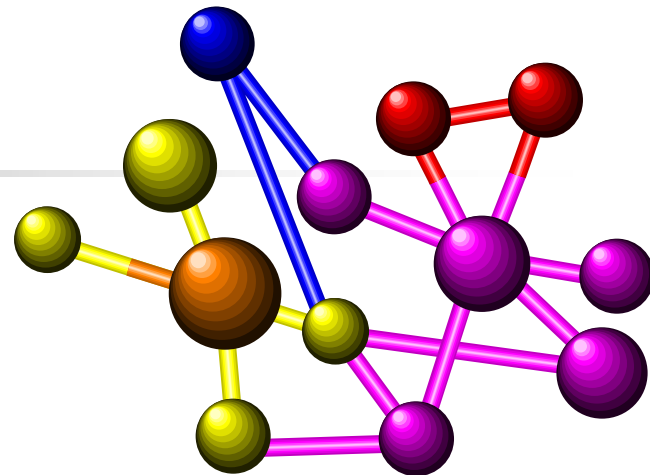




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Evaluation Use : Theory and Practice

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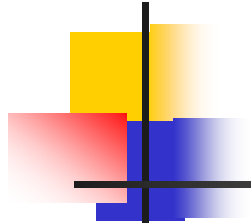
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Practices of Evaluation Use



Introduction

- The future of program evaluation
=> the effectiveness of the program
- When is evaluation process finished ?
=> The most common misconceptions
about evaluation process.
- The reason why evaluation exists
: the use of evaluation result.

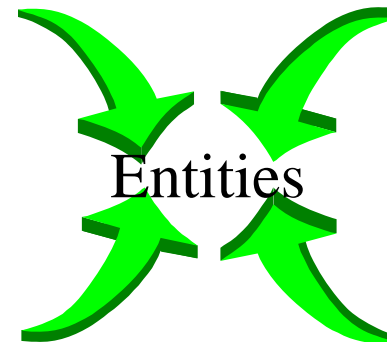
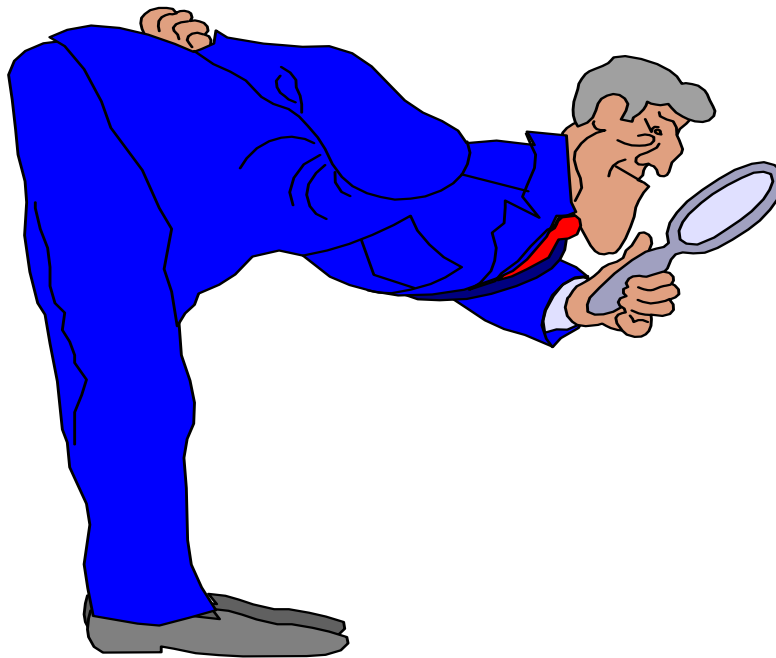


Theory Base I:

What is evaluation ?

What is Evaluation?

- *Evaluate - to ascertain value,
to judge the worth of...*





Why evaluate ?

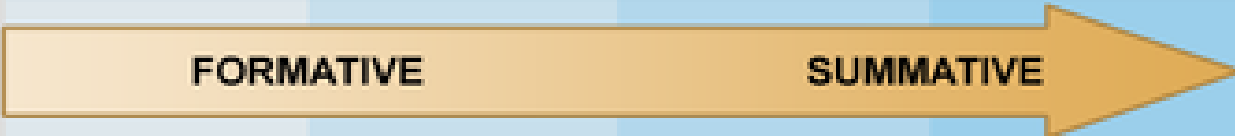
- **For learning and development**
 - To learn about the activities, their effectiveness, etc, and using that to use learning to improve the project / program / policy
- **For accountability**
 - To show others that you are effective in an independent manner
- **Use of Evaluations**
 - Instrumental Use
 - Conceptual Use
 - Symbolic or Legislative Use
 - Process Use



Evaluation Benefits

1. *“Prove”* your program. (Show its worth.)
2. *Improve* your program. (Highlight what to change to strengthen it.)
3. Compare different types of programs.
4. Attract funding/fulfill funder requirements.
5. Provide info. on the program to key stakeholders.
6. Give staff/volunteers/board feedback so they know what they are accomplishing.
7. Help you make resource decisions related to the program.
8. Offer you key learning.

Types of Evaluations

Program Stage	Before Program Begins	New Program	Established Program	Mature Program
				
Evaluation Type	Needs Assessment	Process / Implementation Evaluation	Outcome Evaluation	Impact Evaluation
Question Asked	To what extent is the need being met? What can be done to address this need?	Is the program operating as planned?	Is the program achieving its objectives?	What predicted and unpredicted impacts has the program had?



Types of Evaluation

■ Needs Assessments

- Beginning of project: how to set up the project
- i.e. Stakeholder engagement / analysis, baseline surveys, social economic and environmental needs assessments

■ Process Evaluation

- Judging activities or strategies
- What was done, who was reached, quality of activities
- i.e. Program logic, investment logic mapping, network analysis, etc

■ Impact / Outcome Evaluation

- What effects or changes occurred
- Has it met the goals / objectives, do we continue, was it valuable
- i.e. Most significant change, performance story, practice change, learning-action models, etc



Theory Base II:

What is evaluation use ?



History of evaluation use

- Achilles' heel of programme evaluations: The evaluation use
 - In theory
 - By the end of the 1960s, use of evaluations: largely ignored.
 - In the 1970s, a series of studies (Caplan and et al., 1975; Patton and et al. 1977; Weiss and Bucuvalas, 1977) exposed the Achilles' heel of evaluations.
 - In practice
 - After 1990s, real time evaluation of Alvey programme (UK) initiated the movement of evaluation use in practice.
 - Typical examples: Framework programme(EU), ATP(US)
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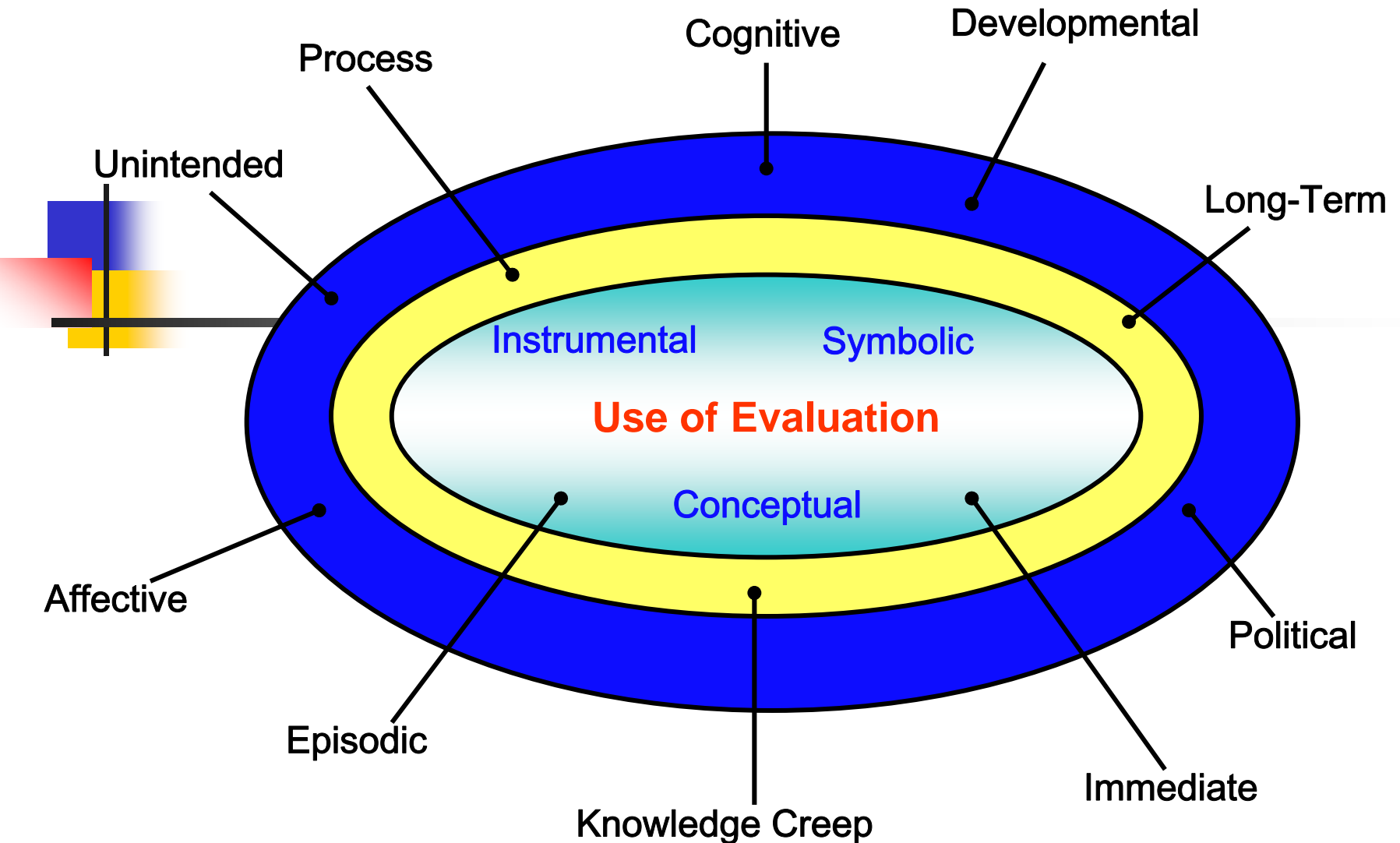


Various meanings of evaluation use.

1. Knowledge-Driven Model:
2. Problem-Solving Model:
3. Interactive Model:
4. Political Model:
5. Tactical Model:
6. Enlightenment Model

Source: Weiss, Carol H. (1979). "The Many Meanings of Research Utilization," *Public Administration Review*, 39 (5): 426-431.

Expanded Understanding of Evaluation Use



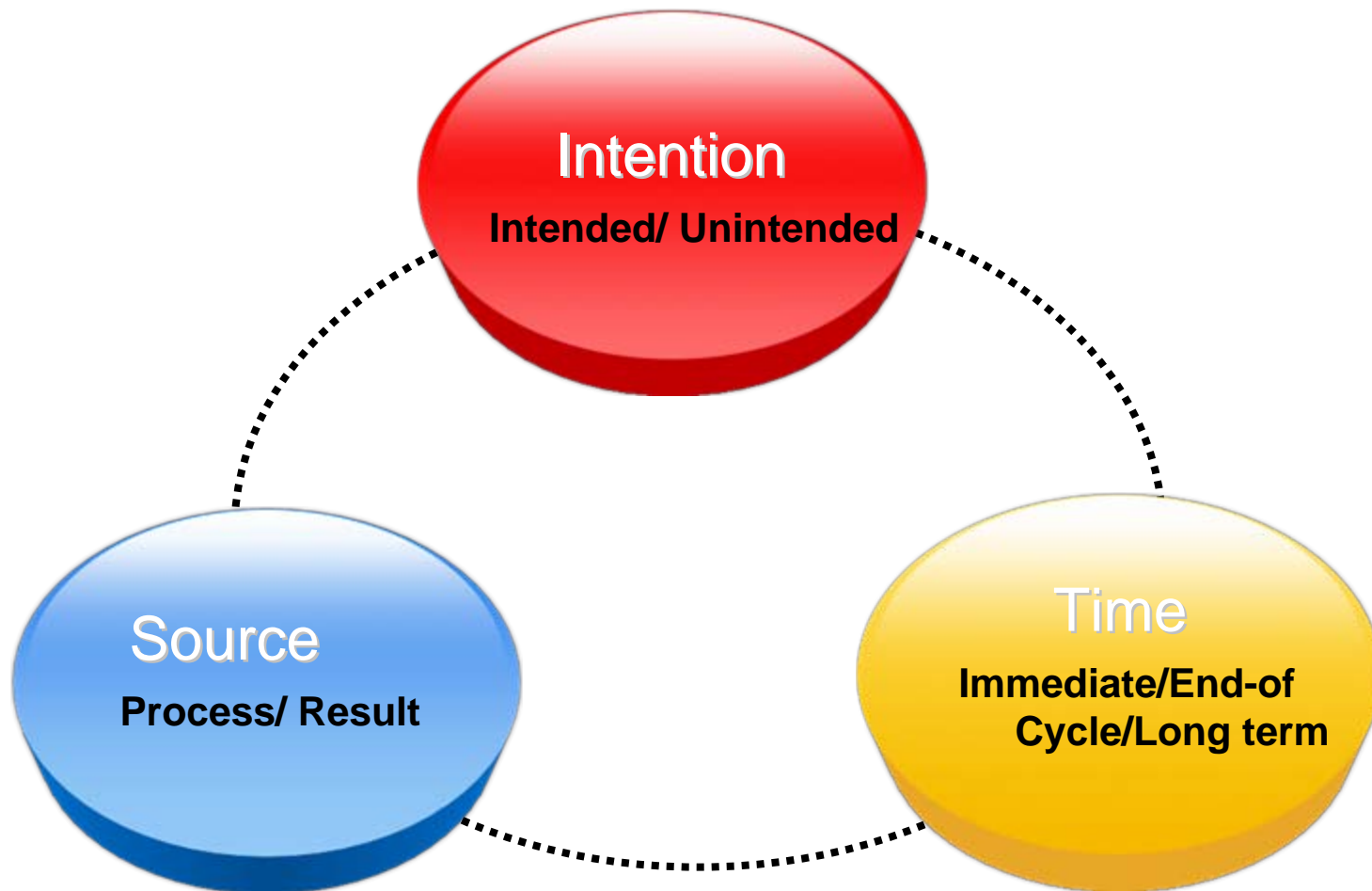


Types of evaluation use

1. **Instrumental use:** evaluation feeding directly into decision-making;
2. **Conceptual use:** change in decision-makers' understanding of a situation, even if the findings don't change policy;
3. **Mobilization of support:** evaluation as an instrument of persuasion;
4. **Wider influence:** beyond the institutions and events being evaluates.

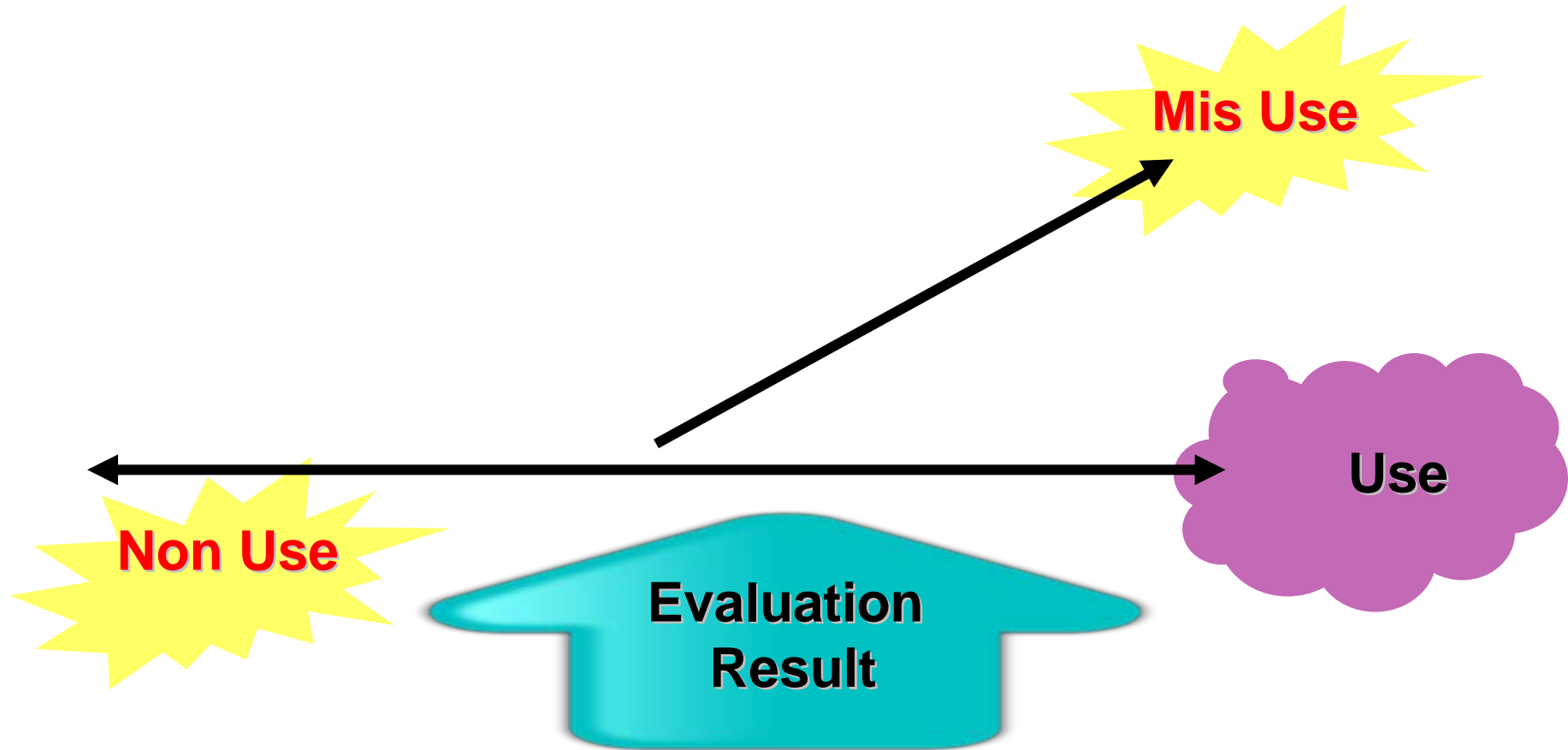
- Sources: adopt Nutley, S., Walter, I., Davies, H. (2003). "From Knowing to Doing." *Evaluation*, 9(2): 125-148.
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Integrated Theory of Use



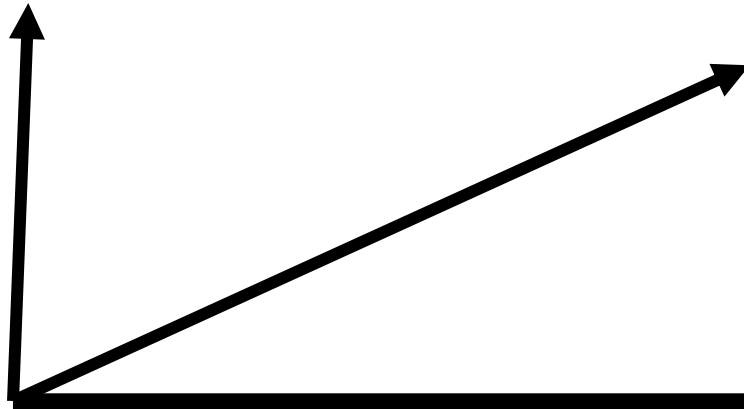


Use, Mis-Use and Non-Use



Evaluation of evaluation use

Relevance (R)



Use (U)= R x D

Dissemination (D)

$$U = R \times D$$

R: Relevance, D: Dissemination

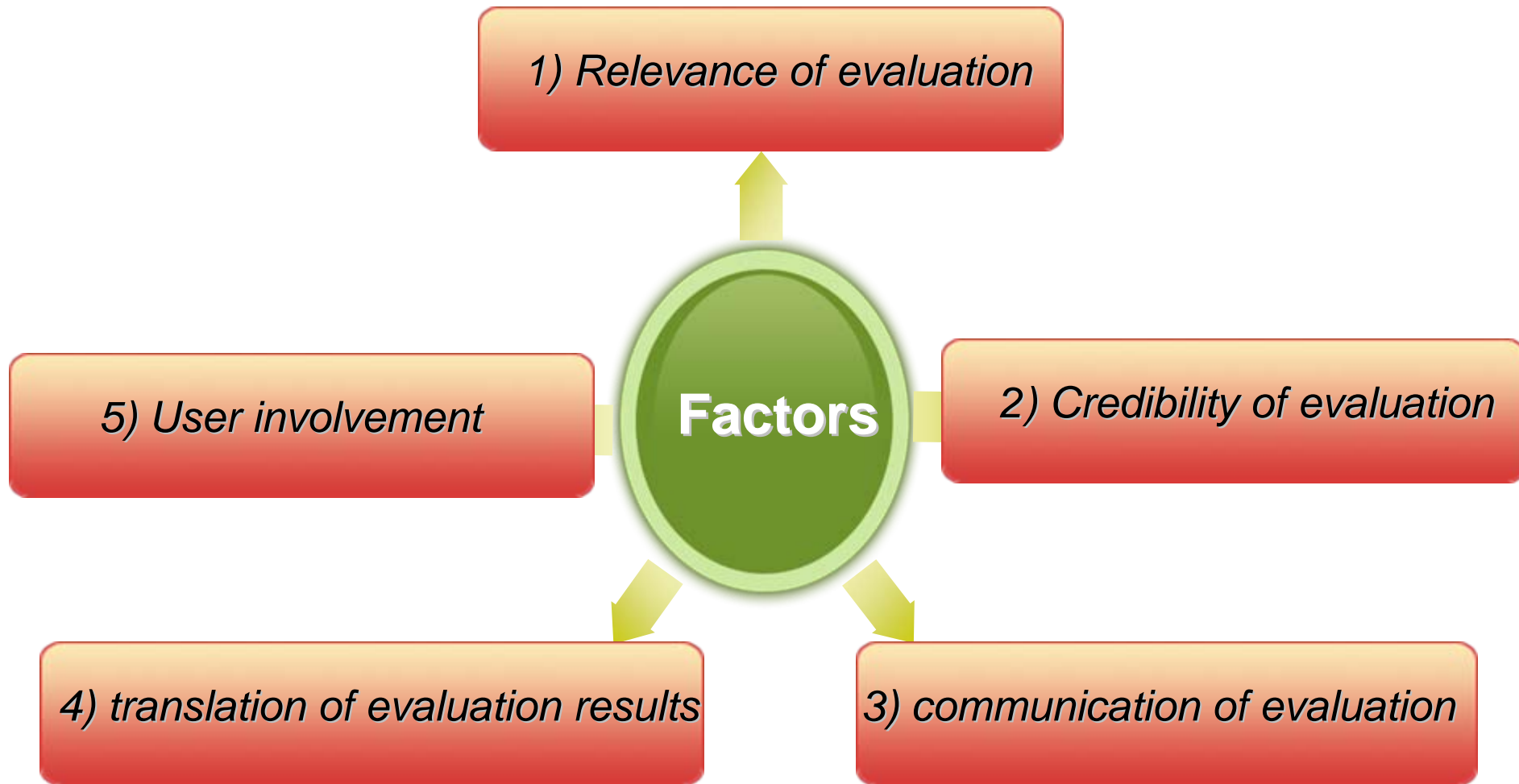
$$R = T \times C$$

T: Timeliness, C: Credibility

$$D = P \times M$$

P: Presentation of the evaluation, M: Mechanisms for use

Factors affecting evaluation use I





Factors affecting evaluation use II

In summary

- There are no dominant factors affecting the use, rather it depends on the situation.
- Generally speaking, the most important factors affecting use of evaluation:
 - 1) Methodological quality and appropriateness
 - 2) Timeliness of report
 - 3) Political factors
 - 4) Decision maker-evaluator interactions



Practices on the evaluation use



Evaluation Use in Alvey Programme (UK)

- The evaluation of the Alvey(1984): **'real time'** evaluation : enabling use of the evaluation.
=> feed back to programme management.
- Communication channels with other individuals and organisations.
- The programme directorate made extensive use of the monitoring reports.
- Open discussion with stakeholders by informal meetings.
- The evaluation set the style for most subsequent UK national evaluations.



Evaluation Use in ATP Programme (US)

- For utilisation of evaluation results, the ATP makes substantial efforts towards **political justification**.
 - Hold conferences and symposia relating to issues of performance and economic effects of the ATP.
 - Publish special issues of relevant academic journals
 - Support many academics
- The evaluators inform Congress of the evaluation results.
 - => Further use occurs when individual members of Congress employ the evaluation results in the political process.

Evaluation Use in UNDP

- Three key drivers for the evaluation use in UNDP:
 - Focus on development effectiveness and managing for results
 - Learning organization with a culture of using knowledge to bring about necessary changes
 - International focus on impact, what works, and up-scaling

Mechanisms for the Use of Evaluation : Management Response and Tracking Template

Management Response and Tracking Template

Evaluation Title: _____
Evaluation Completion Date: _____

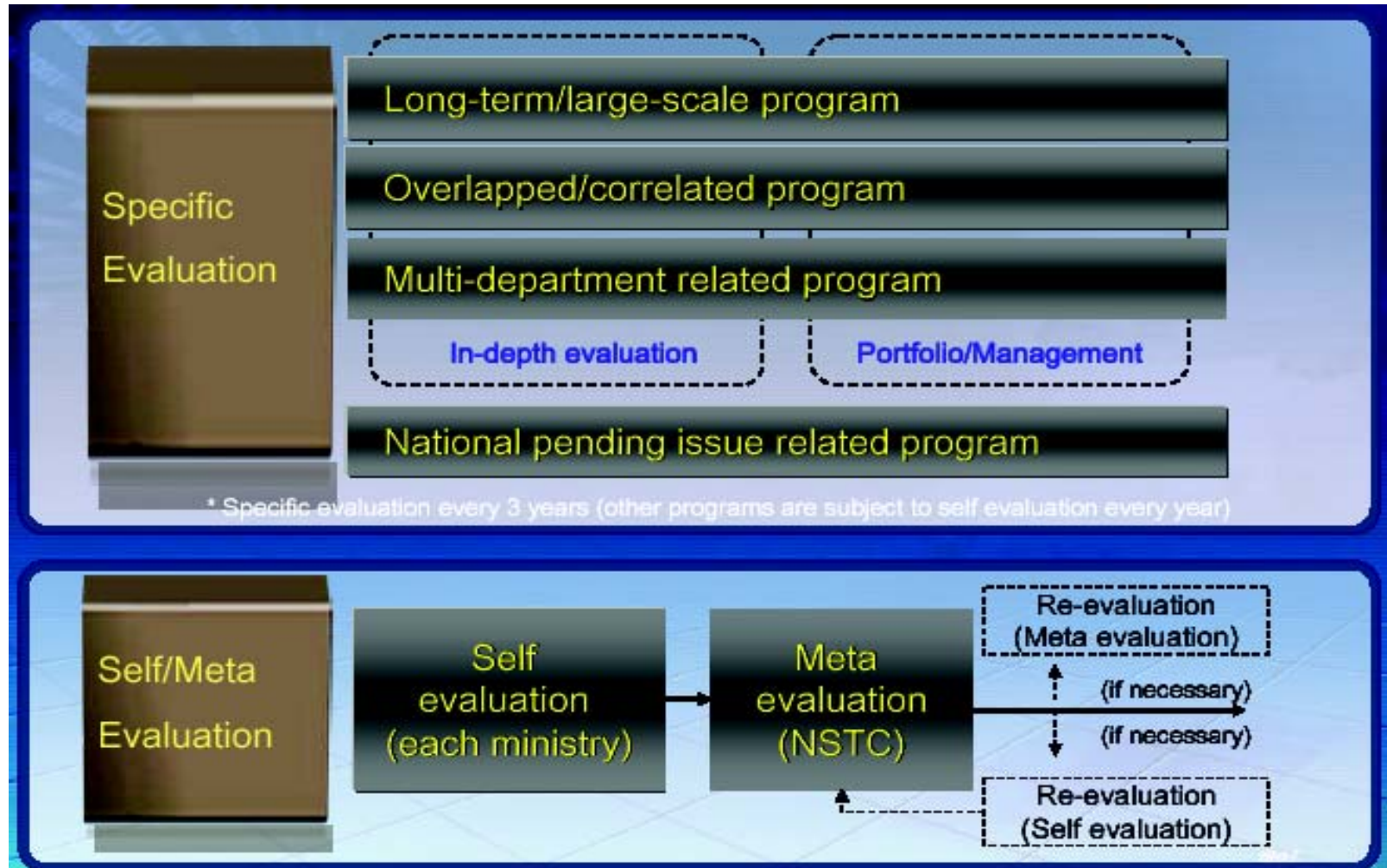
Key issues and Recommendations	Management Response [*]				Tracking ^{**}	
	Response	Key Actions	Timeframe	Responsible unit(s)	Status ^{***}	Comments

* Unit(s) assigned to be responsible for the preparation of a management response will fill the columns under the management response section.

** Unit(s) assigned to be responsible for the preparation of a management response will be updating the implementation status. Assigned with an oversight function monitors and verifies the implementation status.

*** **Status of Implementation:** Completed, Partially Completed, Pending

The Use in National R&D Program in S. Korea



The Use in National Evaluation System in S.Korea

□ Specific Evaluation

Long term/Large Scale Program

- Program improvement (re-planning etc.)
- Resource Coordination (if necessary)

Overlapped /Correlated Program

- Inter-program coordination
- Transfer/Unification/Termination of program

Multi-departments Related Program

- Coordinating related programs
- Improvement of program management system

□ Self-Evaluation

- Program improvement, utilizing on budget allocation next year

□ Meta-Evaluation

- review on the appropriateness of Self-Evaluation (if necessary, re-evaluation)



Conclusion

□ The evaluation of research programs is under-developed art.

“ Evaluation tools are not hammers and R&D programs are not nails.”

⇒ Each country and program has its own distinctive needs for evaluation.

⇒ Therefore, evaluations of national R&D program reflect their various political and administrative cultures, and the structure of national R&D system.



Thank You!



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