed from who you are aspire to be.

Reflective practice: Senior leadership team

How does being a committed connector inform and affect the Foundation's work in local communities?

- Strong committed connections cases
- Weak committed connections cases
- Cross-case analysis
- Examined pending program and initiative proposals through the lens of committed connections.
- Board reflective practice
- All-staff reflective practice
- High dosage/high impact partners RP

Lessons: 2013 Report to the Board

Principle: Nurture committed connections.

- “What we learned was that in each of our strong committed connections, the relationship with the Foundation was key. Where staff were more deeply engaged, connections were stronger and impacts were greater.
- Another insight learned was that while contributing funds was very important, it wasn’t always about the money. In other words, there were a number of successful committed connections, for which funding was minimal, that yielded positive impacts, as well as where financial contributions were significant.”

Key insights gained that help inform our work on committed connections

- Committed connections are core to the Foundation's work.
- Connections of the Foundation can take many forms, and the most impactful are those that are committed – those that last. For example:

- Connecting people to each other (individually, small groups)
- Connecting people to networks
- Connecting people to knowledge
- Connecting people to issues
- Connecting issues to issues (breaking down silos between issues)
- Connecting people to resources
- Connecting people to opportunities
- Connecting people to action (from talk to action)
- Connecting people to organizations
- Connecting organizations to each other
- Connecting people to communities
- Connecting communities to each other
- Connecting communities to regions
- Disconnecting people from ineffective or dysfunctional connections

Committed connections insights

4. Bringing people together doesn't necessarily lead to committed connections.
5. Being an effective connector is a pre-requisite for the Foundation to be effective at inclusion.
6. Committed connections is BOTH PROCESS and OUTCOMES, and the two are linked

7. The internet offers emerging opportunities for *virtual connections*:

- This is an important area for future development and developmental evaluation already underway with the Broadband Initiative and Foundation communications and information systems infrastructure. Inquiry questions going forward include: What are the opportunities for *committed connections* using web platforms? Youth virtual communities? Social media? Connecting former Itasca residents to home area? BCLP alums? How does Blandin continue to stay on top of these new developments and directions?

8. In addition to engaging in deep reflection (developmental evaluation) on our external work, we also conducted reflective practice on how we could get better at connecting with each other as the Senior Leadership Team in order to share learning and better leverage our work. Our focusing question was:

“What is shared learning?”

Committed connections insights

- We learned that we only know something when we know it together. As a result of this we committed to regular check-ins at SLT meetings to cross-fertilize connections being made and knowledge being gained.
- We asked ourselves what we needed to know together and decided that we needed to watch for trends and themes emerging in common from our separate spheres, and to better capture impacts as they occur. One way to do this is develop some simple processes for “after action reviews.”
- Monitoring these issues together is a core part of strengthening the team’s development.

The Mountain of Accountability

© Blandin Foundation

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

- Major program evaluations
- External strategic evaluation
- Board survey & feedback
- Grantee Perception Report
- Synthesis of grantees' reports
- Employee surveys

Basic Accountability for Management Processes

- Financial audits & investment returns
- Human resource performance management
- Basic management information system
- Due diligence
- Routine grantee reporting
- Community indicators for planning

Evaluating Principles

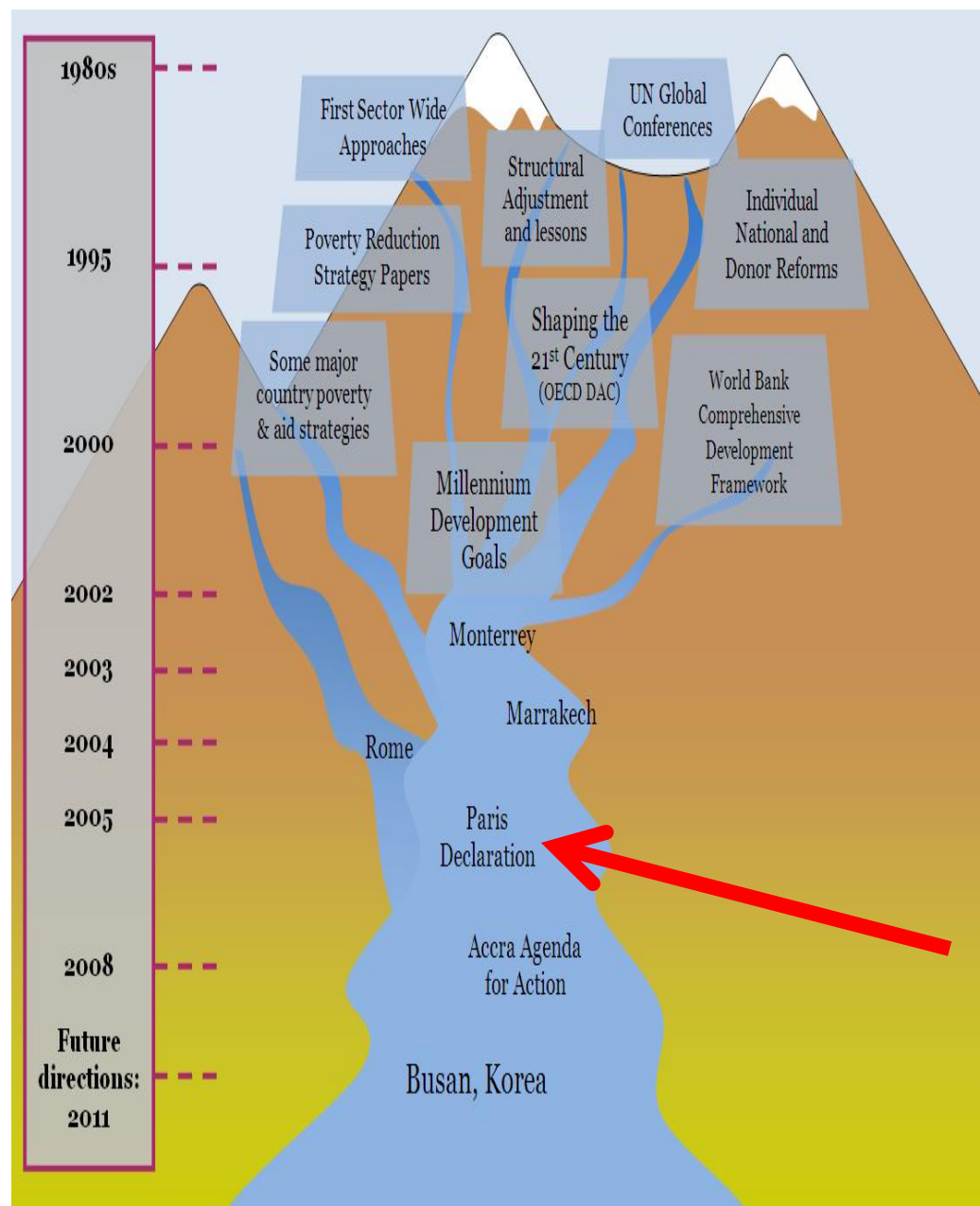
The Evaluation of the Paris Declaration

**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.*

RELEVANCE

The Paris Declaration on Aid Effectiveness was endorsed in 2005 by over 100 countries including the more developed aid donor countries like the United States, developing countries from around the world, and international development institutions like the World Bank, the United Nations Development Group, and the Organization for Economic Co-operation and Development (OECD).

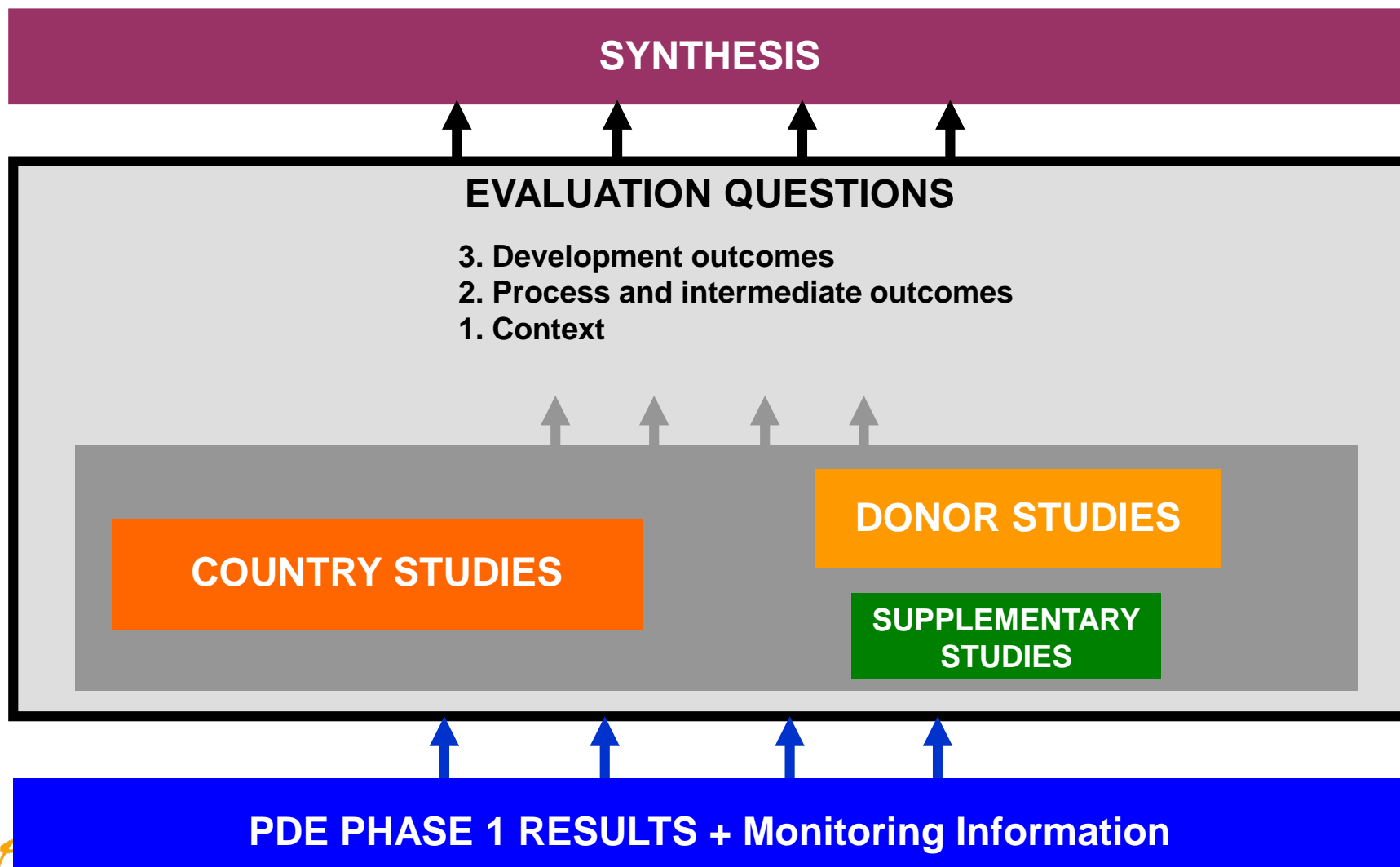
Five Paris Declaration Principles

- 1. Country ownership**
- 2. Alignment**
- 3. Harmonization**
- 4. Mutual accountability**
- 5. Managing for results**

The Key Evaluation Questions

1. **“What are the important factors that have affected the relevance and implementation of the Paris Declaration and its potential effects on aid effectiveness and development results?” (The Paris Declaration in context)**
2. **“To what extent and how has the implementation of the Paris Declaration led to an improvement in the efficiency of aid delivery, the management and use of aid and better partnerships?” (Process and intermediate outcomes)**
3. **“Has the implementation of the Paris Declaration strengthened the contribution of aid to sustainable development results? How?” (Development outcomes)**

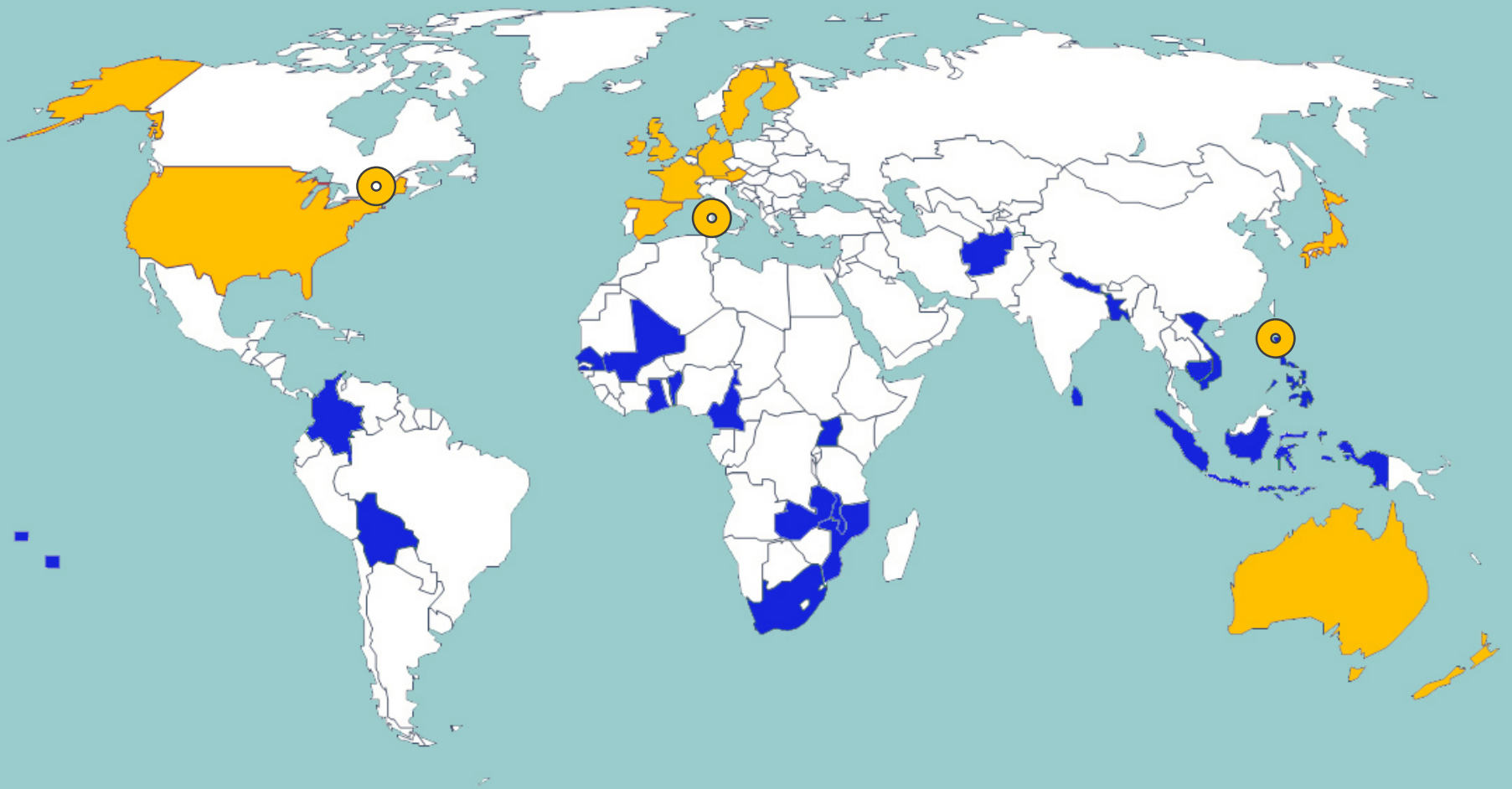
Building blocks of the Evaluation



Relationships: A joint evaluation

- **Based on the principles of the Paris Declaration: partner countries and development partners develop the evaluation framework/approach and execute the evaluation jointly**
- **The evaluation itself is a tool for mutual accountability:**
 - **22 Country-level evaluations led by partner countries and managed in-country (Phase 1=7, Phase 2=21)**
 - **18 Donor/agency HQ studies (phase 1=11, Phase 2=7)**

Relationships: Country Evaluations & Donor Studies



CORE INTERNATIONAL EVALUATION TEAM



Evaluation metrics

- Distance
- Direction
- 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.

Transparency & Dissemination:

Full reports and supporting materials

All documents from the Evaluation, including the full country evaluations and donor studies, can be found

in English, French and Spanish

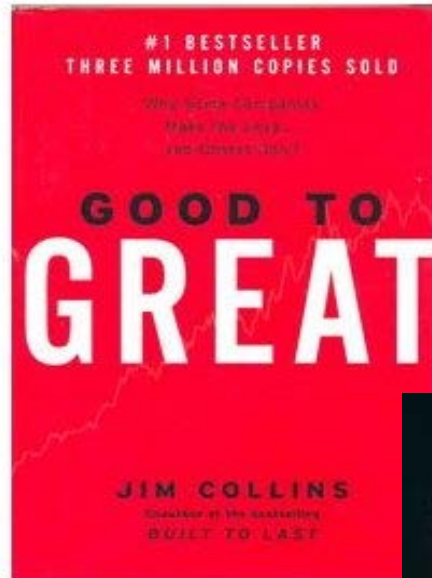
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www.busanhl4.org

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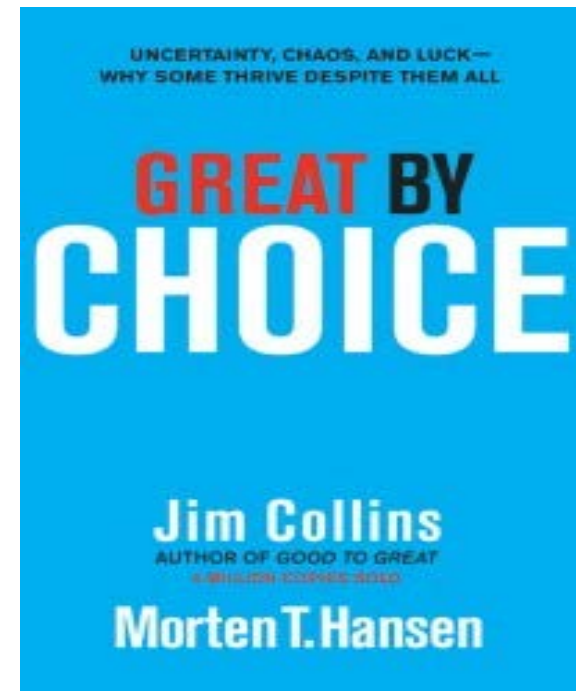
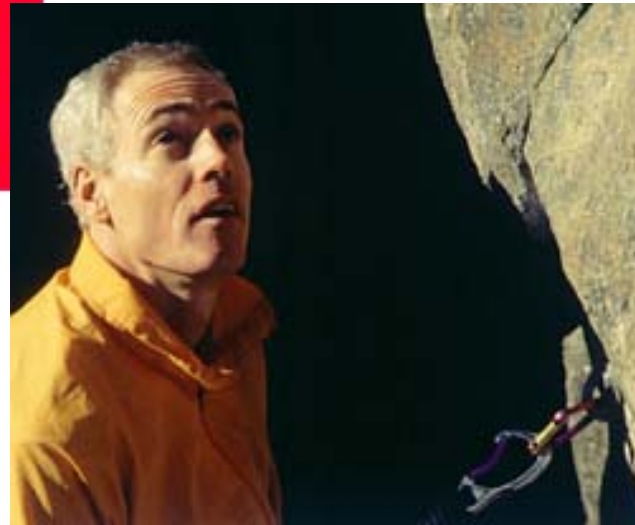
www.oecd.org/dac/evaluationnetwork/pde

These sites also have links to a number of videos illustrating key aspects of the Paris Declaration and the Evaluation



2001

PRINCIPLES



2012

GLOBAL ALLIANCE FOR THE

FUTURE OF FOOD



2ND INTERNATIONAL DIALOGUE: THE FUTURE OF FOOD IN A CLIMATE CHANGING WORLD

280 participants, 185 organizations,
42 countries, one evaluator



Global Alliance for the Future of Food

The Global Alliance for the Future of Food is a new alliance of foundations committed to leveraging our resources to help shift food and agriculture systems towards greater sustainability, security, and equity. The Global Alliance represents more than 30 foundations from 10 countries with diverse interests and expertise, spanning health, agriculture, food, conservation, cultural diversity, and community well-being.

There are a host of other people working towards similar goals on food system reform. Given the Global Alliance's unique resources, we aim to support the generation of new and different solutions at the global level that take us beyond our usual strategies, recognizing that the Global Alliance's shared actions will magnify all our foundations' individual responses.

Global Alliance Goal

The GA cultivates healthy, equitable, renewable, resilient, and culturally diverse food and agriculture systems shaped by people, communities, and their institutions.

WHAT BRINGS US TOGETHER

Participants in the *Global Alliance for the Future of Food* believe that current global food systems are not sustainable, and that many of the values upon which they are based make them an undesirable choice for the future of food on the planet, particularly when coupled with climate change and shifting global economics, politics, demographics, and diets.

HOW WE WORK TOGETHER

- Our work is guided by a set of shared principles that both express the shared values of the *Global Alliance* and provide a diagnostic, assessment, and strategic intervention tool for realizing our overall goal. The following principles express values, provide actionable direction, and encompass the change we want to make interpreted within and adapted to specific sustainable food and agricultural systems contexts:

GA Principles

1. Renewability

Address the integrity of natural and social resources that are the foundation of a healthy planet and future generations in the face of changing global and local demands.

2. Resilience

Support regenerative, durable, and economically adaptive systems in the face of a changing planet.

3. Equity

Promote sustainable livelihoods and access to nutritious and just food systems.

Global Alliance Principles

4. Diversity

Value our rich and diverse agricultural, ecological, and cultural heritage.

5. Healthfulness

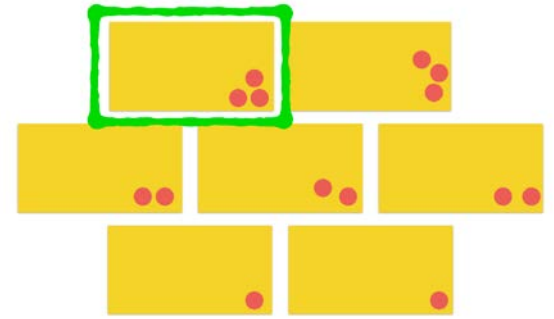
Advance the health and well-being of people, the environment, and the societies that depend on both.

6. Interconnectedness

Understand the implications of the interdependence of food, people, and the planet in a transition to more sustainable food and agricultural systems

Opening it Up

Opening it Up



Reflection – 5 Minutes

- Jot down a few questions that are alive for you about Principles-Focused Evaluation in your notebook.

Sharing – 10 Minutes

- Round 1: Quickly go around the table and have each person share one question at a time.
- Round 2 and 3: Repeat until the facilitator tells you time is up!

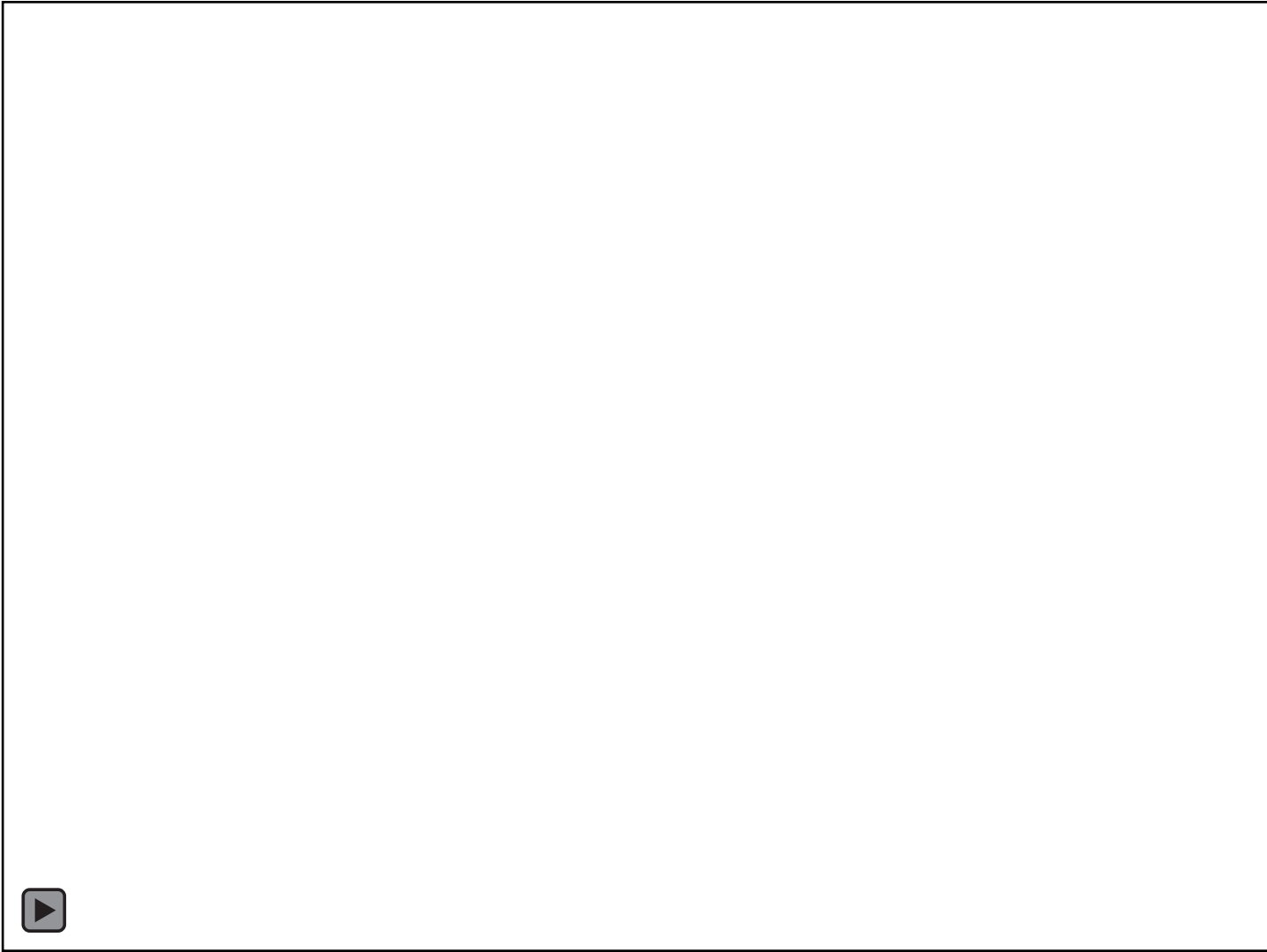
Picking – 5 Minutes

- Designate one person as the ‘card master.
- Pick up to three questions that the group feel are most significant.
- Be prepared to share your cards with Tamarack staff.

Closing Tribute to Principles

Leonard Cohen, 1934-2016





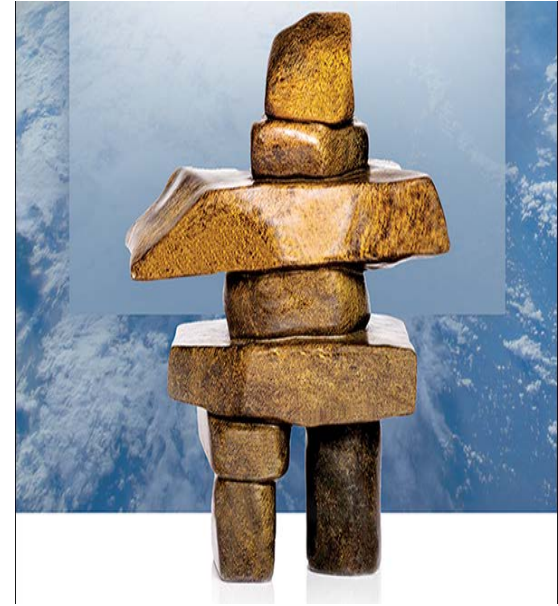


Principles-Focused Evaluation Hallelujah

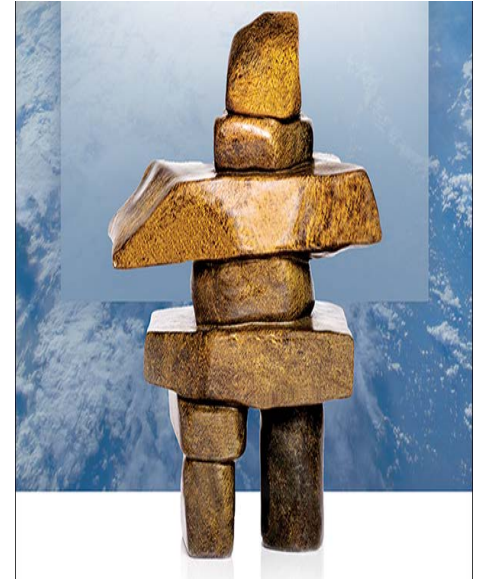
Principles-Focused Evaluation

Hallelujah

Evaluating principles,
What they mean to whom;
Adherence and results
Are the big questions.
And in this quest, there is no best,
No one way that works everywhere
Adapting work to context really
matters.



**Evaluation,
Evaluation,
Principles-focused,
Evalu-aaaaa-tion...**



“Best practices” sound good to get,
But adapting to context ensures fit,
Prin-ci-ples can GUIDE that adap-ta-tion.

Respect diverse people and places,
Focus for study, systems cases,
Treating principles seriously amazes.

Evaluating,
Systems changes,
Principles-focused,
Evalu-aaaaa-tion...



So let a thousand flowers bloom,
Innovations to counter doom,
Find tipping points of complex
interactions.

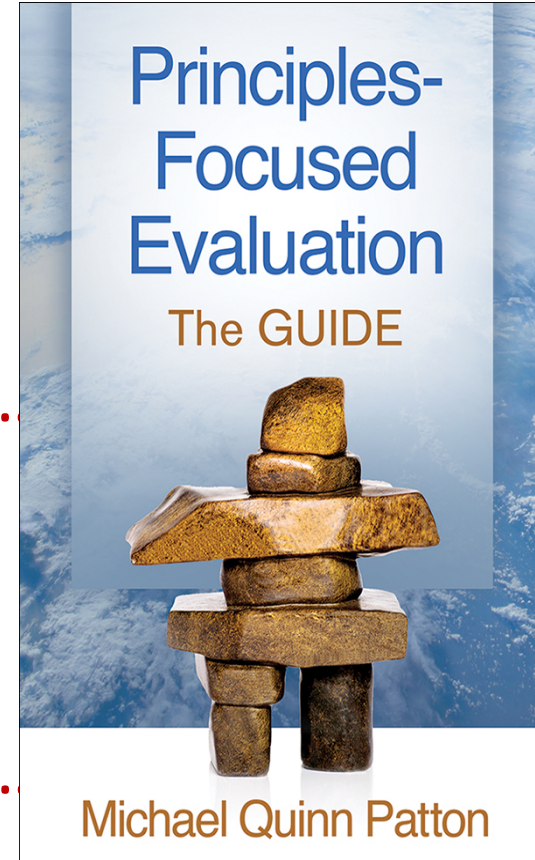
With GUIDE to guide us we can say,
We celebrate principles on this day
For principles-driven leaders
Hallejulah!

x

Evaluating
Innovations,
Principles-focused,
E-val-u---aaaa--tion.

Evaluation,
Hallelujah,
Principles-focused,
E-val-u---aaaa--tion.

...



Leonard Cohen, 1934-2016



Principled Evaluation, ~2018 -

Principles- Focused Evaluation

The GUIDE



Michael Quinn Patton