



## **Innovations in evaluation:**

### **How to choose, develop and support them.**

Briefing paper from joint UNICEF-BetterEvaluation – EVALSDGs webinar held May 2018

This briefing paper was developed to accompany a webinar on Innovations in Evaluation that was delivered in May 2018 as a joint project of UNICEF, BetterEvaluation and EVALSDGs. It draws on the material presented in the webinar and the questions, answers and discussion from that webinar.

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[https://www.betterevaluation.org/en/resources/overview/innovations\\_in\\_evaluation\\_choose\\_develop\\_support](https://www.betterevaluation.org/en/resources/overview/innovations_in_evaluation_choose_develop_support)

## Overview

This paper is intended to support people looking for something more in evaluation.

When existing evaluation tools, processes, methods and systems are not enough, you need to draw on innovations in evaluation.

Innovation does not always mean invention of something new. It can involve translation from another setting, bricolage (combining) of existing elements, or systematisation of some existing good practices.

This brief will help you identify where innovation might be most needed and develop appropriate strategies to support innovation. It describes a number of innovations to address particular challenges and provides links to more information about these and other innovations.

### **FRAMING THE EVALUATION AROUND INTENDED USES AND PRIMARY INTENDED USERS:**

→ **Data rehearsal**

### **CHECKING FOR EQUITY EFFECTS:**

→ **Disaggregating data**

### **MEASURING THE HARD TO MEASURE:**

→ **Big data**

### **INCLUDING THE EFFECT OF OTHER INTERVENTIONS AND FACTORS:**

→ **Triple-row logic models**

### **COMMUNICATING FINDINGS TO TIME POOR USERS:**

→ **Layering reporting media**

### **INVOLVING THE LEAST POWERFUL BENEFICIARIES IN CONDUCTING AND DECISION-MAKING ABOUT AN EVALUATION:**

→ **Children as evaluators**

### **INVESTIGATING CAUSE AND EFFECT WHEN A COUNTERFACTUAL ISN'T POSSIBLE AND/OR WHEN CAUSALITY IS COMPLICATED:**

→ **Process tracing**

### **MAKING VALUES TRANSPARENT:**

→ **Rubrics**

PART 1:

Choosing, developing, and adapting innovations.

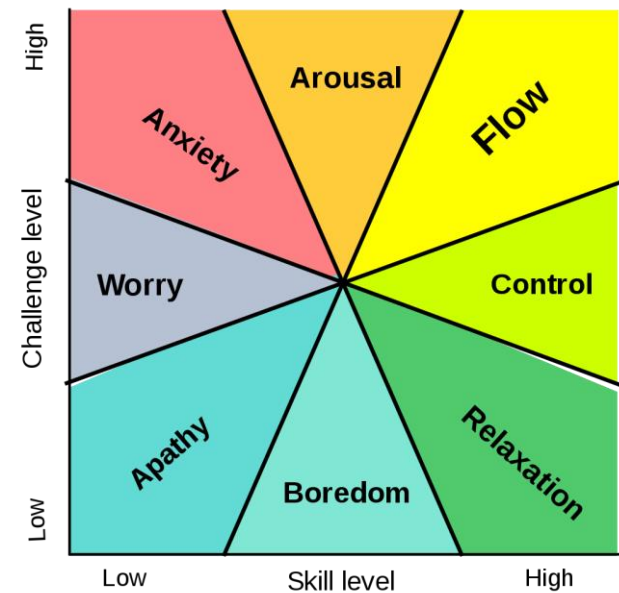
Why do we need innovations in evaluation?

Evaluation is challenging. It is hard to get good enough answers to the big questions it asks, in time to inform decisions, within tight budgets, while ensuring ethical and consultative processes, and meeting the different needs of diverse users and other stakeholders.

And wherever there is a gap between what we can do and what we need to do, that's when there is a space for innovation.

Mihaly Csikszentmihalyi's model of flow<sup>1</sup> maps the relationship between the challenges we face and our capacity to respond. The quadrant of "anxiety", where we have high challenges, but insufficient capacity to address those challenges, can be difficult – but is also the space where innovation occurs, or where we can make appropriate use of innovations from elsewhere.

Figure 1: Mihaly Csikszentmihalyi's model of flow as related to challenge and ability<sup>2</sup>



<sup>1</sup> Csikszentmihalyi, Mihaly (1975). Beyond Boredom and Anxiety: Experiencing Flow in Work and Play, San Francisco: Jossey-Bass

What do we mean by innovation?

For the purposes of this paper, innovation is defined as a change (at least in that setting) that adds value (or is intended to add value) – either doing existing things more effectively or with fewer resources, or doing new things of value.

When we use the word 'innovation' we often think of inventions – something brand new, especially technological. But there are other types of innovations that might be useful for you. Transferring or translating a method or technique that is new to your organisation. Gathering together a number of elements into a new approach, or systematising some existing practices that are currently ad hoc and tacit.

Table 2. Types of innovation

<b>Invention</b>	New technology or new process
<b>Transfer or translation</b>	Bringing in an idea from another setting or another purpose, and possibly adapting it
<b>Bricolage</b>	Gathering together existing elements in a new way
<b>Systematisation</b>	Documenting and making explicit and systematic some existing practices

<sup>2</sup> Image source: Wikimedia Commons. Retrieved from: [https://en.wikipedia.org/wiki/File:Challenge\\_vs\\_skill.svg](https://en.wikipedia.org/wiki/File:Challenge_vs_skill.svg)

## Which innovations are most likely to be adopted?

Everett Rogers' classic work on the diffusion of innovations<sup>3</sup> synthesised evidence from hundreds of studies on innovations to identify five factors that were important influences on what innovations were most likely to be adopted:

**Table 3: Factors that influence the adoption of innovations**

1.	<b>Relative advantage - in terms of effectiveness or cost-effectiveness</b>
2.	<b>Compatibility with existing systems</b>
3.	<b>Ease of use (and learning to use)</b>
4.	<b>Trialability – possibility of doing it on a small scale and gathering credible and timely evidence about relative advantage</b>
5.	<b>Potential for reinvention and further adaptation</b>

Source: Rogers, E.M. (2003)

## Innovations and the SDGs

Monitoring and evaluating progress towards the Sustainable Development Goals (SDGs) has created demands for new information, more information and better ways of using it. This is why one of the measurable intermediate outcomes identified in the [EvalAgenda 2020](#) is "Innovations in evaluation are encouraged and tested".

In a recent blog post<sup>4</sup>, Caroline Heider, Director-General of the Independent Evaluation Group of the World Bank, identified the following innovations needed to address the SDGs:

- Assessing inclusion/exclusion and distributional effects of interventions
- Understanding complicated cause-and-effect relationships

- Embedding evaluation in decision-making processes
- Actively supporting learning, including acknowledging mistakes and failures
- Using big data and other technology ethically and appropriately

## Where is innovation most needed in evaluation?

Often when we think about innovations in evaluation, we think about innovative ways of collecting data. But we know there are many different tasks involved in evaluation, from framing its purpose to supporting use of its findings

On the BetterEvaluation site (<http://betterevaluation.org>), we have organised information about more than 300 evaluation methods and processes in terms of more than 30 tasks involved in doing evaluation. These cover the whole rainbow of evaluation tasks, from managing evaluations, developing theories of change, framing the purpose and questions for an evaluation, answering descriptive, causal and evaluative questions, and reporting findings and supporting use of them. All of these have challenges and there is scope for innovation in all of them.

**Figure 2. The BetterEvaluation Rainbow framework of 37 tasks in monitoring and evaluation**



<sup>3</sup> Rogers, E.M. (2003). *Diffusion of innovations*. Free Press. 5<sup>th</sup> Ed.

<sup>4</sup> Heider, C. (2018) In the SDG Era, what are the Key Questions for the Evaluation Community?

IEG blog: <https://ieg.worldbankgroup.org/blog/sdg-era-key-questions-evaluation>

## Where is innovation most needed for you?

Participants in the webinar were asked to identify the broad area where innovation was most needed. Their answers covered all areas, with a concentration in reporting and supporting use.

**Figure 3. Webinar participants identified their top priority area for innovation in evaluation**



Source: Participant survey during webinar

## Considering possible innovations to adopt

When considering the following innovations, consider the following questions.

### CHOOSING

1. What are your particular challenges in evaluation?
2. Do you think this innovation might be useful for you to use? Why or why not? What challenges might it help you with?
3. What other information and assistance would be useful to have in order to make this choice?
4. How might you get this?

### USING

1. What other information and assistance would be useful to have in order to use this innovation well?
2. How might you get this?



## PART 2:

### Challenges and innovations

#### **PAYING ATTENTION TO UNEXPECTED OUTCOMES:**

##### **→ Negative program theory**

*Other relevant options and approaches: key informant interviews; risk assessment, six hat thinking; unusual event reporting; outcome harvesting.*

#### **FRAMING THE EVALUATION AROUND INTENDED USES AND PRIMARY INTENDED USERS:**

##### **→ Data rehearsal**

*Other relevant options and approaches: launch workshop.*

#### **CHECKING FOR EQUITY EFFECTS:**

##### **→ Disaggregating data**

*Other relevant innovations: dataviz (data visualisation)*

#### **MEASURING THE HARD TO MEASURE:**

##### **→ Big data**

*Other relevant innovations: technologies for monitoring and evaluation in insecure settings*

#### **INCLUDING THE EFFECT OF OTHER INTERVENTIONS AND FACTORS:**

##### **→ Triple-row logic models**

*Other relevant innovations: outcome mapping.*

#### **COMMUNICATING FINDINGS TO TIME POOR USERS:**

##### **→ Layering reporting media**

*Other relevant innovations: infographics; data dashboards; video; dataviz; evaluation report layout checklist*

#### **INVOLVING THE LEAST POWERFUL BENEFICIARIES IN CONDUCTING AND DECISION-MAKING ABOUT AN EVALUATION:**

##### **→ Children as evaluators**

*Other relevant innovations: community scorecards, positive deviance*

#### **INVESTIGATING CAUSE AND EFFECT WHEN A COUNTERFACTUAL ISN'T POSSIBLE AND/OR WHEN CAUSALITY IS COMPLICATED:**

##### **→ Process tracing**

*Other relevant options and approaches: QUIP (Qualitative Impact Assessment Protocol); QCA (Qualitative Comparative Analysis); EvalC3 (Evaluation of Complex, Causal Configurations)*

#### **MAKING VALUES TRANSPARENT:**

##### **→ Rubrics**

*Other relevant options and approaches: hierarchical card sorting; stories of change; values clarification interviews; delphi study; dotmocracy*

## Challenge:

# Paying attention to unintended negative outcomes

Many evaluations and logic models only focus on intended outcomes and impacts - but positive or negative unintended results can be important too. Ethical and valid evaluation needs to include consideration of both positive and negative impacts.

Some unintended outcomes and impacts can be anticipated but some are unexpected. Different strategies are needed to identify and address unintended outcomes that can be anticipated and those that cannot.

## Featured innovation:

# Negative program theory

Monitoring and evaluation often involves developing a theory of change (sometimes in the form of a results framework, program logic or logframe) which explains how the intervention activities is expected to produce the intended results. Negative program theory, an innovation developed by Professor Carol Weiss, turns this around, putting a negative outcome at the top of the logic, rather than a positive one. It can be simply the reverse of the positive (worse student learning outcomes rather than improved) or it can be a different outcome (for example, a possible negative outcome of an agricultural program might be reduced water quality in nearby streams).

## More information on this innovation:

### Negative program theory

BetterEvaluation option page  
[www.betterevaluation.org/evaluation-options/negative\\_program\\_theory](http://www.betterevaluation.org/evaluation-options/negative_program_theory)

## Other possible options and approaches for this challenge

*Click on the links below for more information.*

Open-ended questions in [questionnaires](#), [individual interviews](#) and [group interviews](#):

These provide opportunities for people to provide information about unintended outcomes and impacts, including those that were not anticipated.

[Key informant interviews](#):

Asking experienced people to identify possible negative impacts, based on their experience with similar programs. Program critics can be especially useful.

[Risk assessment](#):

Identifying the potential negative impacts, their likelihood of occurring and how they might be avoided.

[Six Hats Thinking about unintended results](#):

Promoting holistic and lateral thinking in decision-making and evaluation.

[Unusual events reporting](#):

Making sure that unforeseen events, incidents or outcomes are recorded.

[Outcomes Harvesting](#):

A process to collect ("harvest") evidence of what has changed ("outcomes") and, then, working backwards, determine whether and how an intervention has contributed to these changes. Outcome Harvesting has proven to be especially useful in complex situations when it is not possible to define concretely most of what an intervention aims to achieve, or even, what specific actions will be taken over a multi-year period. Examples include:

- [Summative evaluation](#) of the Oxfam Novib's Global Programme 2005-2008, a €22 million investment to support 38 grantees working on sustainable livelihoods and social and political participation. Documentation of more than 300 outcomes from 111 countries.
- [World Bank Institute Cases in Outcome Harvesting](#). Ten pilot experiences identify new learning from multi-stakeholder projects to improve results. There is an average of 30 outcomes per pilot.

**Challenge:**

## **Framing evaluations around intended uses of primary intended users**

It is often recommended that evaluations are explicitly framed around the primary intended uses of their primary intended users - for example, Michael Patton's Utilization-Focused Approach is entirely based on this premise, and there is considerable research to support it. But it can be difficult to do this in practice. It can be hard for primary intended users to articulate in advance the type of information they need.

**Featured innovation:**

### **Data rehearsal**

Data rehearsal, a technique developed by Michael Patton, involves developing simulated reports of data **before** data collection, and then workshoping these with primary intended users to see if this will meet their information needs. It can be helpful to present a range of scenarios using hypothetical data – for example, what the data might look like if it was working well, not working, or had mixed results. Data rehearsal can help improve decisions about what data to collect, how to collect it, and how to analyse and report it.

**Challenge:**

## **Understanding equity effects**

Evaluations sometimes only present average effects, especially if they are framed around questions of "What works?" or "Does this work?". However, equity concerns mean that most evaluations also need to report in terms of who has received benefits and who has been disadvantaged (or paid costs). This requires planning ahead in terms of what data will be collected (including how different data are connected), how they will be analysed and reported.

### **Other possible options and approaches for this challenge**

*Click on the link below for more information.*

[Launch workshop:](#)

A meeting of key stakeholders to both assess and build readiness for evaluation, with careful planning in terms of who will be invited, how the workshop will build a shared vision of evaluation and deepen commitment to it, and exercises to develop stakeholders' capacity to engage in evaluation.

### **More information on this innovation:**

#### **Data Rehearsal**

*BetterEvaluation option page*

[https://www.betterevaluation.org/evaluation-options/data\\_rehearsal](https://www.betterevaluation.org/evaluation-options/data_rehearsal)

**Featured innovation:**

### **Disaggregating data**

Disaggregated reporting of evaluation findings might involve simple analysis techniques such as crosstabulation. Evaluation planning should identify particular sub-groups that should be reported separately, especially those related to groups that have experienced disadvantage. The Early Head Start



program<sup>5</sup> provides an example of the importance of disaggregating effects. The evaluation found that overall “Early Head Start had positive impacts on outcomes for low-income families with infants and toddler”. On the basis of this overall, average finding, the program was recommended as an evidence-based program.

However, the report also provided disaggregated information which showed that the program should not have been simply scaled up:

*“[The] programs had almost no statistically significant impacts on parenting among the parents in families with more than three risks ... and the impact that was significant was an unfavourable impact on harshness toward the child during the parent interview ... [in addition,] the impacts of Early Head Start on the cognitive*

*and language development of children in [this group] ... were unfavourable.” (Love J. and others, 2002. p.342-3<sup>6</sup>)*

## More information on this innovation:

### To Leave No One Behind, Data Disaggregation Needs to Catch Up

Center for Global Development blog post  
[www.cgdev.org/blog/leave-no-one-behind-data-disaggregation-needs-catch](http://www.cgdev.org/blog/leave-no-one-behind-data-disaggregation-needs-catch)

## Other possible options and approaches for this challenge

Click on the links below for more information.

### DataViz:

Data visualisation is the process of representing data graphically in order to identify trends and patterns that would otherwise be unclear or difficult to discern. Data visualisation serves two purposes: to bring clarity during analysis and to communicate.

### Bubble charts



Providing a way to communicate complicated data quickly and easily.

### Bullet graph



Using a target line to show progress to date.

### Deviation bar graph



Aligning two bar graphs along their spine to compare the shape of their data sets.

### Dot plot



Plotting two or more dots on a single line for each category being compared.

### Small multiples



Positioning several small graphs with the same scale in a row for easy comparison.

<sup>5</sup> Love, John M., and others, making a Difference in the Lives of Infants and Toddlers and Their Families: The Impacts of Early Head Start, 2002. Report prepared for the U.S. Department of Health and Human Services Administration for Children and Families.

<sup>6</sup> Westthorp, Gill (2008) Negative Impacts of Early Years Early Intervention Programs: Realist Methodology. Presentation to the Australasian Evaluation Society conference.

## Challenge:

# Measuring the hard to measure

It is often hard to get data about the things we are interested in – such as what were the conditions before and after a project or program, what activities were undertaken, what else was happening at the same time, and what were the characteristics of those involved. This can be more difficult when there are sensitive issues involved, when implementation occurs at dispersed sites, and when evaluation is undertaken in insecure settings, where it is not safe for data collectors to travel or for people to speak with them.

## Featured innovation:

# Big data

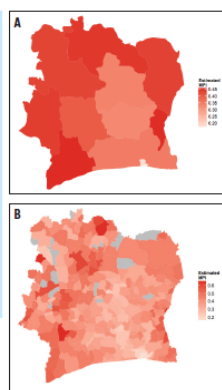
Big data refers to data that are so large and complex that traditional methods of collection and analysis are not possible. The amount and variety of big data has increased exponentially over the past decade. It can come from sources such as mobile phone services or Internet banking, web content such as news, social media interactions, and search history. It can also be produced by physical sensors such as satellite images and traffic information.

## ESTIMATING POVERTY LEVELS IN CÔTE D'IVOIRE

In another study (Smith et al., 2012), researchers used CDRs to map poverty levels in Côte d'Ivoire. No full survey of the country's population has been published since a civil war in the 1990s. Researchers used anonymized CDRs of five million Orange telecommunications customers between December 2011 and April 2012 to assess both the level of activity among subscribers and locations where calls were made. Higher levels of mobile communication and wider range of calls are a proxy indicator for prosperity. Using this data, poverty levels of eleven regions of Côte d'Ivoire were quantified. The estimate was validated when compared with a multi-dimensional poverty index created by University of Oxford, which uses indicators such as poor health, lack of education, inadequate living standard and threat from violence among other factors. This research validated the possibility of making poverty maps using CDRs.

The previous three studies show that in countries where information regarding census, socioeconomic levels or poverty indicators is lacking, CDRs may be used to estimate these variables on an ongoing basis, thus augmenting and complementing survey data.

**CDRs can provide a proxy indicator for assessing regional poverty levels, and can valuably augment national surveys in estimating changes associated with a growing economy.**



**Figure 5.** Figure 5A shows poverty map estimated based on the antennas in the eleven major regions of Côte d'Ivoire, where the darker areas indicate higher estimated poverty level. Figure 5B shows the Department poverty levels as approximated by the model used on regional level indicating the finer granularity possible when using CDRs. Source: Smith et al., 2012.

## Other possible options and approaches for this challenge

Click on the link below for more information.

[Using technologies for monitoring and evaluation in insecure settings:](#)

Operating in insecure environments is one of the more critical tests for humanitarian, development, and peacebuilding organizations alike. Access constraints or even direct attacks make monitoring and evaluation extremely challenging. Technologies like mobile phones, radios, Internet platforms and GPS trackers promise new solutions for collecting vital data or tracking implementation of projects.

*United Nations Global Pulse (October 2013) Mobile Phone Network Data for Development (p.7).<sup>7</sup>*

## More information on this innovation:

### Big data

*BetterEvaluation option page*

[www.betterevaluation.org/evaluation-options/big\\_data](http://www.betterevaluation.org/evaluation-options/big_data)

<sup>7</sup> Retrieved from:

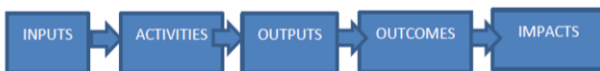
[http://www.unglobalpulse.org/sites/default/files/Mobile%20Data%20for%20Development%20Primer\\_Oct2013.pdf](http://www.unglobalpulse.org/sites/default/files/Mobile%20Data%20for%20Development%20Primer_Oct2013.pdf)

## Challenge:

# Including the effects of other interventions and factors

Many evaluations and logic models only focus on intervention activities and outcomes – whether this is shown as a results chain or an outcomes hierarchy.

### RESULTS CHAIN



### OUTCOMES HIERARCHY



This leaves out the contribution of other interventions and other factors to producing those outcomes. It is important to include these in how the intervention is conceptualised, what data are gathered, and how they are analysed and reported.

## Featured innovation:

# Triple row/triple column logic models

A triple column/row theory of change diagram shows the causal pathway in terms of intermediate outcomes, activities which directly produce these, and the influence of other factors and programs. It can be particularly useful for showing activities that occur along the causal pathway, and for showing clearly the contributions of other partners and contextual factors

## Other possible options and approaches for this challenge

*Click on the link below for more information.*

### Outcome Mapping:

This is a particular type of theory of change which focuses on theories of change that involve at least two actors, where one actor seeks to influence the second actor who will then produce or contribute to the intended final results.

It includes three particular types of change theories - direct causal (eg providing a service), persuasive (expert-led activity to develop new thinking - eg training), and supportive (ongoing supportive activities in a network) - which it refers to as strategy maps.

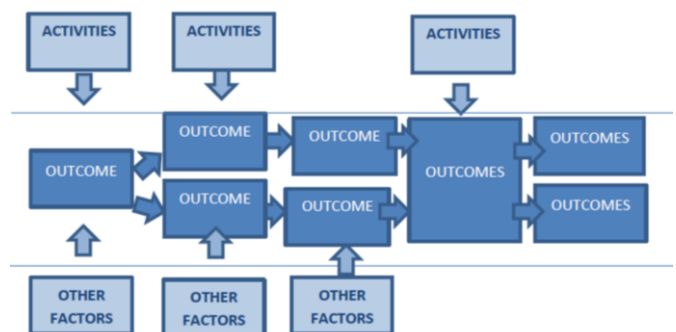
## More information on this innovation:

### Triple row/column logic models

*BetterEvaluation option page*

[http://www.betterevaluation.org/evaluation-options/triple\\_column](http://www.betterevaluation.org/evaluation-options/triple_column)

### TRIPLE ROW (OR COLUMN)



## Challenge:

# Communicating findings to time poor users

Evaluation is usually undertaken to inform decisions and action, and its primary intended users are often busy, with little time to read lengthy evaluation reports. While it is important for evaluations to be based on valid data, it is equally important for their findings to be accessible. Sometimes evaluators who have been trained in reporting findings in a way that suits academic readers can find it hard to produce reports that are accessible to non-researchers such as front-line workers and managers, and policymakers.

## Featured innovation:

# Layering reporting media

Developed by Kylie Hutchinson, layering is the simultaneous use of diverse, but linked, reporting formats to communicate your evaluation results<sup>8</sup>. When layering, each communication product contains the same key messages – but in different levels of detail. Products with short, simple messages (e.g. a one-page policy brief or infographic) are linked to more detailed options, allowing the reader to learn more if they choose. By employing diverse communication strategies in this way, intended users are given the choice of how deeply they wish to delve into the results.

There are a number of options for reporting media that can feed into a layering strategy. Some of these are listed in the box on the right, and you can find more on BetterEvaluation's Develop Reporting Media page.

## More information on this innovation:

### Develop Reporting Media

*BetterEvaluation task page*

<http://www.betterevaluation.org/plan/reportandsupportuse/report>

## Other possible options and approaches for this challenge

*Click on the links below for more information.*

Infographics: Displaying complex data and messages visually in a simple manner for easy comprehension.

Data dashboards: a visual communication tool that is best used for monitoring progress against goals; information is regularly refreshed and updated, often in 'real time'.

Video: highly flexible and immediate medium which allows you to make an emotional meaningful connection with the audience.

DataViz: representing data graphically in order to identify and communicate trends and patterns that would otherwise be unclear or difficult to discern.

Evaluation Report Layout Checklist: distils the best practices in graphic design, particularly created for use on evaluation reports. (Stephanie D. H. Evergreen)

<sup>8</sup> Hutchinson, K. (2017). A Short Primer on Innovative Evaluation Reporting. Community Solutions.

**Challenge:**

## **Involving the least powerful beneficiaries in conducting and deciding about the evaluation**

Evaluation processes often exclude the least powerful stakeholders, meaning their values, priorities and experiences are also excluded. Participatory approaches to evaluation go beyond asking questions of intended beneficiaries, and involving them in data collection, to involving them in decisions about how the evaluation will be framed, what questions it will ask, and how findings will be reported and used.

**Featured innovation:**

### **Children as evaluators**

Children are a group of intended beneficiaries who are often excluded from the evaluation process. However, examples from many different countries show that children can be actively involved in an evaluation, including shaping the questions, gathering and analysing data, and reporting it to different audiences. As with all participatory processes, good facilitation is needed to ensure genuine and inclusive engagement processes.

**Challenge:**

## **Investigating cause and effect when a counterfactual is not possible and/or causality is complicated**

Many evaluations need to understand the causal connections between interventions and changes that have been observed – in particular, did the interventions contribute to these changes or were they completely due to something else. In some situations, it is possible

### **Other possible options and approaches for this challenge**

*Click on the links below for more information.*

Community scorecard: a community-based monitoring tool that brings together the techniques of social audit, community monitoring and citizen report cards.

Positive deviance: Positive Deviance (PD) refers to a behavioural and social change approach which is premised on the observation that in any context, certain individuals confronting similar challenges, constraints, and resource deprivations to their peers, will nonetheless employ uncommon but successful behaviours or strategies which enable them to find better solutions. Through the study of these individuals – subjects referred to as “positive deviants” – the PD approach suggests that innovative solutions to such challenges may be identified and refined from their outlying behaviour.

### **More information on this innovation:**

**Evaluation and children**

*BetterEvaluation approach page*

[www.betterevaluation.org/themes/evaluation\\_and\\_children](http://www.betterevaluation.org/themes/evaluation_and_children)

to do this by creating a counterfactual – an estimate of what would have happened if the intervention had not occurred. A control group design (where people are randomly assigned to either the treatment group who receive a service or a control group who receive no service or the usual service) is one way of creating a

counterfactual; another option is to create a comparison group who are matched to be similar to those receiving the service. But in many situations, it is not possible to create a credible counterfactual. Sometimes this is because the intervention is implemented at the level of the whole nation or state; sometimes it is because there are too many contributing factors to address through an experimental design. In such cases, non-counterfactual approaches are needed instead.

## **Featured innovation:**

### **Process tracing**

Process tracing is a case-based approach to causal inference which focuses on the use of clues within a case (causal-process observations, CPOs) to adjudicate between alternative possible explanations. Process tracing uses a number of causal tests to see if results are consistent with the program theory (theory of change) and to see if alternative explanations can be ruled out.

## **More information on this innovation:**

### **Process tracing**

*BetterEvaluation option page*

[www.betterevaluation.org/evaluation-options/processtracing](http://www.betterevaluation.org/evaluation-options/processtracing)

## **Other possible options and approaches for this challenge**

*Click on the links below for more information.*

### Qualitative Impact Assessment Protocol (QUIP):

The QUIP sets out to generate differentiated evidence of impact based on narrative causal statements elicited directly from intended project beneficiaries without use of a control group. QUIP uses a Contribution Analysis approach; combining quantitative monitoring of key indicators with qualitative, self-reported attribution of impact (key informant attribution) gathered through interviews to provide sufficient evidence using process tracing to test the theory of change behind the activity being evaluated.

### Qualitative Comparative Analysis (QCA):

Qualitative Comparative Analysis (QCA) is a means of analysing the causal contribution of different conditions to an outcome of interest. QCA starts with the documentation of the different configurations of conditions associated with each case of an observed outcome. These are then subject to a minimisation procedure that identifies the simplest set of conditions that can account all the observed outcomes, as well as their absence.

### EvalC3:

EvalC3 is an Excel-based tool designed by Rick Davies for the purpose of developing, exploring and evaluating predictive models of expected outcomes. EvalC3 draws on two primary sets of concepts and methods: QCA (described above) and predictive analytics. It can be used to identify sub-sets of attributes that describe a project intervention & its context, and which are good predictors of the achievement of an outcome of interest; compare and evaluate the performance of these predictive models; and to identify relevant cases for follow-up within-case investigations to uncover any causal mechanisms at work.



## Challenge:

# Making values transparent

Evaluation involves both evidence and values, but evaluations often do not have a systematic way of identifying and clarifying the values that will be used. These values can be in terms of the criteria to be used (domains of performance), the standards (levels of performance), or how performance in terms of different criteria will be synthesised (for example, weighting some criteria differently, or including hurdle requirements that must be met).

## Featured innovation:

# Rubrics

The term "rubric" is often used in education to refer to a systematic way of setting out the expectations for students in terms of what would constitute poor, good and excellent performance. In recent years rubrics have begun to be used explicitly in evaluation to address the challenge of systematically and transparently synthesising diverse evidence into an overall evaluative judgement. Sometimes they are called rubrics, and sometimes Global Assessment Scales, as they provide an overall rating of performance, based on detailed descriptions on a scale.

## Example:

The Victorian Department of Natural Resources and Environment developed a rubric (called a Global Assessment Scale) as part of their evaluation of a project to reduce dryland salinity. They developed a rating scale for the community groups which were created through the project, to track their progress and to focus planning for the next stage of the project. The scale was initially developed by five different staff independently creating items and then combining them. Piloting of the scale showed considerable reliability in how different people rated groups using the scale.

## Other possible options and approaches for this challenge

*Click on the links below for more information.*

### Articulate and document tacit values

Hierarchical Card Sorting (HCS): a participatory card sorting option designed to provide insight into how people categorize and rank different phenomena.

Stories of change: showing what is valued through the use of specific narratives of events.

Values Clarification Interviews: interviewing key informants and intended beneficiaries to identify what they value.

### Negotiate between different values

Delphi Study: generating a consensus without face to face contact by soliciting opinions from individuals in an iterative process of answering questions.

Dotmocracy: recording participants opinions by using sticky dots to either record agreement or disagreement with written statements.

## More information on this innovation:

### Rubrics

*BetterEvaluation option page*

<http://www.betterevaluation.org/evaluation-options/rubrics>

## Further reading

You can find further links to resources, blogs, and forum discussions related to innovation at:

<https://www.betterevaluation.org/en/innovations>

More information on the innovations mentioned in this brief is available at:

Big data - [www.betterevaluation.org/evaluation-options/big\\_data](http://www.betterevaluation.org/evaluation-options/big_data)  
Bubble charts - [http://betterevaluation.org/evaluation-options/bubble\\_chart](http://betterevaluation.org/evaluation-options/bubble_chart)  
Bullet graph - [http://betterevaluation.org/evaluation-options/bullet\\_chart](http://betterevaluation.org/evaluation-options/bullet_chart)  
Children as evaluators - [www.betterevaluation.org/themes/evaluation\\_and\\_children](http://www.betterevaluation.org/themes/evaluation_and_children)  
Community scorecards - <https://www.betterevaluation.org/en/evaluation-options/communitymapping>  
Data dashboards - [http://www.betterevaluation.org/en/evaluation-options/data\\_dashboard](http://www.betterevaluation.org/en/evaluation-options/data_dashboard)  
Data rehearsal - [www.betterevaluation.org/evaluation-options/data\\_rehearsal](http://www.betterevaluation.org/evaluation-options/data_rehearsal)  
DataViz - [https://www.betterevaluation.org/en/plan/describe/visualise\\_data](https://www.betterevaluation.org/en/plan/describe/visualise_data)  
Delphi Study - <https://www.betterevaluation.org/evaluation-options/delphitechnique>  
Developing reporting media - [www.betterevaluation.org/plan/reportandsupportuse/report](http://www.betterevaluation.org/plan/reportandsupportuse/report)  
Deviation bar graph - [http://betterevaluation.org/evaluation-options/deviation\\_bar\\_graph](http://betterevaluation.org/evaluation-options/deviation_bar_graph)  
Disaggregating data to show subgroups - <https://www.cgdev.org/blog/leave-no-one-behind-data-disaggregation-needs-catch>  
Dot plot - [http://betterevaluation.org/evaluation-options/dot\\_plot](http://betterevaluation.org/evaluation-options/dot_plot)  
Dotmocracy - <https://www.betterevaluation.org/en/evaluation-options/Dotmocracy>  
EvalC3 - <https://evalc3.net>  
Evaluation report layout checklist - [http://www.betterevaluation.org/resources/tool/evaluation\\_report\\_layout\\_checklist](http://www.betterevaluation.org/resources/tool/evaluation_report_layout_checklist)  
Group interview - <https://www.betterevaluation.org/evaluation-options/FocusGroups>  
Hierarchical Card Sorting (HCS) - [https://www.betterevaluation.org/en/evaluation-options/hierarchical\\_card\\_sorting](https://www.betterevaluation.org/en/evaluation-options/hierarchical_card_sorting)  
Individual interviews - <https://www.betterevaluation.org/en/evaluation-options/interviews>  
Infographics - <http://betterevaluation.org/evaluation-options/infographics>  
Key informant interviews - [https://www.betterevaluation.org/evaluation-options/key\\_informant\\_interviews](https://www.betterevaluation.org/evaluation-options/key_informant_interviews)  
Launch workshop - [https://www.betterevaluation.org/en/evaluation-options/launch\\_workshop](https://www.betterevaluation.org/en/evaluation-options/launch_workshop)  
Negative program theory - [www.betterevaluation.org/evaluation-options/negative\\_program\\_theory](http://www.betterevaluation.org/evaluation-options/negative_program_theory)  
Outcome mapping - [https://www.betterevaluation.org/en/plan/approach/outcome\\_mapping](https://www.betterevaluation.org/en/plan/approach/outcome_mapping)  
Outcomes harvesting - [www.betterevaluation.org/plan/approach/outcome\\_harvesting](http://www.betterevaluation.org/plan/approach/outcome_harvesting)  
Positive deviance - [https://www.betterevaluation.org/en/plan/approach/positive\\_deviance](https://www.betterevaluation.org/en/plan/approach/positive_deviance)  
Process tracing - [www.betterevaluation.org/evaluation-options/processtracing](http://www.betterevaluation.org/evaluation-options/processtracing)  
Qualitative Comparative Analysis (QCA) - [www.betterevaluation.org/evaluation-options/qualitative\\_comparative\\_analysis](http://www.betterevaluation.org/evaluation-options/qualitative_comparative_analysis)  
Qualitative Impact Assessment Protocol (QUIP) - <https://www.betterevaluation.org/en/plan/approach/QUIP>  
Questionnaires - <https://www.betterevaluation.org/en/evaluation-options/questionnaire>  
Risk assessment - [https://www.betterevaluation.org/evaluation-options/risk\\_assessment](https://www.betterevaluation.org/evaluation-options/risk_assessment)  
Rubrics - [www.betterevaluation.org/evaluation-options/rubrics](http://www.betterevaluation.org/evaluation-options/rubrics)  
Six Hats Thinking about unintended results - [https://www.betterevaluation.org/evaluation-options/six\\_hats](https://www.betterevaluation.org/evaluation-options/six_hats)  
Small multiples - [http://betterevaluation.org/evaluation-options/small\\_multiples](http://betterevaluation.org/evaluation-options/small_multiples)  
Stories of change - [https://www.betterevaluation.org/evaluation-options/stories\\_of\\_change](https://www.betterevaluation.org/evaluation-options/stories_of_change)  
Triple-row logic models - [www.betterevaluation.org/evaluation-options/triple\\_column](http://www.betterevaluation.org/evaluation-options/triple_column)  
Unusual events reporting - [http://betterevaluation.org/evaluation-options/unusual\\_events\\_reporting](http://betterevaluation.org/evaluation-options/unusual_events_reporting)  
Technologies for monitoring and evaluation in insecure settings -  
[https://www.betterevaluation.org/en/theme/MandE\\_technology\\_insecure\\_settings](https://www.betterevaluation.org/en/theme/MandE_technology_insecure_settings)  
Values Clarification Interviews - [https://www.betterevaluation.org/evaluation-options/values\\_clarification\\_interviews](https://www.betterevaluation.org/evaluation-options/values_clarification_interviews)  
Video - <https://www.betterevaluation.org/evaluation-options/video>