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Final Report of the Asia-Pacific Forum for ESD Educators and Facilitators

Tokyo, Japan, 22-24 August 2009

Evaluation

(2) Process Evaluation

Kusago Takayoshi

Osaka University, Japan

I would like to start my presentation by referring to key issues related to evaluation, firstly about the characteristics and limitation of the conventional evaluation approach. As this session focus on programme evaluation, it is important to talk about a need for alternative evaluation approach. I think this is precisely closely related to the HOPE methodology, and I would like to introduce you another and similar way of evaluation, which is called "Empowerment Evaluation". And the last part of my presentation is the conclusion.

So, what I would like to share with you is from the evaluation methodology to alternatives in evaluation. Since yesterday we have heard and discussed the issues of evaluation - who evaluates and why? Nowadays, there is more and more support and interest from both practitioners and researchers about scientific or evidence-based evaluation. Evidence-based evaluation requires a lot of techniques, and the techniques become so sophisticated, that one has to design baseline data nicely before the introduction or before the implementation of the project. Experts, especially those with technical expertise such as statistician, become very influential in identifying what really is the meaning, what really is applicable to make a successful change in the society. And they prefer to use quantification of the outcome. So, in evaluation, more and more numbers or statistics are used. The quantifiable issue becomes a serious one, and many are aware of it.

What is this conventional evaluation method about? It is mandatory to capture progress or improvement of a programme from its outset to the end. To capture the change, experts have to decide its measurement. What kind of indicators do we use to clearly understand the impact of the project? Then quantitative analysis is applied, and in most of the cases, the outcome or change needs to be contrasted by so-called control-group. A control group means the group without intervention of the project. If improvement is evidenced by quantitative measures, then what would happen? The sponsors or funders of the project may like to pick successful activities for up-scaling. This is conventional way of project development and expansion. Development measures such as school enrollment rate and academic scores like PISA exemplify indicators used by conventional evaluation approaches. If a new programme to improve the enrollment ratio is designed and implemented, the success or failure of the programme will be judged by the progress or change of "the enrollment ratio." If we see the enrollment ratio goes higher and higher, we are very happy to see the outcome of the programme. Then, some programmes again can be up scaled.

We need to question about effectiveness of this type of conventional approach. Now let me pick one or two queries to conventional evaluation. First, can we say that the programme has accomplished its objective by meeting the targeted scores of the selected performance indicators or measures? This might make people working on the programme think of attaining good numbers as the goal. There might be a percentage point change in enrollment ratio meaning success of the educational programme. Here is another query; what are the fundamental issues to have positive outcome of the programme? In other words, what do we care about the outcome and in what way? What is the objective of that specific programme and who are the people involved and targeted to make the programme successful in the long run? How does the new programme influence the people's livelihood? Can we know that this is going to be really sustained? Can we know it by the objective measures through conventional evaluation, selected by evaluation experts such as consultants? I think these two questions are the questions that Prof. Nagata has raised and many of us discussed.

Before I start the second part of my presentation, I would like to share a real story from one country. I don't want to mention the name of the country but it is a country in South Asia. In that country, a new programme was designed and implemented by the government with the support from big donor agencies. The programme was to provide two litres of canned cooking oil

every month if a family continues to send a daughter to a primary school. Then this programme was considered as good and successful because it increased the girl's school enrollment ratio. So, this programme is precisely meeting the educational development target. This programme looks fine as long as the number of families with daughters keep sending their daughters to the school. In fact, the donor agencies and the government highlighted this programme as one of the successful model to project improve girls' primary education. However, what really happened? The programme made serious negative impacts on some school children. Why and in what way? There was one condition in the programme: every family could receive four liters of cooking oil, in other words, maximum two daughters will be qualified to get the cooking oil. So, some families started sending their third and fourth daughters to different schools to receive more than four litres of cooking oil. They were forced by their parents to move from one school to another. The point here is that this should be viewed as a kind of negative outcome of the programme on girls' education. If this is the case, how do we call the success of that programme? And from the perspective of these daughters, learning environment and the quality of schooling might be deteriorated because of the forced change of their school, especially, those who went to better schools but forced to go to other schools with low quality . In addition to this problem, the cooking oil itself is not traditionally used at home cooking, so this might cause some health problem too. These are all what I heard in the country. This case implies the following: capturing the evidence used by conventional evaluation is not complete and it sometimes misleads people's behaviour and outcome of the programme. I think the conventional evaluation has some limitation, and. this example sends some warning signal and raises serious issues as follows:

First issue is about the role of evaluation. Conventional evaluation always looks at the static targets of a programme. Like in Prof. Nagata's presentation, someone is using a magnifier and seeing how the things are going from only his perspective. But this particular glass never changed anything or remained the same. Second issue is a lack of holistic assessment. Just like the HOPE evaluation, holistic assessment covers a dynamic change incurred by the programme. I think conventional evaluation could not grasp outcome of the programme through this dynamic perspective. Third issue is the need for alternative methodology in evaluation. And I find the HOPE methodology as one of such, and I would like to show you another approach from the view of empowerment. Again I would like to reiterate what I said previously about the key issues in development and programme: what are critical factors to ensure sustainable development and what sustainability means in ESD? The importance should be on who should be in-charge of sustainable development

action in any of local areas and whose views or whose eyes become crucial to evaluate any programme actions to make sure that local sustainability will be embedded. If we agree that local people should sit in the driver's seat to forge the sustainable development path, then the levels of their ownership and long-term engagement toward development programmes should be looked into and enhanced *through* the evaluation.

Conventional evaluation is led by external experts. External experts are not strong enough to capture this local *process*, which might be caused by the construction of its methodology. The alternative evaluation method is quite close to what Prof Nagata has described on the HOPE methodology. The point is that we need alternative evaluation approaches, and the alternatives should pay attention to the process of the programme development. The people's perspectives and holistic or subjective assessment over the programme need to be incorporated into the evaluation. In particular, own reflection is important, which is very weak in conventional approach. As one of the alternative approaches, I highly respect *process-oriented evaluation*, and find it more effective to the conventional one. From now to until the end, quite a few times, you will hear "process," "process," "process." So, you might consider me as a philosopher in process.

Process-oriented evaluation is designed and implemented by the people who participate in the programme. This process-oriented approach could give practical feedback to the programme implementation, leading to its further improvement through evaluation process. And process-oriented evaluation process could incorporate flexible goal setting into the implementation of the programme as well, which means process-evaluation is not static. Then goals can be changed by the people themselves through the process.

Now, I would like to talk about empowerment evaluation. There is one professor at Stanford University in the United States called Prof David Fetterman and he invented this empowerment evaluation in the early 1990s. In the mid-1990s, the empowerment evaluation became popular in the U.S., when he was president of the American Evaluation Association (AEA), and some AEA members debated heavily if empowerment evaluation was an alternative evaluation. And of course, since then, empowerment evaluation circle has been growing, so this shows that empowerment evaluation is now considered as one good approach to evaluate programme outcome. The empowerment evaluation is growing not only in the U.S., but in the world now, including U.K. and South Africa, and Dr. Fetterman was invited to give workshop in Nepal, Ethiopia, Puerto Rico, and so on.

What is definition of empowerment evaluation? First, empowerment evaluation is the use of evaluation concepts, techniques, and findings to foster improvement and self-determination. Second, it has an broader definition: "The evaluation approach that aims to increase the probability of achieving programme success by first providing programme stakeholders with tools for assessing the planning, implementation, and self-evaluation of their programme, and second, by mainstreaming evaluation as part of the planning and management of the programme/organisation." This is what Dr. Fetterman has defined.

Contrasts: Conventional Evaluation vs. Empowerment Evaluation (Fetterman)

	Conventional Evaluation	Empowerment Evaluation
Types	External	Internal
Role of Evaluator	Expert	Coach or Critical Friend
Fosters...	Dependency	Self-determination & Capacity Building
Method	Independent judgment	Collaboration

Now, let me show you the contrasting information about this method against conventional one. Conventional evaluation is an external type of evaluation, but empowerment one is more internal. The conventional one hires experts as evaluators. In empowerment evaluation, evaluator is a coach or a critical friend giving some advice or suggestion to those who are in the programme. Then what does this approach foster? Conventional one sometime creates dependency, while empowerment evaluation encourages self-determination and capacity building. And methodology of the conventional ones uses independent judgment by the experts, but empowerment evaluation is based on collaboration among the people involved in the programme and evaluator. This collaborative effort makes the people involved to share what needs to be done to improve their own programme, project, and activity.

You might wonder how this system works out. Before explaining its methodology, I would like to introduce the comment made by Dr. Fetterman. Actually I shared my presentation with him and he advised me to include

this slide. So, on behalf of him, I share important point he has made over the empowerment evaluation. There are three to four different types of theories behind this empowerment evaluation but the most critical part – the most important theory, theoretical perspective of empowerment evaluation is "*process use*." Process use means that the more the people engage in the act of conducting their own evaluations, the more likely this people will find the results credible and act on the recommendations. Then engagements and collaborations will be ensured. This is what the process use means. The concept of the empowerment evaluation consists of a critical friend, cycles of reflection and action, culture of evidence, culture of listening, and reflective practitioner. These are also part of the empowerment evaluation method.

Now, let me quickly explain you the steps to implement the empowerment evaluation. Empowerment evaluation session consists of three steps; (1) mission, (2) taking stock, and (3) planning for the future.

(1) First step: *mission*. The members, engaged in the programme, find and share group-based value by developing a mission statement together. If five of us are to evaluate our panel session, we can discuss the mission or goal of this panel. And when we agree the mission and we can start doing the next step - taking stock part.

(2) Second step: *taking stock*. For baseline identification, we need to set the baseline and how to take stock. For taking stock, we need to do first is to list specific activities like communication, teaching, and fund raising. Then we can make a list of these activities and decide which one is really high on priority. For this, each of us will usually receive five dots to express own priority. After prioritized activities are selected, we need to do rating. Each person scores each item for maximum of 10 points, and after calculation if you look at the average of all of the members' points, you can see who now is most optimistic or pessimistic person about the programme progress and which activities do people care most or least. The important thing is to ignite dialogue and the situational analysis among the members based on the information through this empowerment evaluation step.

(3) Third step: *planning for the future*. It is important to set and detail out where we would like to see the program could reach in one or two years time, or at the end of the programme based on the second step part.

The empowerment evaluation sessions can be done regularly. For monitoring purpose, we can plan to hold a session three or six months apart. After the baseline setting is done in the first session, the members can always do the same exercise in order to see changes by themselves through the numbers they

set and check if and to what extent the programme activities have made some progress.. Empowerment evaluation allows people to see the dynamic aspect of programme development by themselves. This creates a kind of loop or feedback mechanism from evaluation exercise to the programme improvement itself. This is uniqueness of this empowerment evaluation approach.
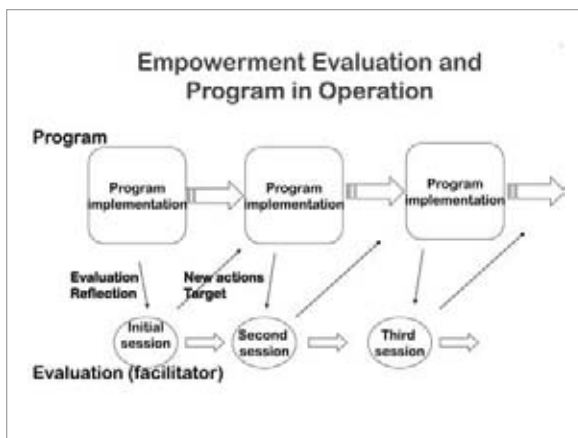
In the conventional evaluation, the programme and evaluation part are independent. The evaluation always tries to see the programme from evaluator's perspective and collect some information or data by checklist or quick interview, and write some evaluation report. Then the report is submitted to sponsor of the programme. How about the empowerment evaluation? The empowerment evaluation has a link between the programme and the evaluation. While the programme is going, the evaluation and reflection are made by the people involved in the programme together with this evaluator, and the evaluator function as facilitator. Thus, the initial session, and the session's recommendations or strategies can be reflected into the programme development. This is how the programme and evaluation are linked closely and going together.

The empowerment evaluation has 10 principles. This is also an important part of it, but I will not go into details today. Issues appropriate to apply empowerment evaluation include education, health, social welfare, and institutional building. We can see that there may be a link between social issues, such as conflict, crime spreading and migration. These are probably sustainable or unsustainable issues in this world. Then how can we challenge to realize a co-habitation society? How can we realise it? How can we have

support for actions against global issues like the case of ending poverty campaign in Republic of Korea? I can say the programme or team-based work can adopt empowerment evaluation methodology. We all can see these are areas appropriate for introducing empowerment evaluation methodology or some type of participatory, process-oriented, methodology.

In conclusion, I think, it is time for us to take further stride to improve the present style of evaluation. The conventional one is lacking the loop or feedback mechanism for improvement of on-going programme. The process-oriented evaluation has an edge to help people in charge of the programme and improve their own programmes through evaluation, particularly through evaluative or critical thinking and democratic feedback. Empowerment evaluation has commonalities with conventional ones in terms of baseline use or data gathering and of qualitative and quantitative methodology. Difference is in its nature of reflection and improvement by the people involved and engaged in the programme, empowerment evaluation and other forms of process-oriented methodology have potential to install culture of self-help, team-building, and empowerment into the process of development programme. I have no time to introduce you other types of process-oriented methodology but I will keep them for the next time if such opportunities arise. Before I conclude, I would like to utilise a Chinese saying of the fishing. Someone said that the teaching how to catch a fish is better; but, I think it is far better to make them think how to catch a fish by themselves.

(Transcribed from his presentation at the Forum)