

Preface

Program evaluation is a relatively young discipline in the formal sense of systematically collecting data for the purpose of informing decision making. However, because program evaluation builds on many other disciplines (e.g., social science, statistics), evaluators have a long history of scholarship and practice to inform their work. This text explores the philosophical and theoretical roots of evaluation and builds a bridge between those roots and evaluation practice.

The text is divided into four major sections: Part I, “The Landscape of Evaluation”; Part II, “Evaluation Paradigms, Branches, Theories, and Approaches”; Part III, “Planning Evaluations”; and Part IV, “Implementation in Evaluation: Communication and Utilization of Findings, Management, Meta-Evaluation, and Challenges.” The four parts provide a logical and somewhat linear flow in that they start with an explanation of the meaning of evaluation and its historical roots; move to philosophical and theoretical orientations that provide guidance for thinking about evaluation; and then cover the specifics of planning, implementing, and using evaluations. You can use Part I to get an overview of the field, Part II to get an understanding of historical and contemporary philosophical and theoretical perspectives and to take the initial steps for planning an evaluation, Part III to engage in detailed planning of an evaluation, and Part IV to gain specific insights into the implementation and use of evaluations. Thus, the text is intended to provide a broad understanding of the evaluation field, as well as to provide the tools necessary to engage in planning and implementing evaluations.

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

In Part II, the focus shifts from the broad evaluation landscape and the evaluand to the philosophical and theoretical positions that have developed within the evaluation commu-

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

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

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

Intended Audience

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

Pedagogical Features

- Each chapter begins with reflective questions to prepare you for reading the chapter and to serve as a guide as you move through the chapter.
- Chapters include sections entitled "Extending Your Thinking" that include questions and activities to enable you to go beyond the information given in the chapter.
- Maps are provided in most chapters to guide you as you progress through your learning of different evaluation approaches.

- Examples of evaluations are included from many sectors and disciplines. The evaluators for many of the evaluations offer reflective commentary based on their experiences. Their commentary is designed to provide direction to those of you who are novice evaluators.
- You can use this book as a guide to develop an evaluation plan for a specific project or program.
- A glossary of terms is included at the end of the book. Terms that are specific to the evaluation field appear in **boldface font** when they first appear in the text. These are the terms that can also be found in the glossary.
- A website is available that provides online resources that align with the book's chapters. These include additional examples of evaluation studies, logic models, and guidance documents to enhance evaluation planning and practice.

What's New in the Third Edition?

The philosophical frameworks used in evaluation have been enhanced. Older editions included four frameworks: postpositivist, constructivist, pragmatic, and transformative. This third edition adds the Indigenous paradigm as a framework to guide thinking when working with Indigenous communities. Many of the sample studies have been updated, and a few additional approaches to evaluation have been added: for example, multisite evaluations and evaluations informed by systems theory and complexity theory. Much more information is provided about logic models, cost–benefit evaluations, and mixed methods designs and their implications for sampling, data collection, analysis, and reporting. New information is also provided on the topics of data collection technologies and new methods of qualitative coding. References to the Sustainable Development Goals were updated to reflect changes in the international development community's commitment to global change. The uses and challenges associated with artificial intelligence are discussed in this edition. There are more tables defining evaluation terms and the glossary has been enhanced. Many web-based resources have been added and are now available at the book's companion website, allowing readers to see examples of evaluation studies, logic models, management plans, and evaluation budgets, along with additional evaluation studies.

Personal Notes

The three of us represent different stances regarding evaluation. Donna M. Mertens has been immersed in the field of evaluation since her early days in graduate school at the University of Kentucky College of Medicine, followed by several years working with the Appalachian Regional Commission on the evaluation of professional development programs that used one of the first National Aeronautics and Space Administration (NASA) satellites as a delivery mechanism for residents of the Appalachian Mountains, stretching across a 13-state region from New York to Alabama. She moved from there to Ohio State University when that institution hosted the National Center for Research in Vocational Education. While at Ohio State, she conducted a good deal of policy research and a few evaluation studies for different agencies, such as the Peace Corps. She then did a short stint at Xerox International

Training Center, evaluating its sales training program. Finally, she found a professional home at Gallaudet University in Washington, DC, the only university in the world with the mission to serve Deaf and hard-of-hearing students at the undergraduate and graduate levels. She retired from Gallaudet University in 2015 and now pursues an active professional life consulting about evaluations across the globe and, of course, continuing to write about methodological issues and social justice. During her over five decades of work in evaluation, she has had many opportunities to conduct and consult on evaluations, as well as to contribute to the development of evaluation capacity in many communities around the world. Given her lengthy experiences in the world of evaluation, you will find many personal reflections throughout the book (indicated by the personal pronoun “I”) about the various stages and ages of evaluation.

Jori N. Hall has been in the field of evaluation since her time as a graduate student at the University of Illinois Urbana–Champaign (UIUC). There, Jori met her mentor, Jennifer C. Greene. Greene introduced Hall to the field of evaluation through courses on evaluation theory and mixed methods in social science research and grant work funded by the National Science Foundation focused on the conceptualization and implementation of the educative, values-engaged evaluation approach originally developed for STEM (science, technology, engineering, and mathematics) educational programs. In addition to being informed by the educative, values-engaged approach, Hall’s orientation to evaluation is also informed by culturally responsive evaluation. UIUC’s Center for Culturally Responsive Assessment Evaluation has provided a strong resource and professional community to nurture Hall’s culturally responsive orientation that is committed to addressing inequities. For over 15 years, Hall has conducted evaluations in various fields with historically minoritized communities and taught graduate-level courses on culturally responsive evaluation, evaluation theory, and mixed methods. Guided by her extensive training and collaborative experiences, Hall brings a values-engaged, culture-oriented lens that contributes to responsive, rigorous, and innovative evaluation theory and practice.

Amy T. Wilson taught Deaf high school students for 12 years; the programs in which she taught were evaluated by the state, the county special education evaluation office, and the school administrators. For 20 years, she engaged in international program development, conducting evaluations in various venues around the world, teaching graduate students, and training people from underserved communities. She brings the dual perspectives of program developers and users of evaluation to this work.

Acknowledgments

We wish to thank our students and colleagues at Gallaudet and around the world who have allowed us to partner with them in the pursuit of better ways to conduct evaluations and develop programs. They have challenged us, taught us, and helped us extend our own thinking about evaluation. I (Donna Mertens) want to thank the young people I have been mentoring to expand the bench in the evaluation field to be more inclusive and supportive of BIPOC (Black, Indigenous, people of color) evaluators, including Gail Solit, Tamarah Moss, and Lisa Sargent, for bringing in a breath of fresh air and new ideas. We also want to thank C. Deborah Laughton, Publisher, Methodology and Statistics, at The Guilford Press, as well as other Guilford staff members who have supported the production of this book (particularly Anna Nelson, Senior Production Editor). As we recognize that evaluation is

a continually developing field, we express appreciation for the comments of reviewers who provided us with ideas for making this text more responsive to readers' needs, including Juan C. Gonzales, Educational Leadership, The University of Texas at Austin, Austin, Texas; Kristen Koskey, Co-Director, Methods Lab, Drexel University; Dorothy Skierkowski-Foster, Clinical Psychology, University of Rhode Island; Adriana Cimetta, Educational Psychology, University of Arizona; and Christopher Gareis, Educational Leadership, College of William and Mary. A large number of evaluators provided us with invaluable comments about their own work that they believe will be helpful for the reader; this interaction has enriched our relationships with them and allowed us to offer a broad base of wisdom in this book. Finally, we wish to thank our friends and families for their support as we engaged in preparing to write this book—both over our lifetimes and during the period of time in which the writing actually occurred.

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CHAPTER EIGHT

Working with Stakeholders

Establishing the Context and the Evaluand

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

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

Identifying Stakeholders, Rights Holders, and Duty Bearers

Once the initial contact has been made between a client and an evaluator, both parties need to consider who needs to be involved in the process of planning the evaluation. As defined in Chapter 1, stakeholders are people who have a stake in the program. Rights holders are like stakeholders. Two important points: In international development, rights holders are usually those who the program intends to serve, and the term “duty bearers” is used to describe those stakeholders who fund or manage programs (UN Women, 2022a). In Indigenous

communities, rights holders are distinguished from stakeholders because recognized Indigenous tribes or nations have legal authority through treaties (Joseph, 2023). In this chapter, the generic term “stakeholder” is used with full awareness that in some contexts, it is more appropriate to use “rights holders” or “duty bearers.”

Stakeholders fund, administer, provide services, receive services, or are denied access to services. It is usually wise to spend some time and effort thinking about which stakeholders need to be included at the very beginning; this can help avoid political disasters at the end of evaluations if the proper people were not involved. On a more positive note, the quality of the evaluation will be enhanced with representation of diverse interests, especially by inclusion of traditionally marginalized groups. Appropriate stakeholders are sometimes identified by default, such as those who have power in positions related to the evaluation. The selection of stakeholders can also be an evolving process, with some stakeholders identified early in the process and others added as the relevant issues become clarified. In relatively small projects, the identification of stakeholders may be fairly straightforward. However, in larger projects, strategies for the selection of representatives from stakeholder groups will probably need to be employed.

Identification of stakeholders is context specific. Two lists of categories of stakeholders are displayed in Box 8.1; these lists will give you an idea of how many and what types of diverse groups can be considered in identifying stakeholders.

- The first list is based on a study of projects specifically focused on substance abuse prevention (Substance Abuse and Mental Health Services Administration, 2019).
- The second list of stakeholders is based on the UN Women’s (2022a) *How to Manage Gender-Responsive Evaluations: Evaluation Handbook*, which details how evaluations should incorporate principles of gender equality, women’s rights, and the empowerment of women in all initiatives they support and fund. Box 8.1 lists groups of stakeholders that UN Women and all UN agencies identify and include throughout the evaluation processes. They recognize roles for different groups of stakeholders: rights holders, duty bearers, and evaluation management.
- Revisit Box 7.4 to see how Clarke et al. (2022) constructed two similar groups: an evaluation steering committee (federal, state, and local Indigenous representatives involved in the planning and implementation of the evaluation) and an evaluation working group (more Indigenous community members and elders who provided insights on cultural protocol and interpretation of data).

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

Box 8.1. Two Samples of Stakeholders for Evaluations, Listed by Category

Substance abuse prevention (based on Substance Abuse and Mental Health Services Administration, 2019)

- Treatment providers
- Local businesses
- Law enforcement
- University and research institutions
- Health-care providers
- Neighborhood and cultural associations
- Local governments
- Faith communities

Gender-responsive evaluation handbook (based on UN Women, 2022a)

Rights holders as participants in the programs and members of an evaluation reference group:

- Women and men
- Nonbinary people
- Vulnerable groups, such as Indigenous peoples, persons with disabilities, LGBTQI+ persons
- Intended or unintended beneficiaries (through civil society organizations or as individuals)
- Those affected negatively by the intervention

Duty bearers and evaluation management group members:

- UN Women staff and, in the case of joint evaluations, must also include non-UN Women staff
- Senior management
- M&E officers or focal points
- program, managers
- In the case of joint evaluations, representatives of the partner entities
- Regional evaluation specialists
- Governing boards

..... EXTENDING YOUR THINKING

Identifying Stakeholders

1. Machik is an NGO that is building new opportunities for education and training with Tibetans living in a small, isolated village in a deep valley. With support from donors, they have opened the Ruth Walter Chungba Primary School in this rural community. Imagine that Machik has asked you to evaluate the impact the school has made on the community. You need to decide with the school authorities and the donors who the stakeholders are in this community. Who would you ask to participate in this study, and why? (Read about the school and watch a video at this website: www.machik.org/our-history.html.)

(continued)

2. You have been hired by a school system to evaluate a new reading program for use in elementary schools. How would you begin your identification of appropriate stakeholders for this evaluation?

Human Relations

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

- Methods Branch evaluators tend to favor having a *distant relationship*, in the belief that this will protect the evaluator from developing biases toward particular stakeholder groups.
- Use Branch evaluators see the necessity of *forming a relationship* with the stakeholders who are the primary intended users so the evaluator can be responsive to their needs and thus enhance the possible use of the findings.
- Values Branch evaluators believe that the evaluator *needs to be involved with the community sufficiently* to reveal the viewpoints of different stakeholder groups accurately.
- Social Justice Branch evaluators *directly address differences in power between themselves and various stakeholder groups*, with a conscious awareness of the need to include the full range of stakeholders, especially those who have traditionally been excluded from decision-making positions, into the process.
- Needs and Context Branch evaluators *prioritize following appropriate cultural protocols*, consulting elders, and being inclusive of the diversity within their communities.

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

..... EXTENDING YOUR THINKING

Human Relations Skills for Evaluators

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

Human beings are in a relationship to each other and that relationship includes both cognitive and emotional dynamics. The interpersonal relationship between the evaluator and intended users matters and affects use. That interpersonal relationship is not just

intellectual. It is also political, psychological, emotional, and affected by status and self-interest on all sides. What the astute evaluator has to be able to do, which includes the essential competencies to do that, is to be able to engage in relationships. (p. 25)

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

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

Now answer the following questions:

1. What do you think about these two positions?
2. What merits do their arguments have?
3. Do you personally agree with one more than the other?
4. What are your reasons for your own positioning on the topic of human relations skills in evaluation?

Interacting with Stakeholders

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

Lessons from the Māori

Cram (2009) and Smith (2012), who work in the Indigenous Māori community in New Zealand (Aotearoa), have provided guidance to the meaning of Kaupapa Māori (which means “a Māori way”). Kaupapa Māori can be applied to many aspects of life; it implies

the development of a relationship that is respectful of Māori cultural, social, and economic well-being. Cram (2009) provides a list of cultural values that she translates into expectations for evaluators' interactions in their community. These include the following:

- *Aroha ki e tangata* (respect for people). Evaluators establish relationships with people via situating themselves within the history of the community (genealogically, if possible; through personal connections if no genealogical link is present), with the assistance of the community elders. Another aspect of respect for people is to be knowledgeable about appropriate rituals in terms of entering the community (such as who to contact, how to approach people, bringing of gifts, etc.).
- *He kanohi kitea* (a voice may be heard, but a voice must be seen). Māori people expect that an evaluator will come into their community to allow the community members to see for themselves who this person is. Community meetings, called *hui*, are often used as a forum for evaluators to meet stakeholders, explain the study, and ask permission to proceed.
- *Titro, whakarongo . . . korero* (watch, listen . . . talk). An evaluator shows respect for Māori people by listening to what they say before he/she talks. This process of first looking and listening conveys the value that the evaluator places on the contributions of the community members.
- *Manaaki kit e tangata* (looking after people). In the context of the evaluation, the essential meaning of this concept is that the evaluator establishes a reciprocal relationship with the stakeholders. The stakeholders are providing access to their community and information in the form of data; the evaluator can offer small gifts or services, capacity-building activities, networking, and access to the evaluation findings.
- *Kaua e takahia te mana o te tangata* (do not trample on the *mana* [authority] of the people). Māori people want to know what an evaluator is saying about them before the results are released outside the community. As most communities would, the Māori do not want to be portrayed as having something wrong with them (a deficit view). Rather, they want to be portrayed in a balanced way, with both their strengths and their challenges.
- *Kia mahaki* (be humble). An evaluator should share the results with the Māori community in a way that helps the community take action on its own behalf. The community members can be provided with the tools necessary to fight for their own rights and challenge oppressive systems.

..... EXTENDING YOUR THINKING

Māori Cultural Values and Evaluation

1. Reciprocity is seen as valuable in evaluations conducted in the Māori community. How would this principle translate to evaluation situations outside the Māori community?
2. What is your opinion with regard to the implications of applying these Māori cultural values in other evaluation contexts?

3. What could evaluators learn about the establishment of relationships with stakeholders from these Māori cultural values?
4. What might some evaluators find objectionable concerning the Māori's expectations of the evaluators' interactions in their community? Why would they object?
5. What do you know about yourself that might enhance or inhibit your ability to work in an evaluation context that requires attention to and respect for cultural values and backgrounds?
6. Symonette (2004) suggests that evaluators need to be aware of who they are themselves, as well as who they are in relation to community:

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

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

Power and Privilege

Power and privilege are concepts discussed in prior chapters. Here the emphasis is on (1) strategies for evaluators to use to bring themselves and the communities with which they work to consciousness about the dynamics of power and privilege as well as (2) meaningful ways to engage those who have traditionally had less power in evaluation contexts. Hall (2020) reminds us that evaluation is a profession that is inherently associated with a space of power and privilege. Evaluators work to produce knowledge; they exercise methodological practices that generate knowledge. If their power in this situation is not critically scrutinized, it can produce or sustain inequities. Thus, evaluators need to turn a critical eye toward how they use their power and privilege and how they engage with stakeholders to challenge their own assumptions and cultural biases. Hall suggests these strategies to facilitate this critical process:

- Evaluators can deliberately include activities that support critical reflexivity such as journaling or reflecting on questions such as, How have my reflections served to challenge or solidify my position or power/privilege?
- Engage with the members of marginalized groups in ways that explicitly ask about their values, beliefs, issues, and queries. Integrate an understanding of contextual and historical factors into interactions with members of these groups.
- Integrate strategies for members of marginalized groups to express who they are and how they want to be identified. Also, identify how members of marginalized groups want to express their feelings, ideas, and reactions to the program.

Revisit Maleku et al.'s (2021) (Box 6.9) study with African refugees to see an example of how a transformative participatory approach addressed issues of power and privilege.

..... EXTENDING YOUR THINKING

Power and Privilege

1. How do we understand the dynamics of power when participatory methods are employed by the powerful?
2. Whose voices are raised, and whose are heard?
3. How are these voices mediated as issues of representation becoming more complex with the use of participatory methods in larger-scale planning and consultation exercises?
4. The culturally responsive approach to evaluation places emphasis on matching the characteristics of the evaluation team with those of the community, particularly in terms of race. CRE evaluators observe that data may not be valid if they are collected by people who are not attuned to the program's cultural context. What if you are a member of the community? How does that prepare you to work in that community? What if you are not a member of a community? To what extent is it necessary to share salient characteristics of a community?
5. When evaluators enter a community, they may find that they hold power in a way they have not before. For example, an elderly female evaluator may be more respected in this community than in her home culture. List situations where you must be cognizant of the increased or decreased power you hold as a result of personal characteristics that may affect your relationship with the stakeholders (race, religion, language, disability, hearing status, age, gender, education, ethnicity, sexual orientation, etc.).

Developing Partnerships/Relationships/Coalitions

Forming partnerships or relationships in evaluation generates ethical considerations that are different from those that are associated with evaluations in which the evaluator does not actively engage with communities. Montreuil, Bogossian, Laberge-Perrault, and Racine (2021) reviewed the literature on ethical considerations in participatory action research with children and youth. Their list of ethical considerations and suggested strategies to address them has relevance for evaluators using participatory strategies in their evaluations, no matter what the age of the stakeholders. They identified these considerations:

- **Power dynamics:** Evaluators need to recognize their own power and how they can use strategies that allow for the stakeholders to have power in planning and implementing the evaluation. If the evaluators are adults and the stakeholders are children, this can be even more challenging.

- Supportive environments: Provide safe and comfortable environments for the stakeholders that are culturally and age appropriate (e.g., for children it might be a playroom).
- Value the knowledge and experience of stakeholders: Uplift the knowledge and experience that comes from meaningful engagement.
- Recognize capabilities: The competencies brought by children and other community members are essential if the evaluation is going to address the authentic concerns of the stakeholders.
- Cultural responsiveness: Recognize the diversity within the cultural groups and be responsive to the cultural protocols and social norms while still challenging those norms that are oppressive.
- Advocacy: Build the capacity of the stakeholders to advocate for what is best for their communities and to be able to sustain their efforts for change when the evaluation is ended.

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

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

Coalitions

Transformative evaluators embrace the goal of social change toward increased justice. To this end, they have written about how to organize groups of stakeholders to support engagement through the full process of the evaluation (Mertens, 2023d; Wolfe et al., 2020; Miller, 2020).

Sometimes advisory groups are assembled to inform the process of the evaluation, with their longevity tied to the length of the evaluation. However, Wolfe et al. (2020) furthered thinking about the place of **coalitions** in evaluation to address public health and social problems in evaluation. Some funding agencies, such as the Health Resources and Services Administration Healthy State Program, the Centers for Disease Control and Prevention, and the Substance Abuse and Mental Health Services Drug Free Communities, require that projects include community coalitions. These coalitions are typically used to inform the development and implementation of an intervention; however, they can also be included as part of the evaluation process. Community coalitions generally have a life beyond the evaluation and thus have the potential to contribute to the sustainability of the evaluated intervention.

Miller (2020) (see Box 6.8) served as an evaluator for a project to improve health services for gay and bisexual men and trans women in countries in which manifestation of same-sex behaviors is punishable by prison or death. The project was led by an advocacy group that then formed a coalition with nine collaborating identity groups. Throughout the evaluation, this coalition participated in decision making about the evaluation, development of data collection instruments, collection of data, and use of the data. In this way, the coalition members increased their skills in evaluation and advocacy and were able to be part of the sustainability of the project outcomes. The members of the coalition did not disband at the end of the evaluation. They continued to meet as a coalition to influence the provision of health care for their community.

Capacity Building

Evaluators can also work with community members on **capacity building**. The capacity building can be reciprocal in that the evaluators have knowledge and skills to teach from their perspective and the community members have knowledge, skills, and attitudes to teach from theirs. Teams of evaluators can be formed that allow strengths from all sides to be represented in the evaluation planning. One challenge with this approach arises from concerns about confidentiality and anonymity, especially in small communities where identities can be recognized readily.

Clarke et al. (2022) noted their capacity building activities in their evaluation of a wellness program for older American Indians, Alaskan Natives, and Native Hawaiians (see Box 7.4). The evaluation team leaders first recognized the value of the knowledge brought by community members in developing their strategies for community interactions. They also held an information meeting to explain the evaluation and recruit community researchers who wanted to learn more about evaluation.

We provided training for the Evaluation Working Group on topics such as participant recruitment, incentives, data collection, and an overview of protecting participants' rights. . . . We began by conducting an evaluation capacity and needs assessment and then implemented evaluation TTA [training and technical assistance] to support data collection, empower and build local evaluation capacity, and support the use and dissemination of evaluation findings. We refined TTA approaches to meet specific grantee requests and needs, such as requests for hands-on, interactive training; practical tips for integrating evaluative practices into local programming; and user-friendly evaluation materials and tools. (Clarke et al., 2022, p. 493)

They had three strategies that were devised to reflect the culturally responsive Indigenous approach to capacity building: each community researcher was assigned a culturally responsive evaluator as a liaison throughout the evaluation; additional training was provided via on-site visits; and they held in-person and virtual training sessions.

..... EXTENDING YOUR THINKING

Developing Partnerships, Relationships, and Coalitions

Think about the evaluation you intend to plan.

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

The Evaluand and Its Context

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

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

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

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

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

Here is an example of contextual data from the CIPP evaluation of mathematics instruction (see Qadriah et al., 2022, Box 4.6) conducted in Indonesia. The evaluand is the mathematics instruction at an elementary school that is a “madrasa that balances students’ science and technology abilities with faith and piety” (p. 437). The school had six classes at each grade level with about 26 students in each class. There are three mathematics teachers, and they are knowledgeable about the curriculum content standards and guidelines. The curriculum standards detail the material that students must learn each year in school. There are clear objectives for mathematics instruction, and teachers have the ability to measure student progress on these objectives.

..... EXTENDING YOUR THINKING

Questions about Context

Reflect on the excerpt of Rog’s (2009) explanation of context and the discussion of contextual variables in this section. Now return to the sample studies summarized in boxes in Chapters 3–7. Use the questions listed earlier in this section to analyze relevant contextual variables in at least one sample study. Think about how the authors either considered or did not consider these contextual variables.

Sources That Inform the Identification of the Evaluand and Context

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

- Funding agencies establish priorities and provide information in requests for proposals (RFPs) about the context and the program that needs to be evaluated. Another version of a funding agency request is a request for a program to be developed with the requirement for an evaluation plan in the proposal.
- Traditional scholarly literature reviews can provide valuable information about the context and the evaluand in terms of what is already known about the setting and the program. This type of resource is generally found through databases of articles available in university and sometimes community libraries or online for a fee.
- Theoretical frameworks for evaluation approaches can provide guidance regarding the variables that are important (e.g., an Indigenous evaluation will emphasize specifics of the targeted culture), as well as a basis for decisions about appropriate components of a program. Theoretical frameworks can inform the evaluator and stakeholders about power differences on the basis of race/ethnicity, gender, sexual identities, disabilities/deafness, religion, class/socioeconomic status, and other characteristics associated with discrimination and oppression.
- Web-based resources are now available (sometimes overwhelmingly!). Here, an evaluator can read about past evaluations, recommended evaluation strategies for this type of evaluand, and relevant contextual factors. Web-based resources can also include databases such as those posted by the U.S. Census Bureau (www.census.gov), the Central Intelligence Agency (CIA) and their World Factbook (CIA, 2024) (www.cia.gov/the-world-facebook), the U.S. Department of Education's evaluation reports (www.evaluation.gov/agencies/department-of-education), and USAID's Development Experience Clearinghouse evaluations. (<https://dec.usaid.gov/dec/home/Default.aspx>)
- "Grey literature" (i.e., that which is not published) can be a valuable resource, especially to gain the perspectives of those who have not been in the privileged scholarly or technological circles that would be represented in the first several strategies. This literature can include program-produced documents such as brochures, project reports, self-studies, past evaluations, conference papers, policy statements, newsletters, newspapers, fact sheets, and more.
- Group and individual strategies can be used, such as interviews, surveys, focus groups, concept mapping, and outcome mapping, as well as Indigenous methods based on traditional community meeting ceremonies and rituals.
- Advisory boards are commonly used to guide evaluators throughout the process of planning and implementing an evaluation.
- New technological tools such as satellite imagery and mapping can be used to provide valuable contextual information about the locations of roads, buildings, services, and natural terrain.

We discuss all these strategies in more detail in the following.

Funding Agencies

Funding agencies typically include government agencies and foundations. The U.S. government has a website that lists opportunities to apply for billions in dollars in federal monies from over 1,000 different programs (www.grants.gov). In addition, many agencies offer their own funding opportunities on their websites (e.g., the U.S. Department of Education). Obtaining funds from federal agencies usually brings a fairly prescriptive set of requirements for how the funds can be used. On the other hand, foundations also offer many potential funding opportunities through a web portal (<https://candid.org/find-non-profit-funding?fceref=pg>); larger foundations offer such opportunities at their own websites. Foundations tend to have priority interest areas, but they are generally more flexible than government granting agencies. Box 8.2 provides contrasting statements from RFPs from a federal agency and a foundation.

Box 8.2. Government and Foundation RFPs

The National Institutes of Health (2022), part of the U.S. Department of Health and Human Services, offers funding for an evaluation of obesity reduction programs; they specify the following requirements:

This Funding Opportunity Announcement (FOA) establishes an accelerated review/award process to support time-sensitive research to evaluate a new policy or program that is likely to influence obesity related behaviors (e.g., dietary intake, physical activity, or sedentary behavior) and/or weight outcomes in an effort to prevent or reduce obesity. This FOA is intended to support research where opportunities for empirical study are, by their very nature, only available through expedited review and funding. All applications to this FOA must demonstrate that the evaluation of an obesity related policy and/or program offers an uncommon and scientifically compelling research opportunity that will only be available if the research is initiated with minimum delay.

The plan for collection of baseline and follow-up data must be feasible.

Primary outcomes under study must be assessed using objective measures or, in the case of dietary intake, by using standardized and comprehensive 24 hour recall methods. Examples of acceptable primary outcomes include objective measures of behavior change, such as purchasing behavior, use of resources intended for physical activity, energy intake with a focus on lowered calories or lower calorie substitutions, activity changes such as reduced sedentary behavior or increased physical activity) and/or weight related variables (e.g. BMI, body composition). Other self-reported measures of dietary intake and physical activity can be included but should not be the primary outcome measure/s.

Where possible or relevant, grant applications should include secondary outcomes that evaluate potential unintended consequences of a policy or program, degree of implementation, and an assessment of barriers and facilitators associated with implementation. This includes measures that will help identify why the policy or program succeeds or does not succeed.

This funding opportunity announcement encourages innovative scientific partnerships between researchers and public partners (e.g., community-based organizations, local governments, school districts, employers). Where appropriate, agreements must also be in place that allow for unrestricted publication of findings regardless of study outcomes.

They provide a link for additional information (<http://grants.nih.gov/grants/guide/pa-files/PAR-21-305.html>).

The Robert Wood Johnson Foundation (2021) supports increased racial equity through their program:

Evidence for Action prioritizes research to evaluate specific interventions (e.g., policies, programs, practices) that have the potential to counteract the harms of structural and systemic racism and improve health, well-being, and equity outcomes. Our focus on racial equity means we are concerned both with the direct impacts of structural racism on the health and well-being 1 Racial equity refers to the conditions in which race or ethnicity no longer predict a person's ability to live a healthy life. 2 OF 8 of people and communities of color (e.g., Black, Latina/o/x, Indigenous, Asian, Pacific Islander, and other races and ethnicities), as well as the ways in which racism intersects with other forms of

marginalization, such as having low income, being an immigrant, having a disability, or identifying as LGBTQ2+ or a gender minority.

The request for proposals does not have an explicit program or approach to evaluation in mind. Rather, the foundation provides a list of ideas for things that are a good fit under this program and suggests that applicants submit something that aligns with these ideas (Robert Wood Johnson Foundation, 2021):

Examples of projects that may be a good fit for E4A include research to:

- Measure the impact of strategies that target structural or systemic inequities (e.g., reparations, eviction moratoria, anti-displacement-focused neighborhood revitalization) on physical or mental health outcomes for marginalized populations;
- Determine whether changes in given practices (e.g., grassroots organizing, school assignment, credit scoring, vaccine distribution) improve health and racial equity;
- Assess whether new policies or programs (e.g., public infrastructure investments, child tax credits, police reforms) have differential health impacts across racial/ethnic groups;
- Replicate prior studies of interventions using samples of additional racial/ethnic groups, to establish whether outcomes differ for different groups.

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

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

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

Scholarly Literature

Many funding agencies require a scholarly review of literature on the evaluation topic in order to provide evidence of knowledge of the field, the need for the proposed project, and directions to inform the proposed scope of work. Searching databases is very easy for evaluators in the developed world, especially those who work in universities. A list of commonly used databases is provided in Box 8.3. These are generally searchable for free at universities and for a modest fee for people in other settings. Most of these databases can be searched by topic, author, or title. Many databases now have full-text documents electronically available to users, eliminating the need to visit the library to obtain the documents.

Box 8.3. Scholarly Databases

Psychology

The American Psychological Association produces the following databases:

- *PsycARTICLES*. This database contains full-text articles from journals published by APA and related organizations. The dates of coverage vary; the earliest articles are from 1988.
- *PsycINFO*. This database indexes and abstracts over 1,300 journals, books, and book chapters in psychology and related disciplines (1887–present).
- *PsycBOOKS*. Textbooks published by APA and selected classic books from other publishers are found in this database.

Social Science

- *ProQuest Research Library*. Social science journal articles published in general and academic periodicals.
- *Sociological Database*. This is an online resource for researchers, professionals, and students in sociology and related disciplines. It covers international literature of sociology,

social work, culture, history, social psychology, and substance abuse and addiction.

- *Social Work Abstracts*. Index to articles from social work and other related journals on topics such as homelessness, AIDS, child and family welfare, aging, substance abuse, legislation, community organization, and more.

Education

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

Dissertations and Theses

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

Bolinson and Wakiaga (2020) conducted a literature review of gender lens investing, an approach to promote gender equality by providing investment to women-led businesses. The long-term effect of gender lens investing in sub-Saharan Africa has not yet been evaluated; therefore, Engineers without Borders Canada enlisted Bolinson and Wakiaga to conduct a literature review as a basis for future investments and evaluations. The two evaluators adopted a transformative, culturally responsive design for the literature review. They assembled a diverse advisory group that included experts on Afrocentric approaches to gender, transformative evaluation, gender lens investing, and gender-responsive research methods. Four of the advisory group members were from Africa. This group advised on the design, implementation, and dissemination of the literature review. Together, the evaluators and advisory group developed the following criteria for inclusion of literature:

- I. Only include articles related to Africa.
- II. Only include articles with some focus on gender.
- III. Only include articles that refer to a type of “financial investment.” For example, articles that involve microfinance, credit, financing, seed-stage investment in small and growing businesses (SGBs) or small and medium enterprises (SMEs) would be included.

- IV. Only include articles published in the last 10 years (2009–2020).
- V. Only include written articles/publications. (Bolinson and Wakiaga, 2020, p. 11)

The evaluators used the following strategies to identify literature:

Both academic and grey literature were considered for inclusion in this systematic review. As such, impact investing websites, international development databases, non-governmental organization (NGO) websites, and other non-academic sources were searched in addition to academic ones (e.g., academic databases, scholarly journals). . . . As part of the project’s transformative research approach, and on the suggestion of the advisory committee, special effort was made to identify and include articles written by African authors by searching Africa-specific websites, dissertation databases from African colleges and universities, and looking for examples of GLI by African investors and NGOs. (Bolinson and Wakiaga, 2020, p. 11)

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

Theoretical Frameworks

The theorists whose work is described in Chapters 3–7 provide evaluators with a multitude of theoretical frameworks from which to choose in their planning work. These theories can range from theories of literacy development to theories of community involvement. Theories provide a framework for thinking, highlight relevant concepts, and suggest dynamic relationships between those concepts. Here are some examples of evaluations that used theoretical concepts:

- Clarke et al. (2022) (Box 7.4) used Indigenous theory from the Native American community to frame their evaluation of wellness services for American Indian, Alaska Native, and Native Hawaiian communities in the United States. The evaluators sought out each tribe’s individual customs, culture, language, and epistemological views based on their tribal traditions.
- Peck (2020) (Box 3.5) conducted a theory-based evaluation that tested the theory of factors that influence success in finding employment and housing. The analysis revealed that programs that included tuition, financial assistance, childcare, transportation, and emergency assistance had greater educational impacts and stronger employment results.
- Campbell et al.’s (2014) study of the effectiveness of an intervention to support victims of sexual assault (Box 6.7) used a feminist theoretical framework, which focused on power differentials in the planning, implementation, and use of the evaluation.

Web-Based Resources

The proliferation of web-based resources sometimes makes me wonder what we would do if we didn’t have the World Wide Web anymore. This is probably unimaginable to many people younger than I (Mertens) am, and I admit that life would be a lot harder for me if

it happened. The major search engines of today may not be the major search engines of tomorrow. The two major search engines that I currently use (www.google.com and www.bing.com) provide access to printed documents, pictures, graphics, images, news, videos, discussion groups, maps, and more. Evaluators can locate a great deal of information about contexts of evaluations and experiences with similar evaluands through web searching. For example, Clarke et al. (2022) (Box 7.4) gathered data about the context of the wellness program that they evaluated through searching the internet for information about the state of aging and health, life expectancy tables, leading causes of death, health disparities, and number and nature of tribal nations in the United States.

“Grey Literature”

Evaluators should always seek program documents that have been produced before the start of the evaluation process. The quantity and quality of these documents will vary widely, depending on the history of the evaluand. Even if a new program is planned, it is probably going to occur in a context that has some kind of paper trail. When I conducted an evaluation of a residential school for the Deaf, I asked to see their self-study report and their accreditation report. In addition, I asked to see the curriculum guides and the student conduct rules. If I am called in to evaluate a program that is already underway, I ask to see the RFP that the organization responded to and the organization’s proposal. All these documents give me an overview of the evaluation context. The APA (www.apa.org/psycextra) has listed the following documents as examples of “grey literature”: research reports, policy statements, annual reports, curricula materials, standards, videos, conference papers and abstracts, fact sheets, consumer brochures, newsletters, pamphlets, directories, popular magazines, White papers, and grant information. In the Bolinson and Wakiaga’s (2020) literature review of gender lens investing, they included review of grey literature in the form of government, academic, business, and industry reports in print and electronic formats, as well as information available from websites for NGOs and investment organizations and international development databases.

Group and Individual Strategies

Evaluators can use group and individual strategies such as concept mapping, brainstorming, interviews, surveys, and focus groups, as well as Indigenous methods based on traditional community meeting ceremonies and rituals. Steps for conducting group and individual interviews are described in Chapter 11 on data collection. Here we provide examples of the use of these strategies and Indigenous methods for the purpose of determining the evaluand and its context.

Clarke et al. (2022) (Box 7.4) used an evaluation steering committee and an evaluation working group to engage with stakeholders in the early phases of the evaluation (and throughout the entire evaluation period). The early consultations were used to create an evaluation logic model that incorporated the culturally appropriate medicine wheel. This provided an understanding of the resources and activities that were needed to meet the program goals. The process was conducted using culturally responsive methods to support the dignity, self-respect, and cultural identity of the tribal and Indigenous elders and communities. The medicine wheel helped show short-term and long-term outcomes across the quadrants of Indigenous life: spiritual, mental, emotional, and physical. “The Title VI program medicine wheel was developed: (1) to ensure that the guiding evaluation framework would be anchored

in and reflective of the cultures, values, and traditions of Indigenous communities receiving Title VI program funds; (2) to incorporate dimensions of well-being identified by the Indigenous stakeholders, thereby clearly acknowledging their validity; and (3) to operationalize measurement of such dimensions and concepts” (p. 490).

Africans have traditional tribal gatherings that can be used as a basis for dialogue about context and needs (Chilisa, 2020). The group gatherings in Botswana are called *kgotla*; these involve the village council in the main village, with the chief or his assistant in charge of the process. Smaller *kgotla* can be held in outlying areas with the head tribesman as the facilitator or even in extended families with the elders facilitating the process. These gatherings can be used to identify problems and potential solutions. One downside to this process is that it has traditionally excluded women and children. Therefore, evaluators will need to work with the communities to develop appropriate strategies for all stakeholders’ views to be represented.

Concept Mapping

Trochim (1989) developed the technique of “**concept mapping**,” which has been applied in many different contexts. The steps in the process involve having participants brainstorm either possible outcomes or specific factors that influence those outcomes. The next step is to edit the statements to reduce repetition. Participants are then asked to rate the outcomes on two dimensions—importance (compared to other factors) and feasibility over the next few years—on 5-point scales where 5 indicates “extremely important” or “extremely feasible.” Sophisticated statistical procedures (multidimensional scaling and hierarchical cluster analysis, discussed in Chapter 13) are then applied to the data to produce configurations revealing which of the statements are rated most similarly. Different types of maps can be used to demonstrate how the statements can be organized and to understand the underlying theory of the project.

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

Outcome Mapping

Outcome mapping is a strategy similar to concept mapping that has been widely used in international development (Outcome Mapping Learning Community, 2021). Outcome mapping deliberately involves subgroups of stakeholders in the process of determining how interventions fit into the overall development process and contribute to transformative change:

Transformative change can be defined as making specific choices that are guided by considerations of gender, equity, anti-racism, anti-oppression, inclusion and by addressing power imbalances. It is focused on building ally relationships with people and groups experiencing barriers.

Transformative change requires inclusive teams and organisations and growing collaborative initiatives that seek to disrupt the status quo to influence social and environmental wellbeing. (Outcome Mapping Learning Community, 2021, p. 1)

Outcome mapping begins with systems mapping to develop a contextually grounded picture of system actors and their roles, relationships, perspectives, and motivations. This analysis is used to identify who needs to be involved in the process of developing a vision for where the community wants to see itself in the future (e.g., 20 years). The participants are identified as beneficiaries, boundary partners, and the project team. The term “boundary partner” is associated with outcome mapping, but other terms that are similar are also used, such as “partners,” “people,” “change agents,” “stakeholders,” and “social actors.” The goal is to plan collaborative interventions for transformation through iterative data collection and sense making. Hearn (2021) provides a 12-step process for conducting outcome mapping along with a number of additional resources that explain more about this approach.

Balls and Nurova (2020) used outcome mapping to evaluate the research into use (RIU) done by the Sanitation and Hygiene Applied Research for Equity consortium in Kenya, Malawi, Tanzania, and Zambia. The goal of the program was to increase use of research to engage with policy makers to support changes in policy and practice. The plan was to encourage RIU through communication, translation, convening, knowledge synthesis, and capacity building. They described their approach to outcome mapping as:

The Rapid Outcome Mapping Approach (ROMA) involves mapping and identifying the key stakeholders (known as boundary partners) within an organisation’s sphere of influence. . . . Project teams then write outcome challenges—statements describing the highest possible level of change from each boundary partner group. These are accompanied by a series of progress markers describing the observable steps towards change—expect to see, like to see and love to see. Progress markers are observable changes in behaviour, attitudes, relationships, or policies from boundary partners that implementers aim to influence. Teams then develop relevant strategies to contribute towards this change. Progress markers are monitored and may be adjusted if the steps towards change are inaccurate or to account for unpredictable outcomes. (p. 256)

Advisory Boards

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

Technological Tools: Satellite Imagery and Mapping

Satellite imagery and mapping are valuable tools that can be used to display current conditions, as well as to compare past and current conditions. An organization called Information Technology for Humanitarian Assistance, Cooperation and Action (www.un-spider.org/information-technology-humanitarian-assistance-cooperation-and-action-ithaca) provided information to help aid agencies plan how to respond when the island country of Haiti was struck by a massive earthquake on January 12, 2010. This organization used geomapping technology to post before-and-after pictures on its website of the areas hit by the earthquake. The before-earthquake satellite photos showed roads, airports, various types of buildings (public and private), and water and electricity centers. The photos taken after the earthquake showed how extensive the damage was to all these facilities. Electricity was not available; telephone cables were damaged; the airport had no fuel or lights, and the road from there into the city was destroyed; the water supply collapsed, and wells were contaminated; and the prisons broke open, and the prisoners who survived the quake escaped. The geomapping tool thus provided information that was invaluable in helping the aid agencies identify and respond to the conditions on the ground, especially since communication systems were not functioning.

Note that many of these strategies for identification of context and evaluand are revisited in our Chapter 9 discussion of the approach to evaluation known as “needs and assets assessment.”

Depicting the Evaluand

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

Evaluands can be depicted in many ways: descriptively or graphically, as static or dynamic entities. Descriptive portrayals of evaluands are typically given as narratives; the object of the evaluation is described, along with the major players and goals. Graphic portrayals of evaluands have typically taken the form of **logic models** or **logical frameworks** (the latter is sometimes shortened to **log frame**, the terminology used in the international development community for logic models). Evaluators from all branches can use all these

approaches to depicting evaluands; however, they may use them a bit differently. A Methods Branch evaluator might view the logic model as needing to be followed without changes to assure the fidelity of the treatment intervention. A Values Branch evaluator would probably be more comfortable with a flexible view of the logic model, allowing it to evolve as the study progresses. Use Branch evaluators would want the logic model to be viewed as useful to their primary intended user and would therefore be amenable to changes as needed. A Social Justice Branch evaluator would see the logic model as a best guess at the beginning of the project and would want to leave room for changes based on findings from communities throughout the process of the evaluation. Indigenous Needs and Context evaluators can use logic models and theory of change, as was seen in Clarke et al.’s (2022) (Box 7.4) evaluation that incorporated the medicine wheel with dimensions of spirituality into the theory of change.

Logic Models and Log Frames and Theories of Change

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

The W. K. Kellogg Foundation (WKKF, 2004b) has published a logic model development guide that starts with a very simple depiction of a logic model. This includes two main components: what the program people plan to do (resources/inputs and activities) and what their intended results are (output, outcomes, impact). This elementary depiction of a logic model is shown in Figure 8.1.

“Resources” or “inputs” are human, financial, and community resources that are needed for the evaluand, such as funding, partnering organizations, staff, volunteers, time, facilities, equipment, and supplies. They can also include wider contextual factors, such as attitudes, policies, laws, regulations, and geography. “Activities” include the processes, events, technology, and actions that are part of the program implementation. These can include such components as education and training services, counseling, or health screening;

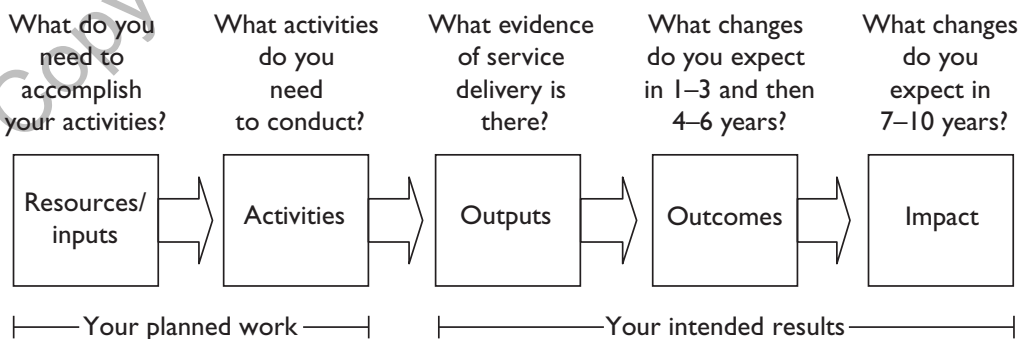


Figure 8.1. Basic logic model template. Based on WKKF (2004b, pp. 1 and 17).

products such as curriculum materials, training materials, or brochures; and infrastructure such as new networks, organizations, or relationships. “Outputs” are products of the activities and include the quantity and quality of the services delivered by the program, such as the number of workshops taught or the number of participants served. “Outcomes” are the changes in individual participants in terms of behaviors, knowledge, skills, or attitudes. These can be short term or long term. “Impact” is the desired change on a broader level for organizations or communities, such as reduction of poverty or increase in health.

The most basic format for a logic model is the outcomes-based logic model, which starts with stakeholders identifying those outcomes and impacts that are important to them. Any of the group processes described earlier in this chapter can be used for this purpose. Brüntrup-Seidemann et al.’s (2021) (Box 5.1) evaluation of gender mainstreaming in development projects in postconflict situations provides an example of a logic model combined with the theory of change (Figure 8.2, Bruntrup-Seidemann et al., 2021). This theory of change/logic model was developed on the basis of document analysis. This was then validated with staff of the lead organization and the implementing organizations.

The WKKF (2004b) logic development guide offers another, more intricate template for a theory-based logic model. Like the simpler logic model just presented, this theory-based logic model explains what the project wants to accomplish and how it will accomplish those intended results, but it does so in greater detail and complexity. The theory-based approach begins by clarifying the assumptions that underlie the decisions to plan and implement the evaluand. A template for this type of logic model appears in Figure 8.3. The development of the theory-based logic model follows these steps:

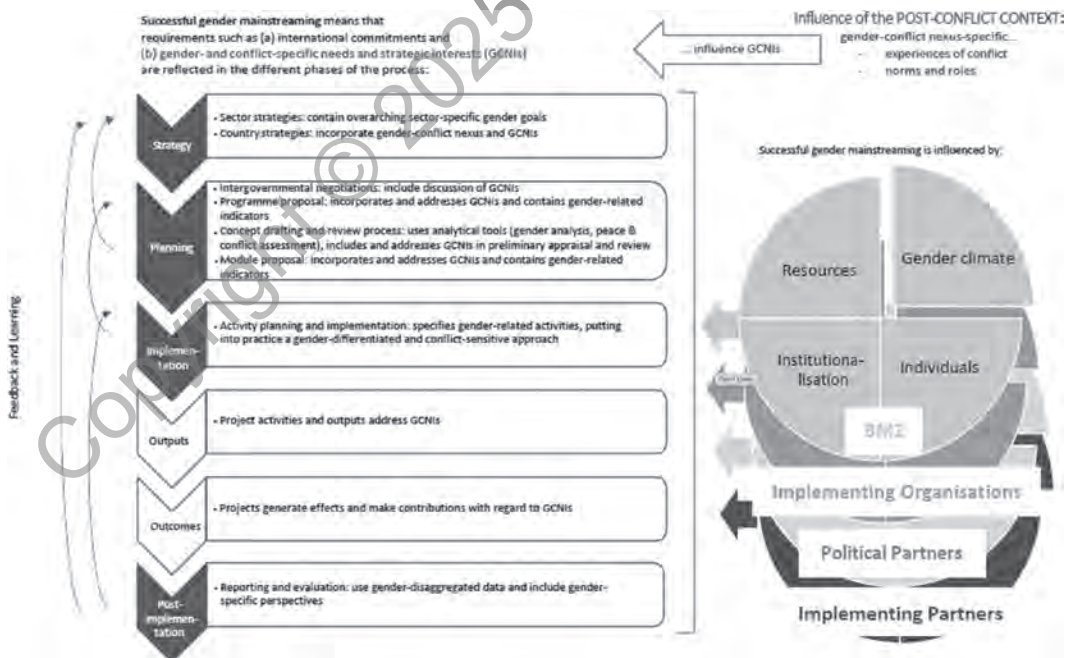


Figure 8.2. Logic model from the Brüntrup-Seidemann et al. (2021) evaluation of gender mainstreaming in postconflict situations. Reprinted with permission.

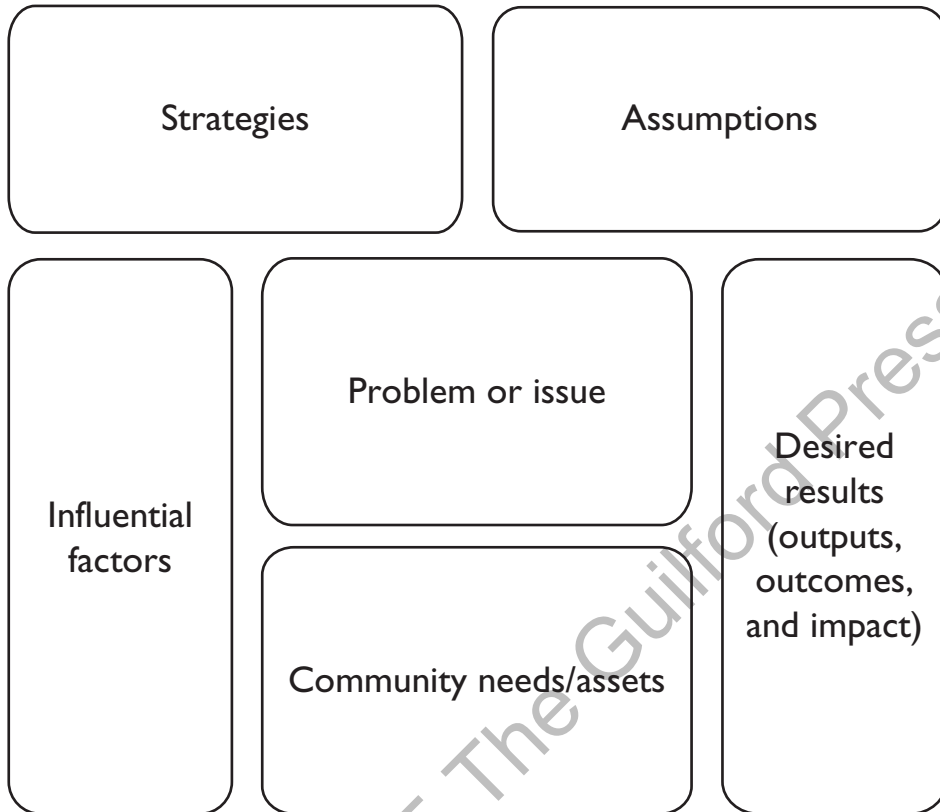


Figure 8.3. Theory-based logic model template. Based on WKKF (2004b, p. 28).

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

that are needed, a history of political stability or civil unrest, economic upturns or downturns, natural disasters, and political or community leadership.

5. Determine strategies (activities) that are needed to achieve the desired results. These might include development of recruitment or training materials, provision of services to enhance skills or health, or enhancement of infrastructure or technology.
6. State the assumptions that underlie the project. Why do the stakeholders believe that this course of action in this context will garner the results they desire? What are the principles, beliefs, or ideas that are guiding this project? (WKKF, 2004b)

An example of a theory-based logic model is displayed in Figure 8.4. This figure is from Te Huia and Cram's (2022) evaluation of an Indigenous culturally responsive program to improve outcomes for pregnant Māori.

Another example, in Box 8.4 is from Hamilton County, Ohio, which participated in the LGBTQ Youth Homelessness Prevention Initiative of the U.S. Department of Housing and Urban Development (HUD). LGBTQI+ youth were dramatically overrepresented in the population of youth experiencing homelessness because there were few systems and services designed to meet their needs. The goals of this initiative were to learn more about (1) preventing homelessness for LGBTQI+ youth and (2) intervening early to prevent chronic homelessness among LGBTQI+ youth. The initiative involved a deep and diverse list of stakeholders who had a vested interest in the issue, and together they created a theory on which they based their logic model, of how to resolve LGBTQI+ youth homelessness.

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

- Better Evaluation has a website that lists a number of software options for developing logic models and theories of change (www.betterevaluation.org/tools-resources/theory-change-software).
- The Centers for Disease Control and Prevention maintains an evaluation website that can be searched for guidance and examples of logic models and theories of change (www.cdc.gov/evaluation/index.htm).
- The Aspen Institute's website can be searched for guidance on the development of a logic model within the world of philanthropy (www.aspeninstitute.org).
- The Substance Abuse and Mental Health Services Administration presents a planning framework for prevention programs at their website: (www.samhsa.gov/sites/default/files/20190620-samhsa-strategic-prevention-framework-guide.pdf). Many of the steps fit into the logic model system. Step 1 is to assess the community's needs and readiness for an intervention. Step 2 is to mobilize the community and build capacity as necessary. Step 3 is called "planning" and includes a description of the program, activities, and strategies. The website gives many examples of best practices from the National Institute on Drug Abuse, the Center for Substance Abuse Prevention, the National Center for the Advancement of Prevention, the Office of Juvenile Justice and Delinquency Prevention, the Department of Education, and the Centers for Disease Control and Prevention. Step 4 is to implement the program, and Step 5 is to evaluate the program's results and sustainability.

Strategies

- Design and implement a practice model for delivering *Te Whare Pora*
- Develop job descriptions for staff to help ensure that the “right” people are responsible for delivering *Te Whare Pora*, in an appropriate location
- Develop a support group for *Te Whare Pora* workers to help identify and develop skills that women and whānau have identified wanting
- Develop a network of social and health services that are willing to support women and whānau referred by/from *Te Whare Pora*
- Develop feedback loops to ensure that participant feedback is acted upon in a timely fashion to ensure the responsiveness of *Te Whare Pora* to whānau needs and aspirations

Assumptions

- Suitable premises and staff can be found to enable the implementation of *Te Whare Pora*
- *Te Whare Pora* is a good platform for engaging pregnant Māori women and their whānau
- Women and whānau who come to a weaving wānanga will want to be navigated to other services and supports
- *Te Whare Pora* can maintain responsiveness to whānau input to inform the on-going innovation of its practice model

Influential Factors

- There is strong community support for *Te Whare Pora*, including community involvement in design and development
- There is good attendance of pregnant Māori women and whānau at weaving wānanga
- A good proportion of those engaging with *Te Whare Pora* complete a weaving wānanga and make a woven product
- A good proportion of those engaging with *Te Whare Pora* are supported to access other supports and services
- Three community leaders attend weaving wānanga

Problem or Issue

- Gaps in culturally responsive antenatal care and access to health and support services for pregnant Māori women
- High proportions (40–50%) of pregnant Māori women smoking
- Increased risk of SUDI
- Low uptake of breastfeeding by Māori mothers

Desired Results (outputs, outcomes, and impact)

- Transmission of traditional pregnancy, childbirth and mothering knowledge, including knowledge about weaving
- Connection with supports and health services, in particular smoking cessation and breastfeeding promotion
- Increased cultural responsiveness of services and improved service access for Māori women and whānau
- Improved health and wellness of Māori women and whānau, through and beyond pregnancy
- Decline in risk of and death of babies from SUDI

Community Needs/Assets

- Approximately 500 Māori babies born each year in Hawke’s Bay
- Two-thirds of mothers and newborns enroll in Tamariki Ora at Te Taiwhenua o Heretaunga each year
- Tamariki Ora has over 2000 children enrolled, with the roll increasing 16% each year
- Te Taiwhenua o Heretaunga lists health care of under-served Māori women and their children as a priority

Figure 8.4. Theory-based logic model for healthy pregnancy for Māori women.
Adapted from Te Huia and Cram (2022). Reprinted with permission.

Box 8.4. Hamilton County Safe and Supported Community Plan to Prevent Homelessness for LGBTQI+ Youth

Narrative Description of the Evaluand and Theory of Change

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

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

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

To prevent LGBTQ+ youth homelessness:

- *Start with* a needs assessment, understanding of local community context, *and* a collaborative

planning process with stakeholders and youth representing the community.

- *To identify and implement* strategies that leverage local strengths and address gaps for preventing LGBTQ+ youth homelessness and address challenges contributing to LGBTQ+ youth homelessness.
- *Through* increased resources for youth, families, schools, communities and peer groups.
- *Through* cultural competency training and awareness building for families, schools, communities, and peer groups.
- *Through* changes in policies, procedures, and systems.

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

1. Improve social climate, including inclusivity of policies, effectiveness of resources, and support/acceptance of LGBTQ+ identity.
2. Nurture youth who are motivated by self-acceptance and belonging to a community to seek social and emotional well-being, permanent connections, stable housing, and education/employment.
3. Nurture a community that provides a safety net of social and emotional well-being, permanent connections, stable housing, and education/employment opportunities so youth do not experience homelessness.
4. Increase the ability of families to accept and support difference to create a safe space for youth and prevent episodes of homelessness.

(continued)

Box 8.4 (cont.)

Abbreviated Logic Model

<i>Contextual Factors</i>	<i>Contextual Factors</i>
<p>Community context</p> <p>Availability of and access to culturally competent services, programs, shelters, and housing</p> <p>Availability of data</p> <p>Economic development and financial resources</p> <p>Geography</p> <p>Leadership</p> <p>Collaboration in the community across youth-serving systems (e.g., education, juvenile justice, law enforcement, mental health, faith-based) and “turf” concerns</p> <p>Culture</p> <p>Advocacy efforts and politics</p> <p>Community awareness of prevalence and causes of LGBTQ+ youth homelessness</p> <p>Social attitudes toward LGBTQ+</p>	<p>Client context</p> <p>Socioeconomic demographics (age, race, etc.)</p> <p>Awareness of and willingness to access supports</p> <p>Previous access to supports</p> <p>Protective factors (e.g., employment, positive friends, school connection, supportive adults, survival skills)</p> <p>Risk factors (e.g., emotional distress, family rejection, lack of stable housing, substance use, mental health challenges, physical factors)</p> <p>Coming out status</p> <p>Federal context</p> <p>HUD, DOE, HHS, DOJ support for the initiative</p> <p>DOE requiring diversity training for all school staff</p>

Inputs, Activities, and Outputs

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

<i>Inputs</i>	<i>Priority Activities</i>	<i>Outputs</i>
Coordination of existing funding	Local plan development	Financial plan
Exploring new funding	Six-month strategic planning process involving the systems and providers serving LGBTQ+ and homeless youth	Local plan implementation
	Leadership team meetings (biweekly)	Outputs based on final local plan
	Identify funding sources	
	Local toolkit for corporate response	
	Development and advocacy of funding strategies	
	Local plan implementation	
	Two years of implementation	
	Plan strategies and activities	
	Community advisory group	
	Local plan evaluation	

Outcomes and Impact

<i>Short-term outcomes (months 1–6)</i>	<i>Intermediate outcomes (months 7–18)</i>	<i>Long-term outcomes (months 19+)</i>
Identification of community need(s) using data	Reduced number of LGBTQ+ youth who become homeless	Increased number of LGBTQ+ youth in stable housing, permanent connections, social and emotional well-being, and education/employment
Participation of LGBTQ+ homeless youth in planning	Strengthened relationships among youth and key partners and within each group	Increased community acceptance and adult support of LGBTQ+ youth
Increased community engagement	Expanded screening and assessment opportunities	Improved response to risk and protective factors of LGBTQ+ youth at risk of or experiencing homelessness
Increased participant and community awareness of LGBTQ+ homelessness	Increase cultural competency at initiative partner agencies	Implemented interventions and countywide programs to address specific needs of youth
Identification of evidence-based or promising practices	Increased participation in LGBTQ+ competency training for foster parents and JFS workers	
Identification and promotion of existing resources		
Identification of new funding sources		

(continued)

Box 8.4 (cont.)

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

Source: Hicks and Alspaugh (2014). Copyright © 2014 Meredith Hicks and Meradith Alspaugh. Reprinted by permission.

..... EXTENDING YOUR THINKING

Using a Logic Model

Logic Model: Stopping Teens from Texting while Driving

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

The Montgomery County Teen Unit (MCTU) is planning a campaign to begin a program to teach the teens and the community at large about the dangers of texting while driving. The following table lists the inputs and processes as well as the outputs/

short-term outcomes and impacts/long-term outcomes. What would be some other outputs and short-term outcomes and some other long-term outcomes and impacts?

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

In the field of international development, logical frameworks (log frames) are used instead of logic models. Mubiru (2019) described a log frame as:

A document that gives an overview of the objectives, activities and resources of a project. It also provides information about external elements that may influence the project, called assumptions. Finally, it tells you how the project will be monitored, through the use of content/indicators. All this information is presented in a table with four columns and four rows—although variations on this basic scheme do exist.

The log frame's first column specifies the goals, purposes, outputs, and activities. For each of these elements, the evaluator identified indicators, verification sources, and assumptions. This results in a four-by-four matrix with activities on the bottom row that specifies what activities are to be undertaken to achieve tangible outputs. The achievement of these outputs is then connected with the achievement of the objectives (purpose) of the project.

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

The United Nations developed the Sustainable Development Knowledge Platform, which includes a global database and a metadata repository that contains information about progress toward the achievement of the SDGs by country or geographic area according to each SDG indicator. The World Bank's World Development Indicators (WDIs) is another database that planners can use to target disparities associated with the most vulnerable groups, thus enhancing the possibility of designing interventions that are appropriate within each country's context.

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

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

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

Descriptive Depictions of the Evaluand

Evaluators always have a descriptive depiction of the evaluand; it can stand alone or support the graphic depiction of the evaluand in a logic model. All the examples of evaluations presented in this and earlier chapters have either a descriptive depiction of the evaluand or a descriptive and graphic depiction. One framework that is useful for conceptualizing a description of the evaluand is the CIPP model developed by Stufflebeam (see Chapter 4). Box 8.5 contains examples of the types of variables that might be considered for each aspect of the model, as well as applications of these to the evaluand description of a self-help program for women adjusting to breast cancer and its treatment (Sidani & Sechrest, 1999). It provided information about the course of treatment, belief in self, and improving problem-solving and cognitive reframing skills. The course had three components: (1) The cognitive component provided the knowledge needed to understand the condition, treatment, and self-care strategies; (2) the behavioral component addressed women's skills necessary for active participation in their own care, problem solving, and stress management; and (3) the psychological component helped women deal with their feelings. The course used three teaching modes (interactive, didactic, and hands-on experience).

Box 8.5. Evaluand Descriptions Based on the CIPP Model

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

(continued)

Box 8.5 (cont.)

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

Mixing Things Up

As most people know, life rarely follows a linear pathway. Hence the use of linear models to depict evaluands is limited because they do not portray deviations from what was planned or iterative changes that occur during the life of a program. A logic model is linear and suggests that action flows in one direction. However, the intended outcomes can focus on changes in participants, changes in staff members as they progress through the project as well, and organizational changes. These could lead to additional changes in the program that are not depicted in the logic model. Stephens et al. (2018) assert that logic models are linear and thus are inadequate to depict the complexity of evaluands throughout the life of a project. They suggest that evaluators consider developing a systemic theory of change.

This chapter includes an example of an evaluand that was depicted in both narrative and graphic form using the WFFK logic development model by a county in Ohio to prevent homelessness for LGBTQI+ youth (Hicks & Alspaugh, 2014) (Box 8.4. Included in the plan is the list of diverse stakeholders who participated, contextual considerations, their theory of change, a complete logic model, and detailed short- and long-term outcomes.

Planning Your Evaluation: Stakeholders, Context, and Evaluand

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

 *Moving On to the Next Chapter*

This chapter rests on the assumption that evaluators and stakeholders know what the evaluand should be or is. However, that is not necessarily the case. In Chapter 9, we look at strategies evaluators can use to provide information to stakeholders who are in the process of designing a new intervention or making substantial changes in an existing evaluand. This approach to evaluation is called “needs and assets assessment.” We also consider other evaluation purposes and questions that might be used to guide the evaluation; we focus on how answers to those questions might be used to make changes in the organization.

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