WELCOME to the webinar “How to evaluate interventions in complex dynamic environments?”
28 February 2012

This Live Webinar will start at 11:30 AM, New York time.

All microphones & webcams are disabled and we will only enable microphones during the Q&A portion. Therefore, you will not hear any sound/noise till the beginning of the webinar.
Series of 17 live webinars on “Equity-focused Evaluations”
Interact live with 28 world-level evaluators

This series of webinars addresses the challenges and opportunities in evaluating the effects of policies, programmes and projects to enhance equitable development results, with a special focus on the effects to the most excluded, marginalized and deprived groups.
Available in MyM&E

“Evaluation for Equitable Development Results” will be available early 2012
The book will be available at MyM&E Virtual Library

www.mymande.org
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<th>Name</th>
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<tr>
<td>Colin KIRK</td>
<td>Evaluation to accelerate progress towards equitable development</td>
<td>6 September 2011</td>
<td>9:30 AM NY time</td>
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<tr>
<td>Penny HAWKINS</td>
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<tr>
<td>Belen SANZ</td>
<td>Human rights and Gender equality in evaluations</td>
<td>21 September 2011</td>
<td>9:30 AM NY time</td>
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<tr>
<td>Flaminia MINELLI</td>
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<td>Marco SEGONE</td>
<td>How to design, implement and use equity-oriented evaluations</td>
<td>4 October 2011</td>
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<td>Michael BAMBERGER</td>
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<tr>
<td>Saville KUSHNER</td>
<td>Case study evaluation as an intervention for promoting equity</td>
<td>11 October 2011</td>
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<tr>
<td>Bob WILLIAMS</td>
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<tr>
<td>Martin REYNOLDS</td>
<td>Systems approach (CSH) to address ethical issues</td>
<td>14 November 2011</td>
<td>3:00 PM NY time</td>
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<tr>
<td>Patricia ROGERS</td>
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<td>Richard HUMMELBRUNNER</td>
<td>Program theories and LogFrames to evaluate pro-poor and equity programs</td>
<td>22 November 2011</td>
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<tr>
<td>Michael Quinn PATTON</td>
<td>Developmental Evaluation</td>
<td>6 December 2011</td>
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# Webinars on Equity-focused Evaluation 2012

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<td>Donna MERTENS</td>
<td>Methodological guidance in evaluation for Social Justice</td>
<td>24 January 2012, 9:30 AM NY time</td>
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<td>Jennifer GREENE</td>
<td>Values-Engaged Evaluation</td>
<td>15 February 2012, 1:00 PM NY time</td>
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<tr>
<td>Michael Quinn PATTON</td>
<td>How to evaluate interventions in complex dynamic environments?</td>
<td>28 February 2012, 11:30 AM NY time</td>
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<td>Rodney HOPSON</td>
<td>Cultural Responsiveness in Applied Research and Evaluation Settings</td>
<td>15 March 2012, 2:00 PM NY time</td>
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<td>Francisco GUZMAN</td>
<td>Evaluation of the ILO’s strategy to eliminate discrimination in employment and occupation</td>
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<tr>
<td>Oscar GARCIA</td>
<td>Evaluating equity-focused public policies. The case of Brazil and Mexico</td>
<td>April 2012</td>
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<td>Katherine HAY</td>
<td>A healthy discomfort? Development, equity and evaluation</td>
<td>May 2012</td>
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<td>Sanjeev SRIDHARAN</td>
<td>Ten Questions that Evaluations of Health Equity Initiatives should answer</td>
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<td>Julian BARR</td>
<td>Evaluation of climate change interventions for excluded populations</td>
<td>June 2012</td>
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<td>Ken CHOMITZ</td>
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The recording will be available at
www.mymande.org
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Keynote Speaker

Michael Quinn PATTON, Founder and Director, Utilization-Focused Evaluation, and former President of the American Evaluation Association
11:30 – 11:35  Welcome and introduction  
*Marco Segone, Systemic Management, UNICEF Evaluation Office*

11:35 – 11:55  Michael Quinn PATTON, *Founder and Director, Utilization-Focused Evaluation, and former President of the American Evaluation Association*

11:55 – 12:25  Questions and Answers  
*Moderator: Stewart Donaldson, Dean & Chair of Psychology School of Behavioral & Organizational Sciences, Claremont Graduate University*

How to evaluate interventions in complex dynamic environments:

Developmental Evaluation

Michael Quinn Patton
Challenge:

Matching the evaluation process and design to the nature of the situation
Seeing Through A Complexity Lens
Complex Nonlinear Dynamics

- **Nonlinear**: Small actions can have large reactions. “The Butterfly Wings Metaphor”
- **Emergent**: Self-organizing, Attractors
- **Dynamic**: Interactions within, between, and among subsystems and parts within systems can volatile, changing
- **Getting to Maybe**: Uncertainty, unpredictable, uncontrollable
Getting to Maybe: How the World Is Changed?
Frances Westley, Brenda Zimmerman, Michael Q. Patton
Random House Canada, 2006

This book is for those who are not happy with the way things are and would like to make a difference. This book is for ordinary people who want to make connections that will create extraordinary outcomes. This is a book about making the impossible happen. Getting to Maybe: How to Change the World.
Chapter 4

Situation Recognition and Responsiveness: Distinguishing Simple, Complicated and Complex
Conceptual Options

• Simple

• Complicated

• Complex
Situation Analysis Matrix: Mapping the Territory
Simple Space

Agreement

Close to 

Simple

Plan, control

Far from 

Certainty
The recipe is essential

Recipes are tested to assure replicability of later efforts

No particular expertise; knowing how to cook increases success

Recipes produce standard products

Certainty of same results every time
Technically Complicated

![Diagram showing the relationship between Agreement, Certainty, and the complexity of tasks such as Simple Plan, control vs. Technically Complicated Experiment, coordinate expertise.]}
**Simple**
Following a Recipe
- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipes produce standard products
- Certainty of same results every time

**Complicated**
A Rocket to the Moon
- Formulae are critical and necessary
- Sending one rocket increases assurance that next will be ok
- High level of expertise in many specialized fields + coordination
- Rockets similar in critical ways
- High degree of certainty of outcome
Socially Complicated

- Close to
- Far from

Agreement

- Socially Complicated
  - Build relationships, create common ground
- Simple
  - Plan, control
- Technically Complicated
  - Experiment, coordinate expertise

Certainty

Close to

Far from
Socially complicated

Implementing human rights agreements, like gender equity or outlawing child labor

Environmental Initiatives

- Many different and competing stakeholders
- Diverse vested interests
- High stakes
Socially complicated situations pose the challenge of coordinating and integrating many players.
Know When Your Challenges Are In the Zone of Complexity

- Close to Simple
  - Plan, control

- Far from Technically Complicated
  - Experiment, coordinate expertise

- Close to Socially Complicated
  - Build relationships, create common ground

- Far from Agreement
**Simple**
Following a Recipe

- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipes produce standard products
- Certainty of same results every time

**Complicated**
A Rocket to the Moon

- Sending one rocket increases assurance that next will be OK
- High level of expertise in many specialized fields + coordination
- Rockets similar in critical ways
- High degree of certainty of outcome

**Complex**
Raising a Child

- Formulae have only a limited application
- Raising one child gives no assurance of success with the next
- Expertise can help but is not sufficient; relationships are key
- Every child is unique
- Uncertainty of outcome remains
Simple

Following a Recipe

- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipe notes the quantity and nature of “parts” needed
- Recipes produce standard products
- Certainty of same results every time

Complicated

A Rocket to the Moon

- Formulae are critical and necessary
- Sending one rocket increases assurance that next will be ok
- High level of expertise in many specialized fields + coordination
- Separate into parts and then coordinate
- Rockets similar in critical ways
- High degree of certainty of outcome

Complex

Raising a Child

- Formulae have only a limited application
- Raising one child gives no assurance of success with the next
- Expertise can help but is not sufficient; relationships are key
- Can’t separate parts from the whole
- Every child is unique
- Uncertainty of outcome remains

Wise executives tailor their approach to fit the complexity of the circumstances they face.
Wise evaluators tailor their approach to fit the complexity of the circumstances they face.
Prospective Example

Leadership Program Example

Simple elements

Complicated elements

Complex elements
Simple outcomes

- Increase knowledge and skills of participants

**Evaluation**: Pre-post data and documentation of learning
Complicated Impacts

- Change participants’ organizations

Evaluation:
Case studies of organizational change
Complex Vision

- Infuse energy into the moribund not-for-profit (voluntary) sector
- Make the sector more dynamic
- Create network of leaders who actively engage in change
Evaluating the Complex

• Real time follow-up of network connections and actions
• Follow-up is an intervention
• Rapid feedback of findings permits infusion of resources in support of emergent outcomes
Alice in Wonderland

• Evaluation lesson from her encounter with the Cheshire Cat
Complex Interdependencies
Insert action into the system
EMERGENCE
Dealing with the Unexpected and Unpredicted
Taking Emergence Seriously

- Beyond “unanticipated consequences” to genuine openness
Paradigms and Lenses

• The importance of interpretive frameworks
• Complexity as an interpretive framework
2011 Nobel Prize in Economics

The Nobel in economic science was awarded Monday (Oct 10, 2011) to Thomas J. Sargent at New York University and Christopher A. Sims at Princeton University for their research on the cause and effect of government policies on the broader economy, a major concern of countries still struggling to address the aftermath of the recent financial crisis.

Sims said: “The methods that I’ve used and that Tom has developed are central for finding our way out of this mess.” But asked for specific policy conclusions of his research, he responded, “If I had a simple answer, I would have been spreading it around the world.”

Dr. Sims, 68, is president-elect of the American Economic Association.

Conditions that challenge traditional model-testing evaluation

- High innovation
- Development
- High uncertainty
- Dynamic
- Emergent
- Systems Change

Adaptive Management and Developmental Evaluation
Attribution analysis
vs.
Contribution Analysis
Developmental Evaluation Defined

Purpose: Developmental evaluation (DE) informs and supports innovative and adaptive development in complex dynamic environments.

DE brings to innovation and adaptation the processes of asking evaluative questions, applying evaluation logic, and gathering and reporting evaluative data to support project, program, product, and/or organizational development with timely feedback.
Key DE Characteristics

• Focus on development (versus improvement, accountability or summative judgment)
• Takes place in complex dynamic environments
• Feedback is rapid (as real time as possible).
• The evaluator works collaboratively with social innovators to conceptualize, design and test new approaches in a long-term, on-going process of adaptation, intentional change, and development.
Mintzberg on Strategy

Intended Strategy

Unrealized Strategy

Deliberate Strategy

Realized Strategy

Emergent Strategy
## Five purposes of developmental evaluation

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<tr>
<th>Primary developmental evaluation purpose</th>
<th>Complex system challenges</th>
<th>Implications</th>
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<tbody>
<tr>
<td>1. Ongoing development</td>
<td>Being implemented in a complex and dynamic environment</td>
<td>No intention to become a fixed/standardised model Identifies effective principles</td>
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<tr>
<td>2. Adapting effective principles to a new context</td>
<td>Innovative initiative develops ‘own’ version based on adaption of effective principles and knowledge</td>
<td>Top-down—general principles knowledge disseminated Bottom-up—sensitivity to context, experience, capabilities and priorities <em>Adaptation</em> vs Adoption</td>
</tr>
<tr>
<td>3. Developing a rapid response in turbulent disaster situations</td>
<td>Planned interventions must adapt and respond as conditions change suddenly</td>
<td>Planning, execution and evaluation occur simultaneously</td>
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### Five purposes of developmental evaluation

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<td>4. Pre-formative development of potentially scalable innovative</td>
<td>Changing and dynamic situations require innovative solutions to worsening conditions Model needs to be developed/does not exist</td>
<td>Models may move into formative and summative evaluation, others remain in developmental mode Inform different potential scaling options</td>
</tr>
<tr>
<td>5. Major systems change and cross scale developmental evaluation</td>
<td>Disrupt existing system Taking an innovation to scale Major systems change and changing scale will add levels of complexity, new uncertainties and disagreements</td>
<td>System is the unit of change (and unit of analysis) Adaptive cross-scale systems change innovations assume complex, nonlinear dynamics requiring agility and responsiveness</td>
</tr>
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</table>
Some Particularly Appropriate Applications of DE: Examples of Innovative Arenas

- Social Movements and networks
- Human rights and advocacy Evaluation
- Large-scale, cross-sector, collaborative initiatives
- R & D in public health, technological innovation, science
- Public policy implementation
I evaluate; therefore, I am.

DEVELOP MENTAL EVALUATION
References


Website sample chapter:

website for the book:
http://www.guilford.com/cgi-bin/cartscript.cgi?page=pr/patton.htm&dir=research/res_eval&cart_id=824067.29797
THANK YOU!
Questions and Answers

MODERATOR

Stewart Donaldson, Dean & Chair of Psychology
School of Behavioral & Organizational Sciences,
Claremont Graduate University
Audience Questions
Wrap-up

Penny Hawkins, Rockefeller Foundation Evaluation Office, is the former Head of Evaluation for the New Zealand Aid Program, Ministry of Foreign Affairs and Trade and Vice-Chair of the OECD-DAC Network on Development Evaluation. She is a past President of the Australasian Evaluation Society, a founding board member of the International Organization for Cooperation in Evaluation (IOCE) and an IPDET (International Program for Development Evaluation Training) faculty member.
The recording will be available at www.mymande.org
Next webinar, 15 March 2012, 2:00PM New York time

“CULTURAL RESPONSIVENESS in EQUITY-FOCUSED EVALUATIONS”

Rodney HOPSON, Duquesne University

Katrina BLEDSEOE, Education Development Center, Washington
Evaluation of Webinars
Survey

Your opinion/feedback is important to us, therefore we ask that you complete this short evaluation on today’s webinar.

http://2.28.2012.questionpro.com