

This presentation is the property of World Vision Canada;
however, no modifications or replications to the content outside
this presentation may be made without the permission of its
author: Ashwin Budden

Researcher-in-Residence Series

WORLD VISION CANADA

An Introduction to Developmental Evaluation

Ashwin Budden, PhD
Principal, D'EVA Consulting

March 13, 2019



OUTLINE

1. Global Health Challenges
2. Defining Developmental Evaluation (DE)
3. The “DE Difference” (Key principles that distinguish it)
4. “Isn’t DE the Same things As...?”
5. When to do and *not do* DE
6. Setting up a Developmental Evaluation
7. Global Context
8. DE Resources

CHALLENGE I: Addressing complexity and changing programmatic contexts

HISTORICAL CONTEXT

- Siloed disease-focused programs and funding
- Donor driven agendas
- Fragmented technical assistance
- Discipline-focused expertise
- Analog data systems
- One-size-fits-all service delivery



EMERGING CONTEXT

- Integrated health systems and financing
- Country-owned health strategies
- Collaborative and cross-sectoral partnerships (including public-private)
- Multi-disciplinary expertise and teams
- Digital HMIS, mobile ICT, and big data
- Tailoring patient-centered health services to social diversity and context

CHALLENGE 2: Getting decision makers to use evaluation result



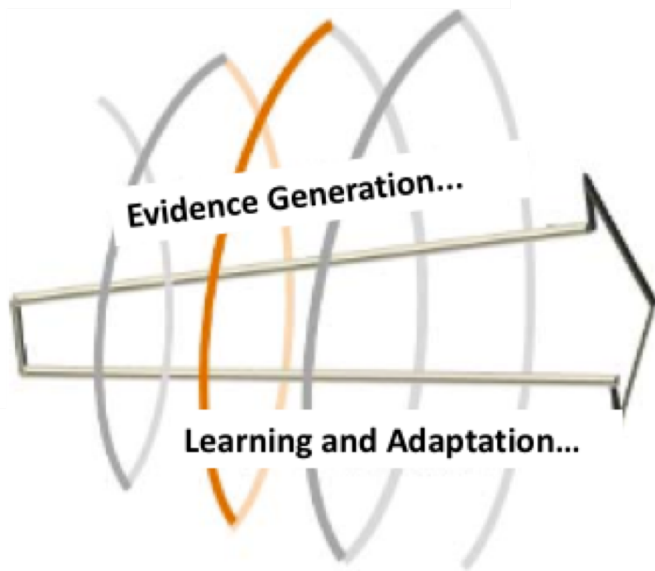
"I can honestly say that not a day goes by when we don't use those evaluations in one way or another."

Written by Mark M. Rogers and illustrated by Lawson Sworh



What is your team's experience with evaluation?

DEVELOPMENTAL EVALUATION DEFINED



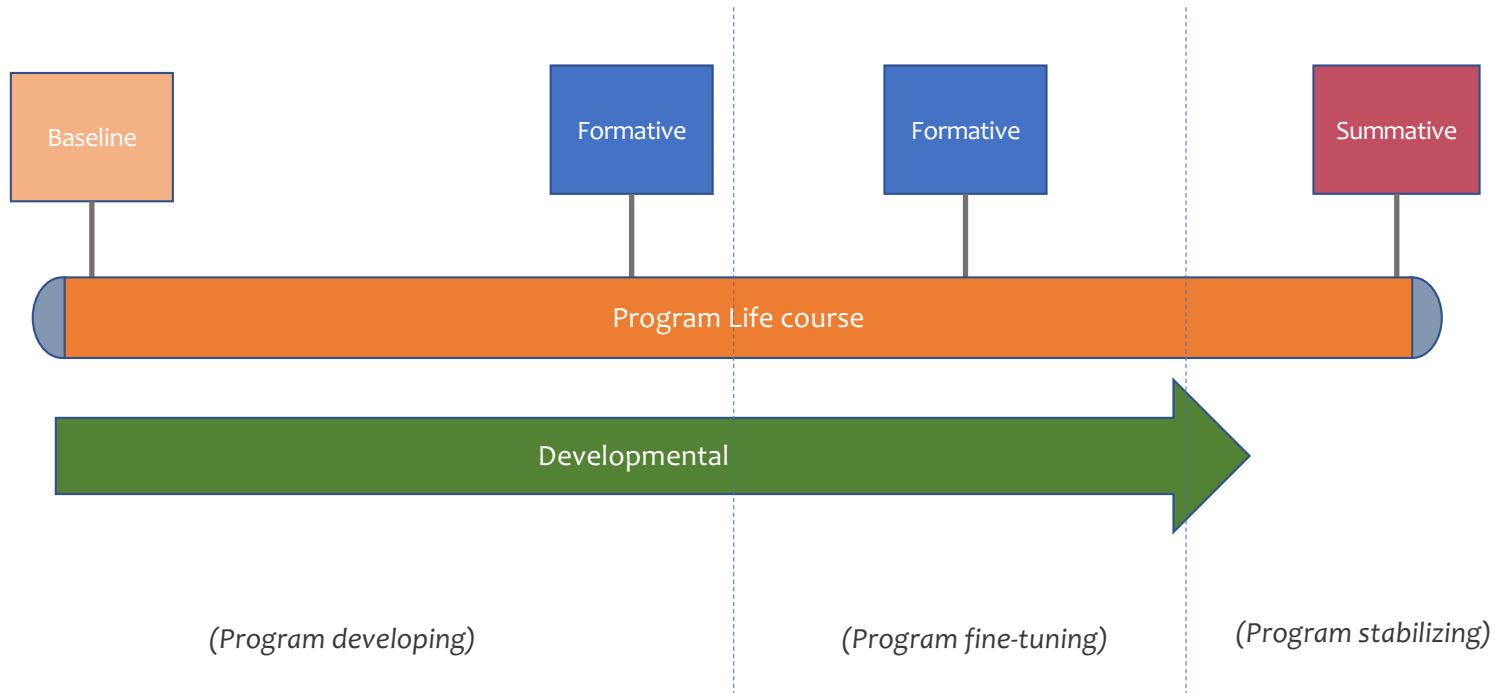
What is Developmental Evaluation("DE")?

A learning-focused approach to evaluation aimed at **building capacity to use evidence to adapt complex programs in real time** and **supporting the timely utilization of evaluation findings**

-Michael Quinn Patton

DEVELOPMENTAL EVALUATION DEFINED

- **Summative Evaluation:** Judges a program's merit or worth for continuation, replication, or scaling
- **Formative Evaluation:** Establishes baselines or fine-tunes a program when a summative evaluation is expected
- **Developmental Evaluation:** Assesses how a complex program changes over the its life course; making timely improvements and innovations



THE “DE DIFFERENCE”

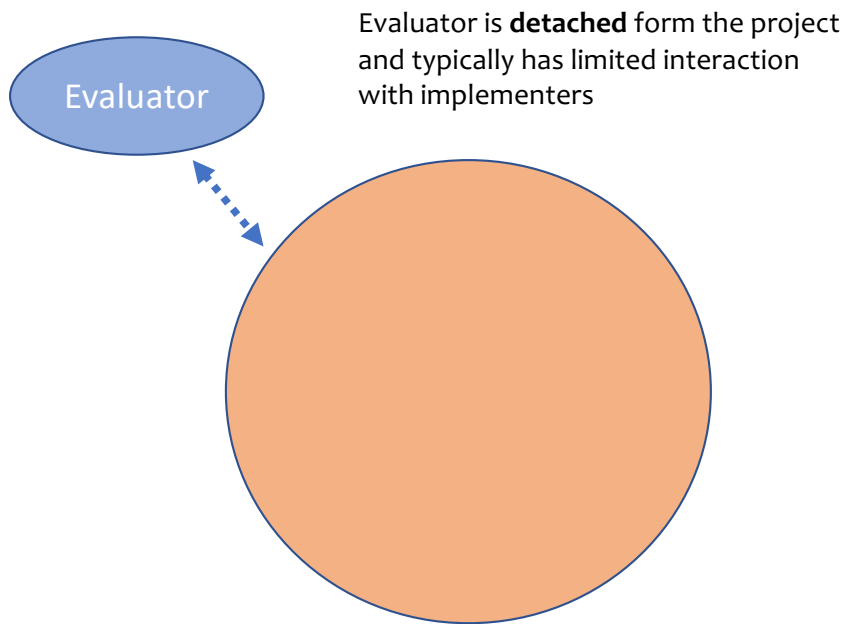
Key Principles

CONVENTIONAL EVALUATION	DEVELOPMENTAL EVALUATION
<p>DETACHED Evaluator is detached from the project and typically has limited interaction with implementers</p>	<p>EMBEDDED Evaluator physically co-locates and partners with project implementers</p>
<p>RIGID Tracks and measures project results using pre-defined methods and frameworks</p>	<p>FLEXIBLE Tailors evaluation design and methods to emerging priorities and situational dynamics</p>
<p>EPISODIC Collects, analyzes, and delivers evidence at discrete point in time-based on pre-determined design</p>	<p>ITERATIVE Collects and analyzes evidence in real-time and iteratively engages users in learning over project life course</p>
<p>JUDGEMENT-FOCUSED Renders external judgement of a project’s success or failure, usually based on donor priorities</p>	<p>USER & LEARNING FOCUSED Focuses on priorities of intended evaluation users; embraces failure as learning opportunities</p>
<p>LINEAR-THINKING Based on linear cause-effect models; context is noise</p>	<p>COMPLEXITY-THINKING Sensitive to uncertainty and emergence as well as non-linear dynamics in process and outcome</p>

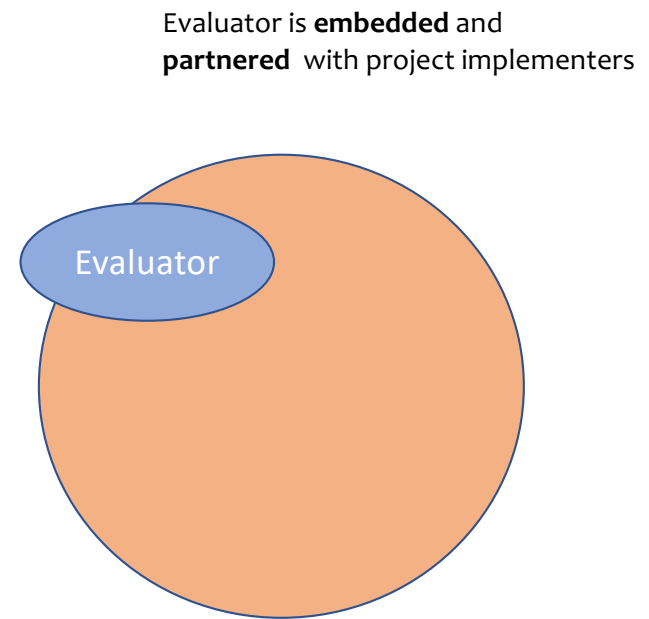
Adapted from “A Developmental Evaluation Primer” Gamble JAA, 2008. JW McConnell Family Foundation

THE “DE DIFFERENCE”

Detached vs. Embedded



Traditional Evaluation



Developmental Evaluation

THE “DE DIFFERENCE”

Rigid vs. Flexible

DE tailors evaluation design and methods to emerging priorities and situational dynamics

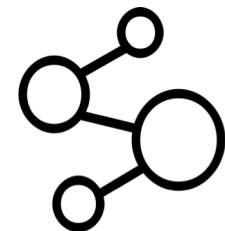
DE is *not* a method, protocol, or plug-and-play tool, but a broad approach encompassing different designs and methods



Rapid participatory assessment



Surveys



Mapping and Visualization



Structured Observation



Outcome Exploration

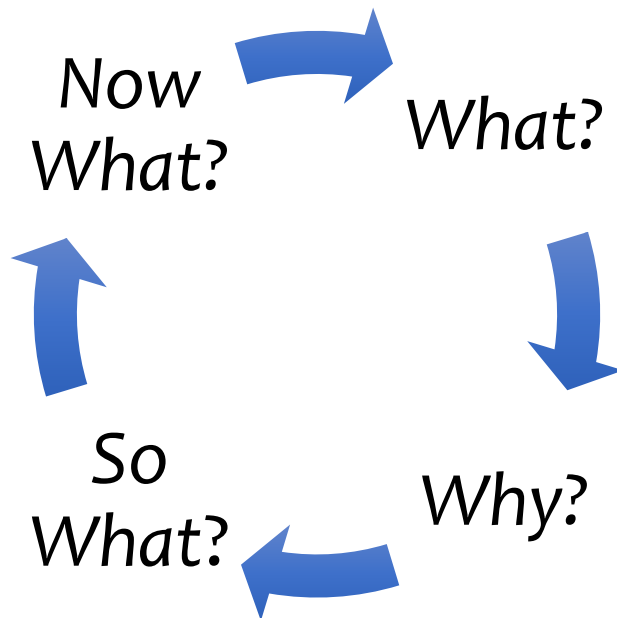


Secondary analysis

THE “DE DIFFERENCE”

Darling et al. Emergent Learning”, The Foundation Review, 8:1.

Episodic vs. Iterative



DE Follows an iterative Inquiry Framework to guide **evidence generation and learning**

What?	<ul style="list-style-type: none"> • What do we see? What is emerging as the innovation/activity takes shape? • What does data tell us? • What variations in effects are we seeing? • What are the indicators of change or stability? • What are "we" doing differently? • What cues can we capture to see changing patterns as they emerge?
Why?	<ul style="list-style-type: none"> • What sense can we make of emerging data? • What do initial results reveal about expected progress? • Why are we seeing what we are seeing, what factors are driving outcomes and processes? • How have different values, perspectives, and relationships influenced the innovation and its outcomes?
So What?	<ul style="list-style-type: none"> • What constitutes success (in terms of integration- stakeholder perceptions) • What constitutes reliable evidence of change? How do we know? • What does it mean to us in this moment and in the future? • What effect are current changes likely to have on us, our clients, our extended network and our field of inquiry and action? • How is the larger system or environment responding to the innovation? • Where is change needed most? At what levels and domains?
Now What?	<ul style="list-style-type: none"> • What are our options? What are our resources? When and how can we act – individually or collectively – to optimize opportunities in this moment and the next?

Adapted from “A Developmental Evaluation Primer” Gamble JAA, 2008. JW McConnell Family Foundation

Addressing Complexity

Examples of real-time adaptation learning

Gavi Full Country Evaluations (2013-2016)

- Qualitative and quantitative investigation of vaccine partnership networks
- brought new understanding to Gavi about the importance of sub-national networks of partners as well as the fragmented provision of technical assistance
- to be addressed in the new Partnership Engagement Framework (*system-wide change*)

USAID Boresha Afya - Integrated Health Services in Tanzania (2017-2021)

- Outcome Harvesting detects unanticipated outcomes; for example
- Evidence of increased male partner engagement on ANC and FP actually due to men and women gaming the system; subverts project goals
- initiates dialogue between implementing partners and government to review and modify guidelines (*targeted-course correction*)

THE “DE DIFFERENCE”

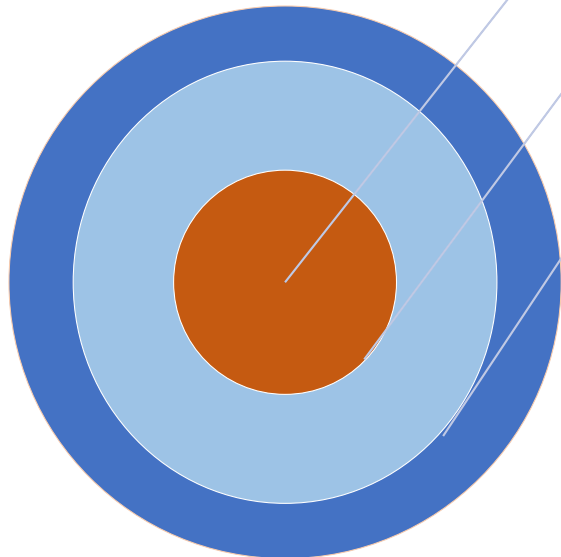
Judgement-focused vs. User & learning focused

Who needs to get the information?
When do they need it?
How best to share knowledge?

Intended Users

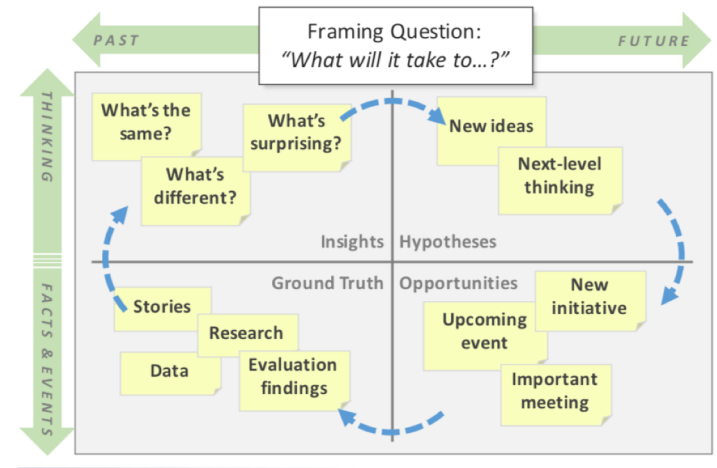
Stakeholders

Audiences



DE focuses on intended use of the evaluation by **intended users** from beginning to end

Darling et al. 2016. Emergent Learning Framework. The Foundation Review, 8:1



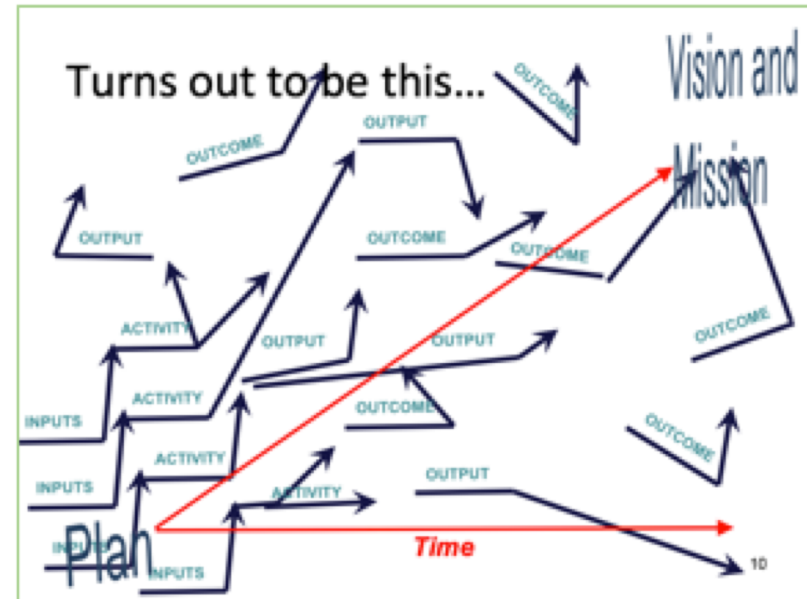
Uses various tools for tracking learning and adaptive management

Decisions made	Date	Action taken	Date	Effects observed	Priorities for follow up

THE “DE DIFFERENCE”

Linear-thinking vs. Complexity-thinking

In complex dynamic systems, with high uncertainty and change, fixed interventions may be failing to detect unanticipated, emergent outcomes and adapt to change



Developmental Evaluation, (Patton, 2010)

Addressing Complexity

Splash and Ripple

The rock is like a material Input, the person holding the rock is like a human resource Input. The act of dropping the rock is like an Activity. When the rock reaches the water, it creates a SPLASH. These are your Outputs. The RIPPLES, spreading out from the splash are like your Outcomes, short, intermediate and long term. The edge of the pond represents the geographic and population boundaries of your project.



Addressing Complexity

Splash and Ripple

The rock is like a material Input, the person holding the rock is like a human resource Input. The act of dropping the rock is like an Activity. When the rock reaches the water, it creates a SPLASH. These are your Outputs. The RIPPLES, spreading out from the splash are like your Outcomes, short, intermediate and long term. The edge of the pond represents the geographic and population boundaries of your project.



But what happens to the ripples (outcomes) when meet with changing situation?

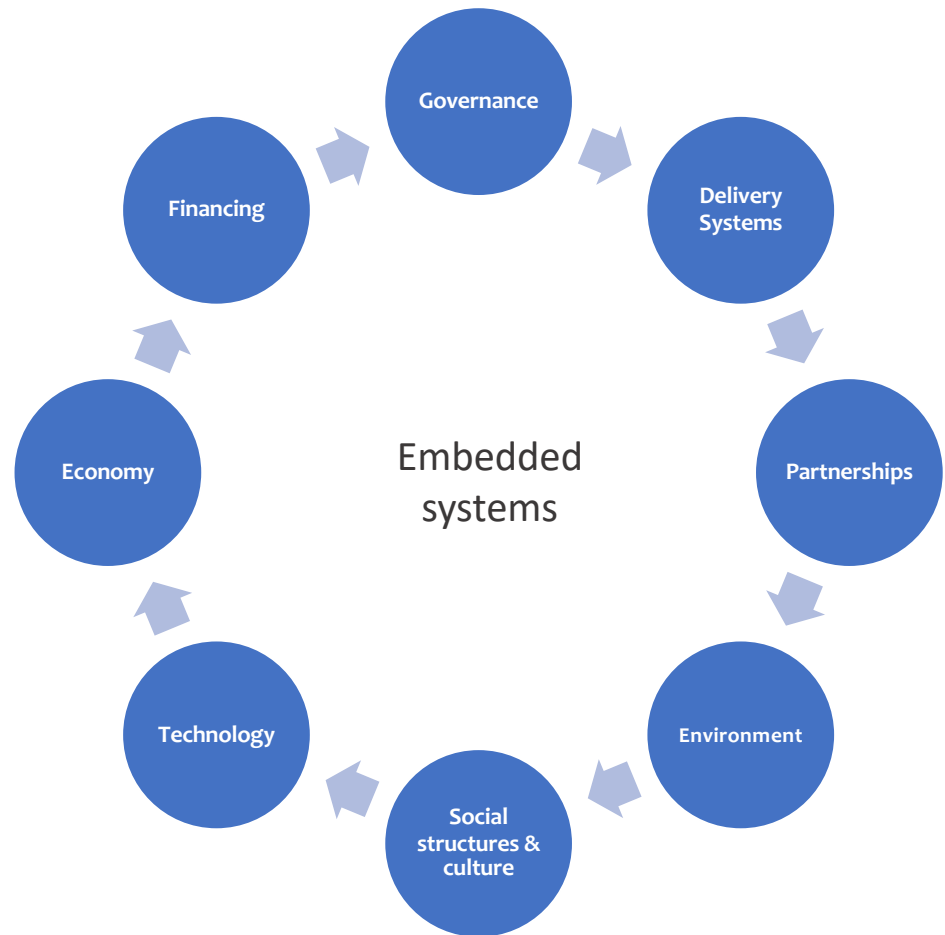
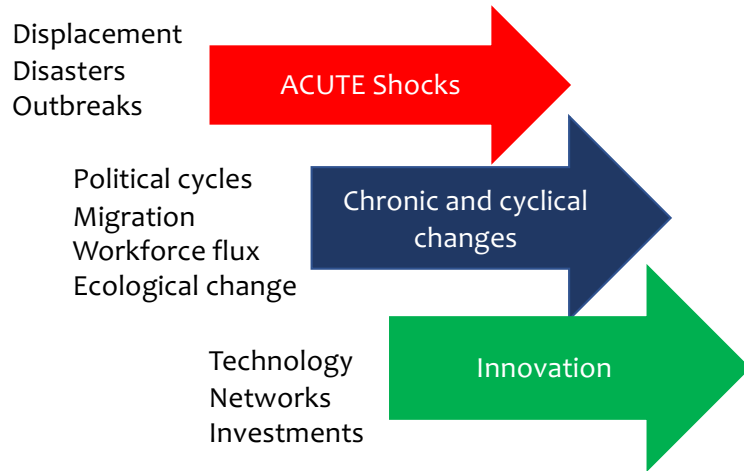
How predictable are the ripples when faced with:

Wind or high waves?
(shocks)

Less water than anticipated? (shortage)

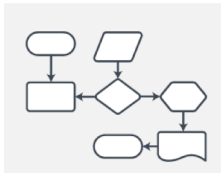
Newcomers who want to throw sticks instead of rocks?
(disruptive innovation)

Addressing Complexity

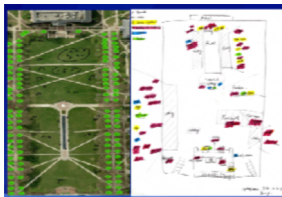


Addressing Complexity

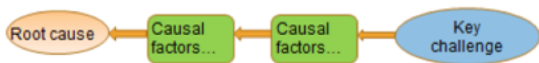
Some Complexity-Oriented Methods



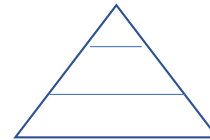
Process Mapping and Theory of Change



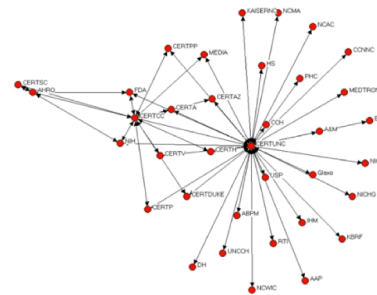
Geo-spatial Mapping



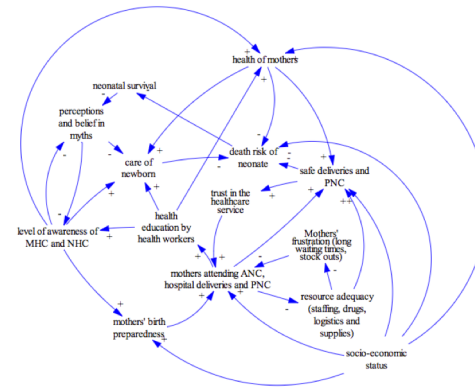
Root-cause Analysis And Outcome Harvesting



Most-significant change



Social network mapping and Agent-based modelling



Casual-loop diagrams / Stock and flow diagrams

“Isn’t DE the same thing as...?”

No... but there is a family resemblance!

Monitoring?

- Both involve continuous tracking and generating evidence
- Monitoring is based in fixed framework and pre-determined indicators; DE is more flexible and dynamic
- Monitoring addresses **What’s happening?** but not **Why?**; DE can deep dive to answer **Why?**

Process Evaluation?

- DE uses a lot of process assessment and is prospective in approach
- Process evaluation can be purely retrospective and may not use embedded or real-time approach
- Process evaluation may not always be linked to outcomes; DE also uses outcome-oriented methods like Outcome Harvesting and Most-significant change.

Quality Improvement?

- Both involve iterative evidence generation and learning
- PDSA, Six Sigma, Lean Management, etc. have specific methodologies/certification; DE has more flexibility
- QI/CQI are organizational management tools aimed at problem solving in a team; DE has wider application including the evaluation of CQI (*Laycock et al, 2017, BMJ Open,7, Torres Strait Health Services Study*)

Implementation Research (IR)?

- IR is big box approach to delivery science; like DE uses different designs and methods
- IR is fairly new approach developed in public policy and global public health; DE has lineage and pedigree in M&E and social science going back to 1980s.
- Some, but not all IR designs involve iterative, adaptive management and embedded research

When to do, and not do DE?

<i>DE is appropriate when my project ...</i>	<i>DE is not appropriate when my project when...</i>
✓ Operates in rapidly changing, or highly volatile environment that affect outcomes	✗ Stakeholders have limited time or willingness to engage with routine feedback from evaluators
✓ When outcomes are difficult to measure or predict because of non-linear and interdependent variables	✗ Stakeholders are averse to negative findings
✓ Has undefined or untested theory of change	✗ A high level of certainty and inflexibility is required in design
✓ Is piloting a novel intervention	✗ Stakeholders are not amenable to exploration and experimentation
✓ Operates in socially and operationally complex environments with multiples partners, expectations, and values.	✗ Stakeholders have limited capacity or willingness to adapt the project
✓ Has limited evidence of effectiveness in the local context and can benefit from deeper exploration and learning	✗ There is a low level of rapport and trust between program staff and evaluator

Mostly about operational and situational factors

Mostly about stakeholder attitudes and readiness

(Adapted from Patton 2015)

Setting up a Developmental Evaluation

Key considerations

- Assess evaluation needs, objectives, including existing or other planned evaluations
- Determine fit of DE to context
- Determine readiness of stakeholders (assessment and self-assessment tools)
- Recruit and build capacity of Evaluator/Evaluation Team
- Conducting stakeholder mapping and analysis; define intended users
- Engage and sensitize stakeholders, especially intended users to DE and continue to build readiness (on-going process); hold an Enculturation Workshop
- Design evaluation and budgeting and determine deliverables; but don't overplan; *Have a plan and hold it lightly (Glenda Eoyang)*
- Set expectations embedding evaluators and user engagement process

Setting up a Developmental Evaluation

Ideal evaluator capacities:

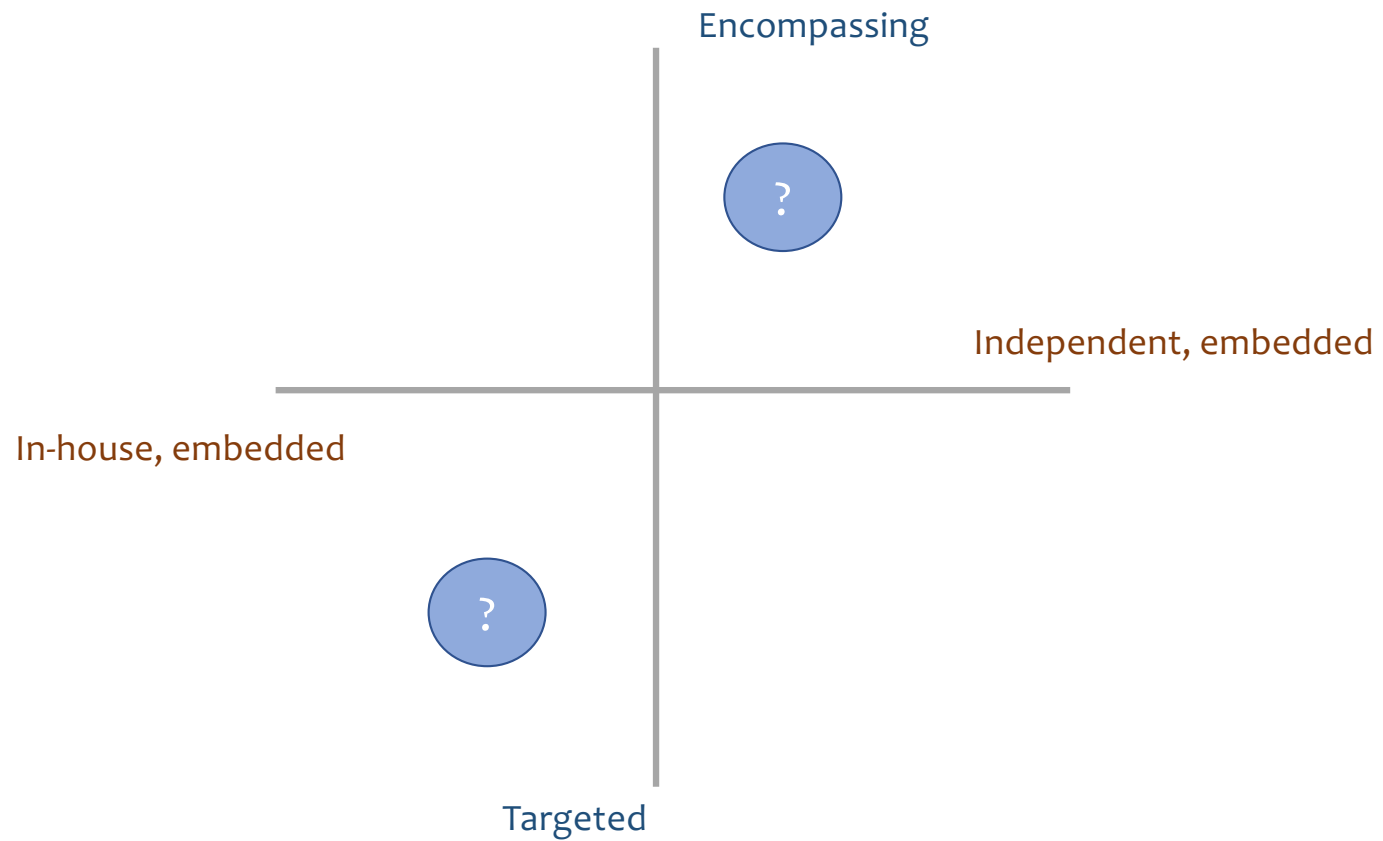
- Technical skills (mixed method design and analysis,)
- Holistic perspective and Problem solving- skills
- Effective communication and empathy
- Leadership

GREAT MOMENTS IN EVALUATION DESIGN



"Just to be on the safe side, let's look into evaluation models that don't involve working with people."

When to do, and not do DE?



When to do, *and not do* DE?

Common DE Challenges

- Un-readiness or resistance of client
 - Organizational structures and resources not conducive to adaptive management
 - Biases and assumptions around evaluation
- Requirements around reporting and evaluation products not aligned with iterative and real-time approach
- Trade-off between breadth and depth and what is realistic to achieve
- Embedding evaluators requires rapport, trust, and management of expectations with partners
- Potential for evaluator and stakeholder fatigue with continuous engagement, without appropriate planning
- Resource intensive to have full time evaluator or evaluation team through project cycle
- No unified framework for design, can be difficult to know where to start

Setting up a Developmental Evaluation

CIRCLE DE of Boresha Afya

- **WHAT:** 4-year DE of a Boresha Afya, a USAID initiative to improve integrated, client-centered health services delivery in 3 geographic zones of Tanzania
- **WHO:** USAID Tanzania Mission, Government of Tanzania (President's Office, Regional Administration and Local Government), Key Implementers (Deloitte, EGPAF, Jhpiego), CIRCLE Project
- **WHEN:** 2017-2021



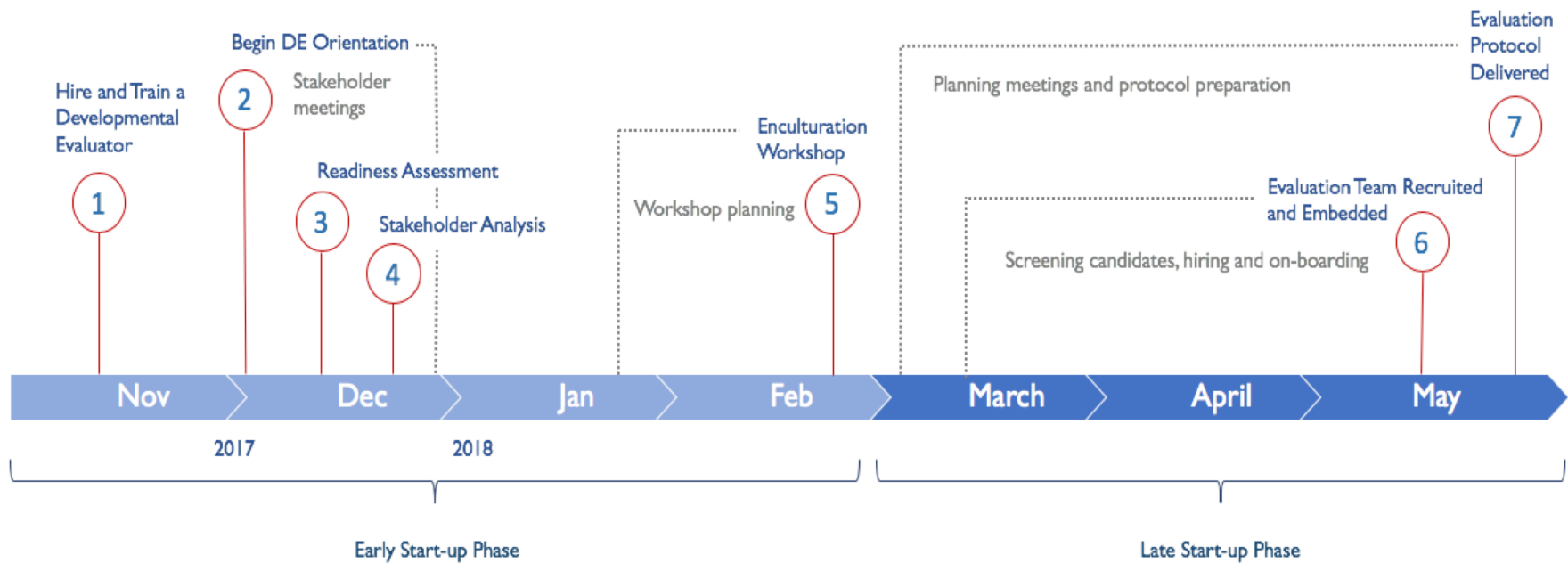
TANZANIA



Setting up a Developmental Evaluation

USAID Health Research Program Blog:
[Seven Steps to Setting up a Developmental Evaluation](#)

DE Start-up Timeline and Steps



Global Context

Developmental Evaluation has been part of the development space for 3 decades, but only now gaining traction in global health.

Gavi Full Country Evaluations: <https://www.gavi.org/results/evaluations/hss/full-country-evaluations/>

→ **Global Fund Prospective Country Evaluations:** <https://www.theglobalfund.org/en/technical-evaluation-reference-group/prospective-country-evaluations/>

USAID CIRCLE Project (DE of Boresha Afya): <https://www.harpnet.org/blog/>

USAID DEPA-MERL (DE Pilot Program): <https://www.usaid.gov/GlobalDevLab/MERLIN/DEPA-MERL>

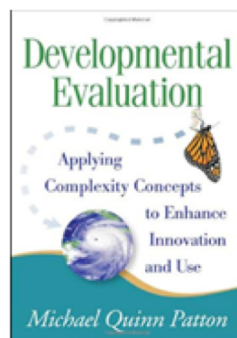
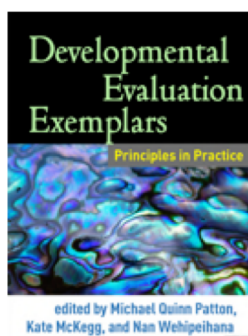
Investments in a Complexity Methods from Developmental Evaluation:

Outcome Harvesting: (USAID, World Bank Group, UNDP, Ford Foundation, DFID, Other partners, Global Community of practice)

Developmental Evaluation Resources

CIRCLE DE Blogs

<https://www.harpnet.org/project/circle/>



Texts by Michael Quinn Patton and others



Seven Steps to Setting up a Developmental Evaluation

September 2018

Coordinating Implementation Research to Communicate Learning and Evidence (CIRCLE)



How A Developmental Evaluation Will Improve Tanzania's Boresha Afya Program

August 2018

Coordinating Implementation Research to Communicate Learning and Evidence (CIRCLE)



BetterEvaluation

Sharing information to improve evaluation

www.betterevaluation.org

THANK YOU!

Ashwin Budden, PhD
ashwinbudden@gmail.com

D'EVA CONSULTING
— Program Design + Evaluation —

Washington, D.C.