

# DEBUNKING UTILIZATION FOCUSED EVALUATION(U-FE)

## Lessons learned applying UFE theory to practice

**Presented by Jennie Phillips**

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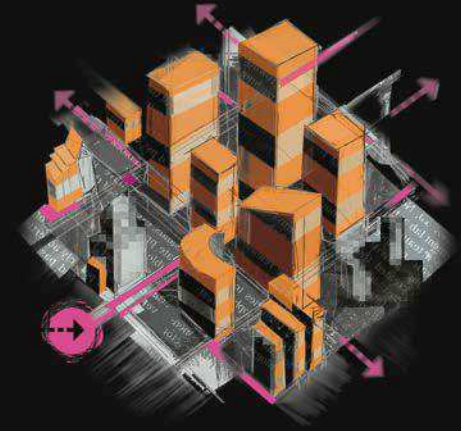
Nov 7<sup>th</sup>, 2014 | 25<sup>th</sup> Edward F. Kelly Evaluation Conference, OISE, University of Toronto



NEED FOR A NEW  
EVALUATIVE  
APPROACH

1. THE CONTEXT
2. INTRO TO UFE
3. LESSONS LEARNED
4. CONCLUSION

PROJECT LEADS



THE CITIZEN LAB  
IDRC | CRDI

## THE PROJECT

BENEFICIARIES



CYBER STEWARDS



# 7

## THEMATIC AREAS

### Access to ICT

#### Cyber Crime

Organized Crime

#### Cyber Security

Policy  
Online security / safety  
Mobile security

#### Freedom of Expression

Violence against women online/offline

#### Gender

Violence against women online/offline

#### Information Controls

Legal & Regulatory Frameworks  
Internet filtering/ censorship  
Intermediary Liability  
Communications surveillance

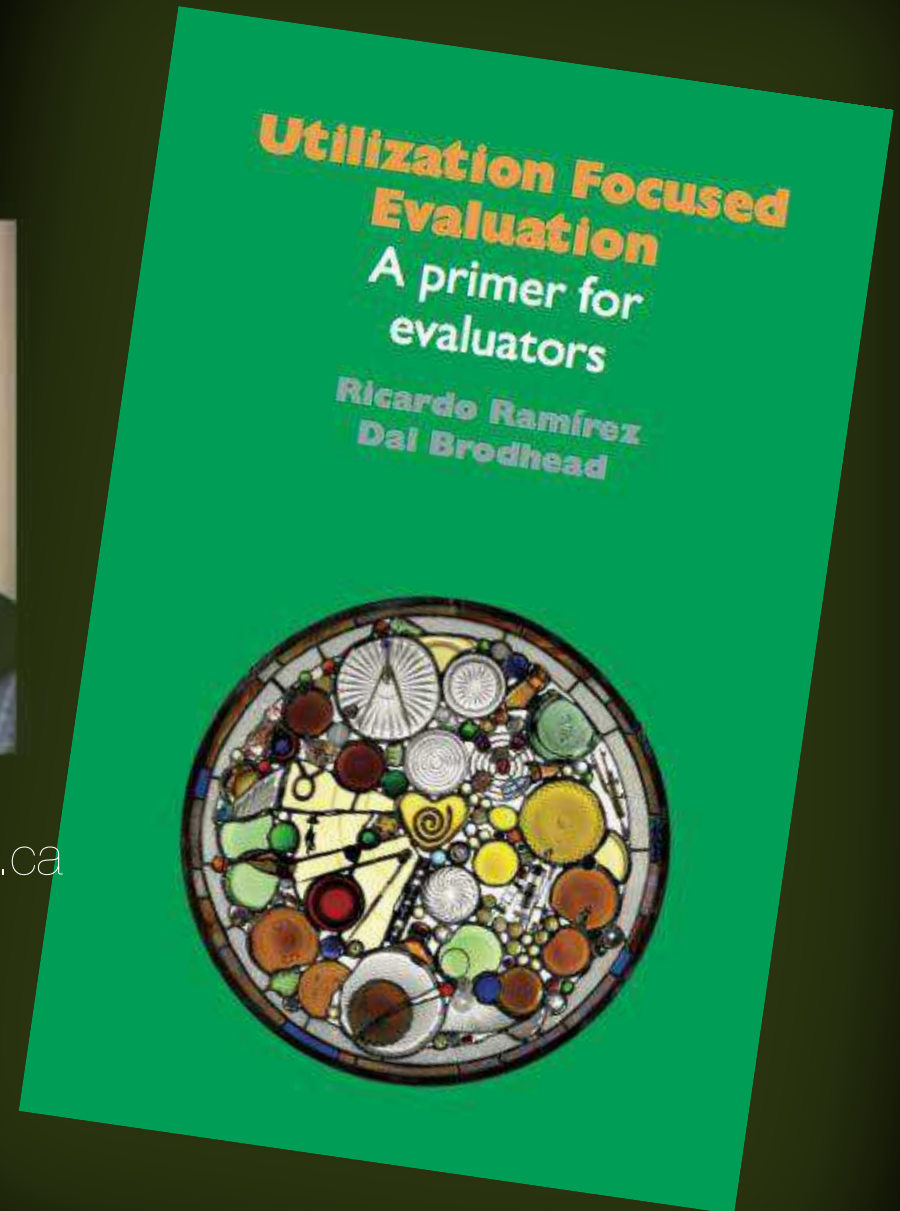
#### Privacy

Oversight of Intelligence Agencies  
Health data  
Data retention  
Data Protection  
Biometrics




## **DECI-2 RESEARCH GROUP**

<http://evaluationandcommunicationinpractice.ca>



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# Utilization Focused Evaluation

/u-til-i-za-tion fo-cus-ed e-val-u-a-tion/ 

1. U-FE is an **evaluation approach** that seeks to conduct useful evaluation (i.e. generate applicable findings).
2. U-FE is a process that starts at the early stages of the project that will be evaluated.
3. In U-FE the evaluator acts as a facilitator rather than as a judge.





### **Evaluator**

Facilitates the process, organizes meetings, gets the PIU involved in designing the evaluation, collects and analyzes data, writes reports, facilitates use of findings.



### **Primary intended users (PIUs)**

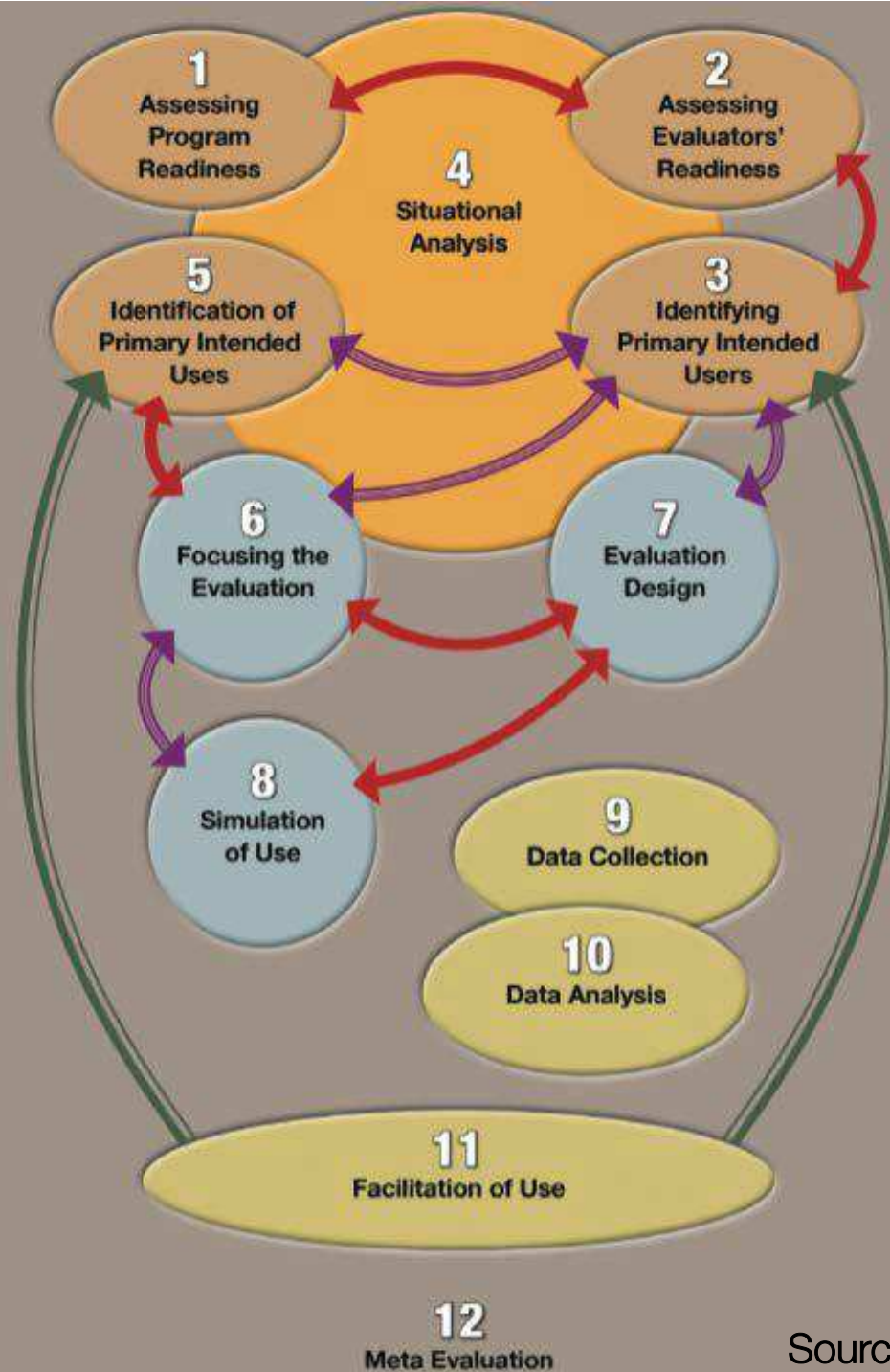
Participate actively in the evaluation process, define purpose and uses of the evaluation, help collect and interpret data, use findings according to defined uses.



### **Interested audience**

May read and comment on report or process; indirect beneficiaries of the work

## **BASIC U-FE ROLES**



## LEGEND

- Typical interactions between sequential steps
- Strategic interactions across non-sequential steps
- Feedback from findings and process
- Preparing for evaluation
- Analysing the situation
- Designing evaluation
- Undertaking evaluation
- Reflecting on evaluation done

Source: Dal & Broadhead (2013)

**APPLICATION TO THE CSN CONTEXT...**



**Evaluator**

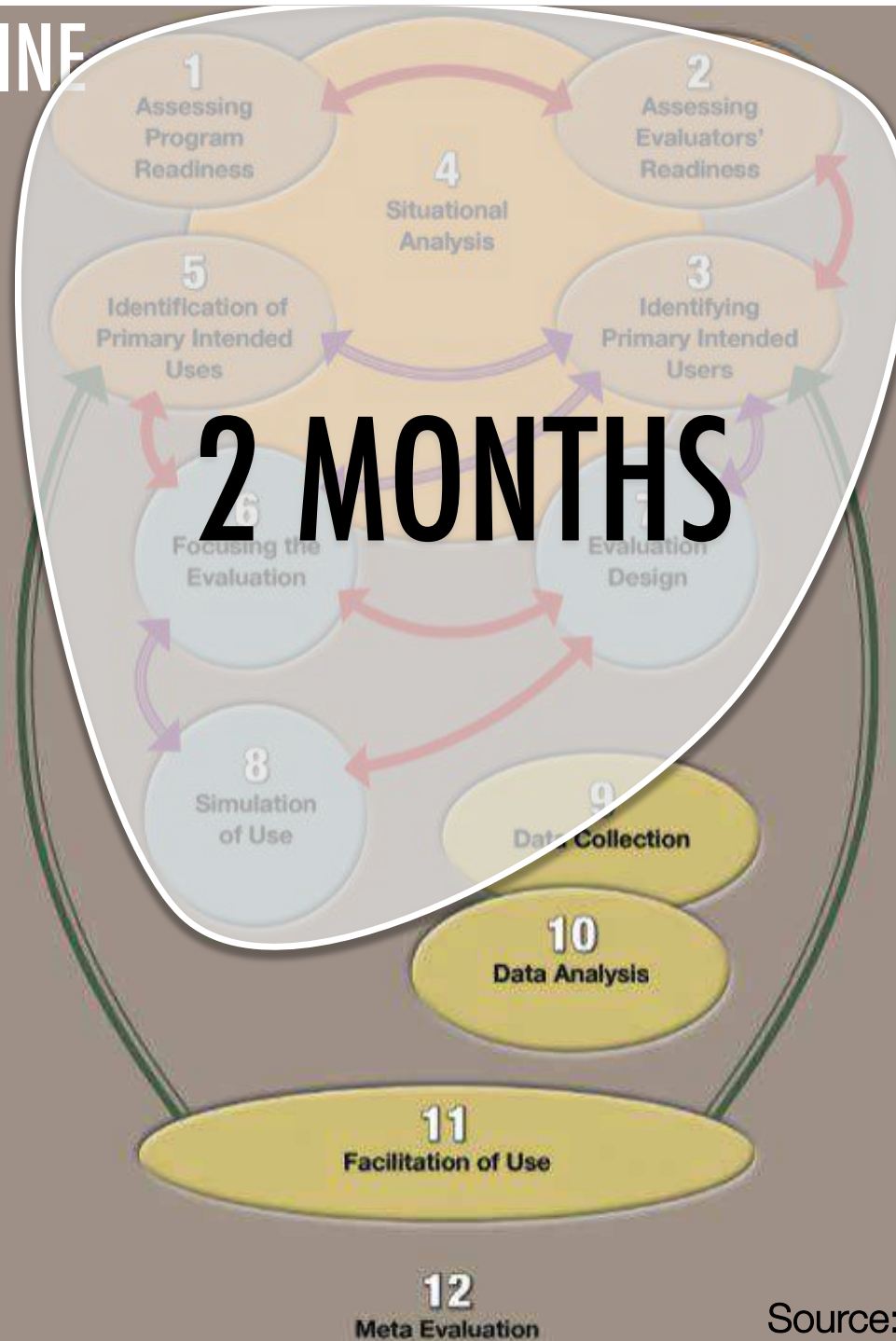
ME



**Primary Intended Users**

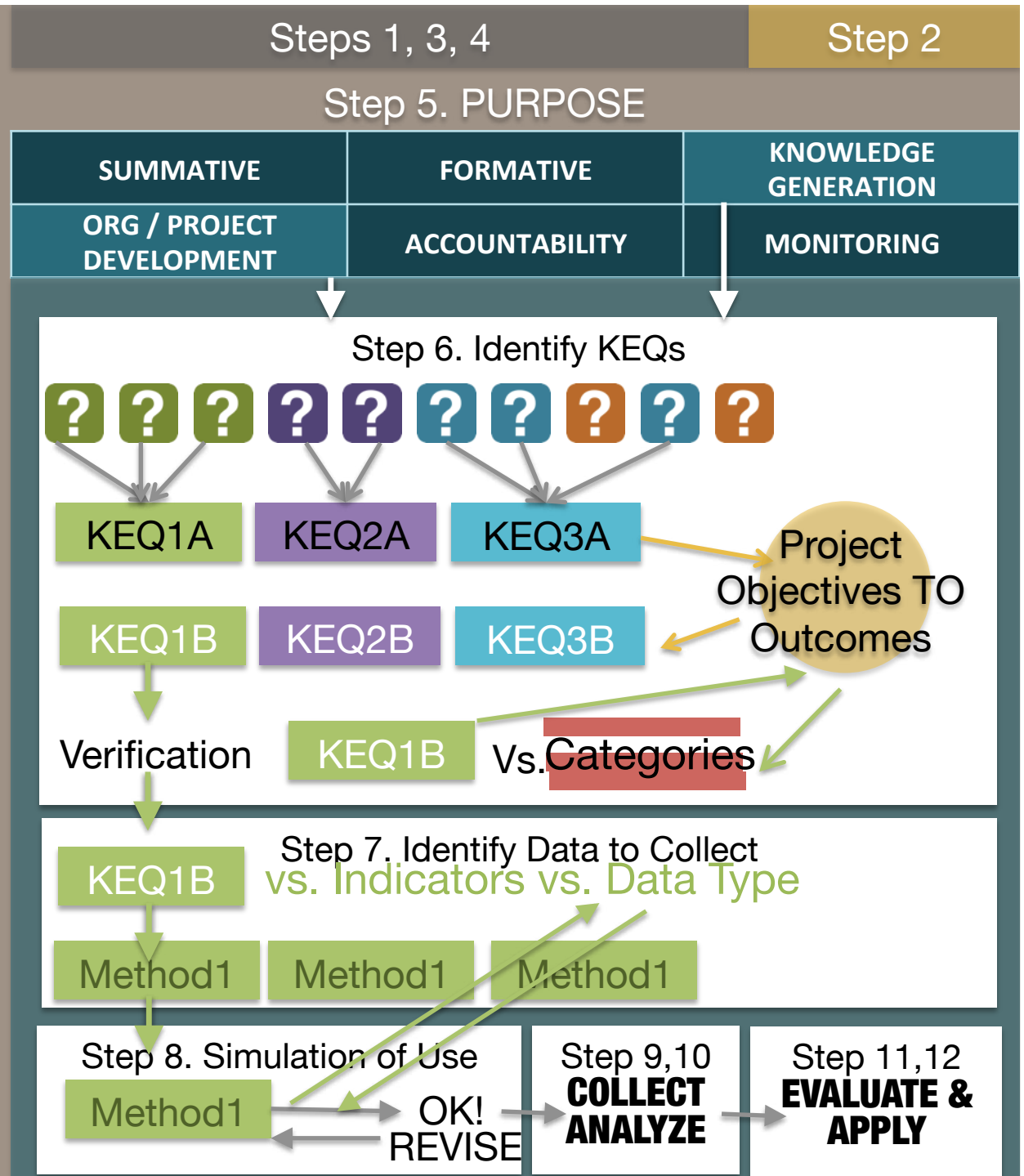
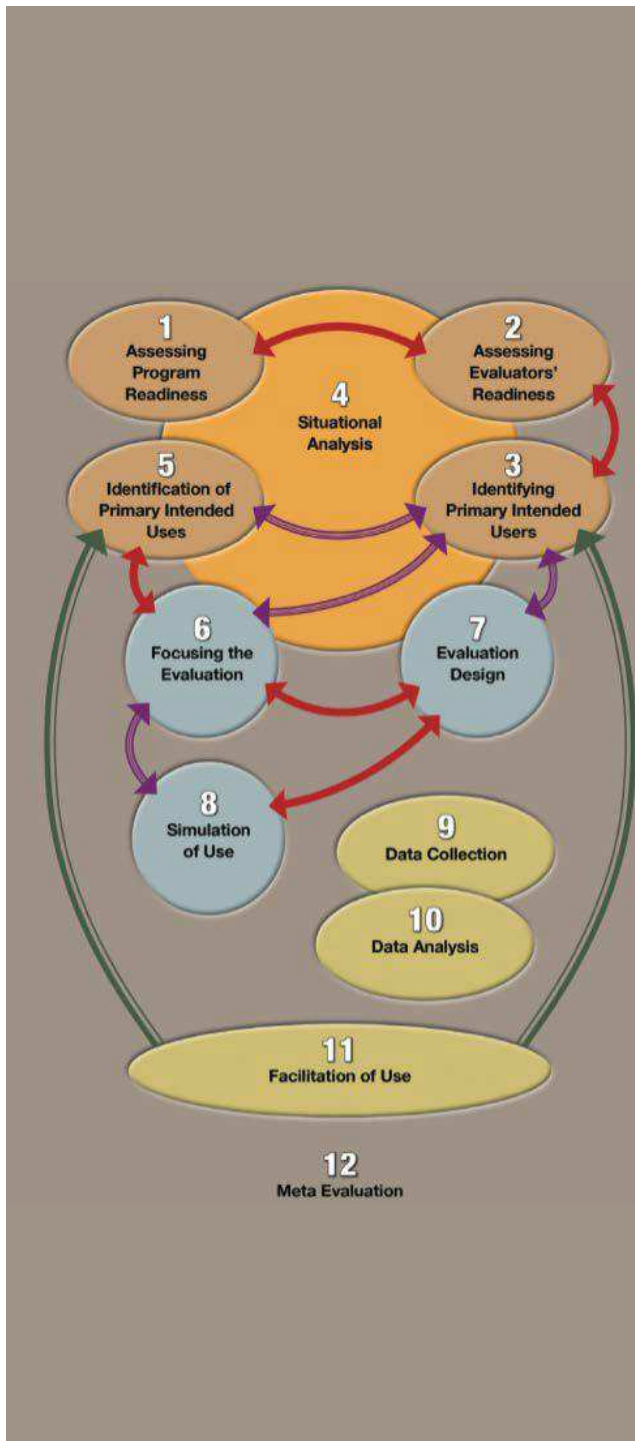
3 CITIZEN LAB STAFF

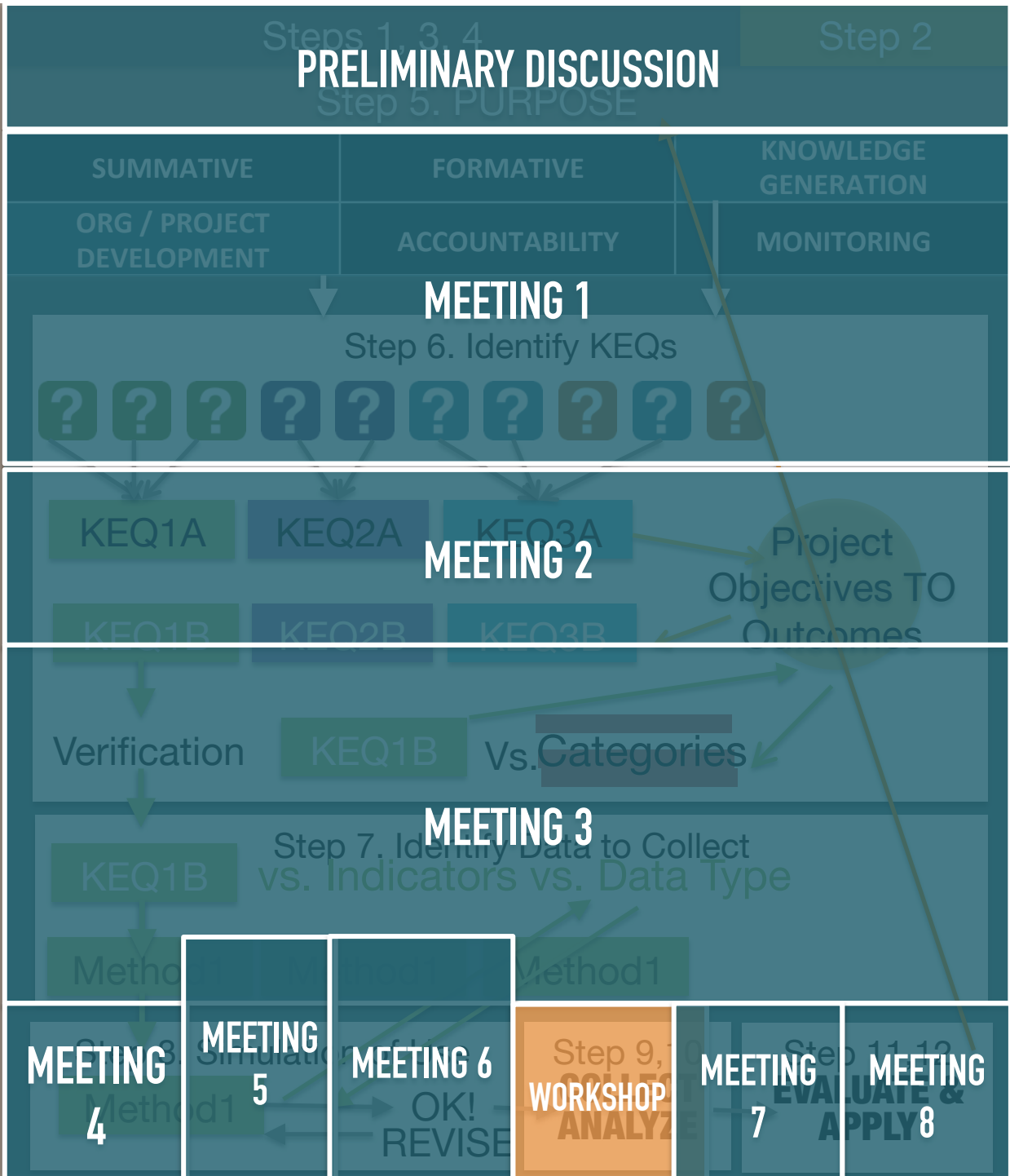
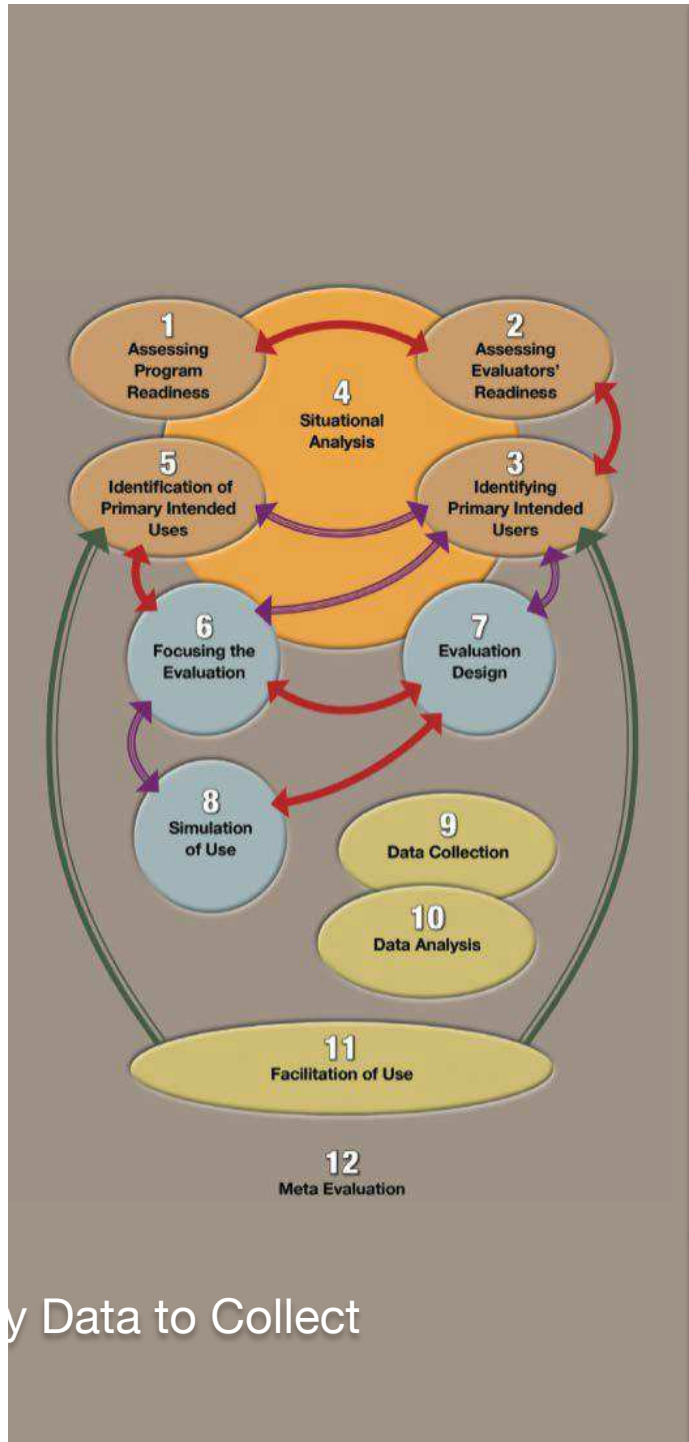
# PROJECT TIMELINE



Source: Dal & Broadhead (2013)









**Evaluator**

ME



**Primary Intended Users**

3 CITIZEN LAB STAFF

### 3 KEY EVALUATION QUESTIONS

1. How can network partners **support** one another **to maximize influence and impact** at their local, regional, and/or international level?
2. How can **communication** be improved between network partners for the sharing of skills, knowledge, tools, etc.?
3. How can **security and resilience** be assessed and developed in a networked project?

For each question:

- What is the role of the citizen lab, as a network facilitator?
- What is the role of the cyber stewards, as network partners?

**How is UFE unique from other forms of evaluation**

**What does it look like?**

**What did we learn during the UFE process?**









**What can we learn from UFE to apply to other forms of evaluation?**

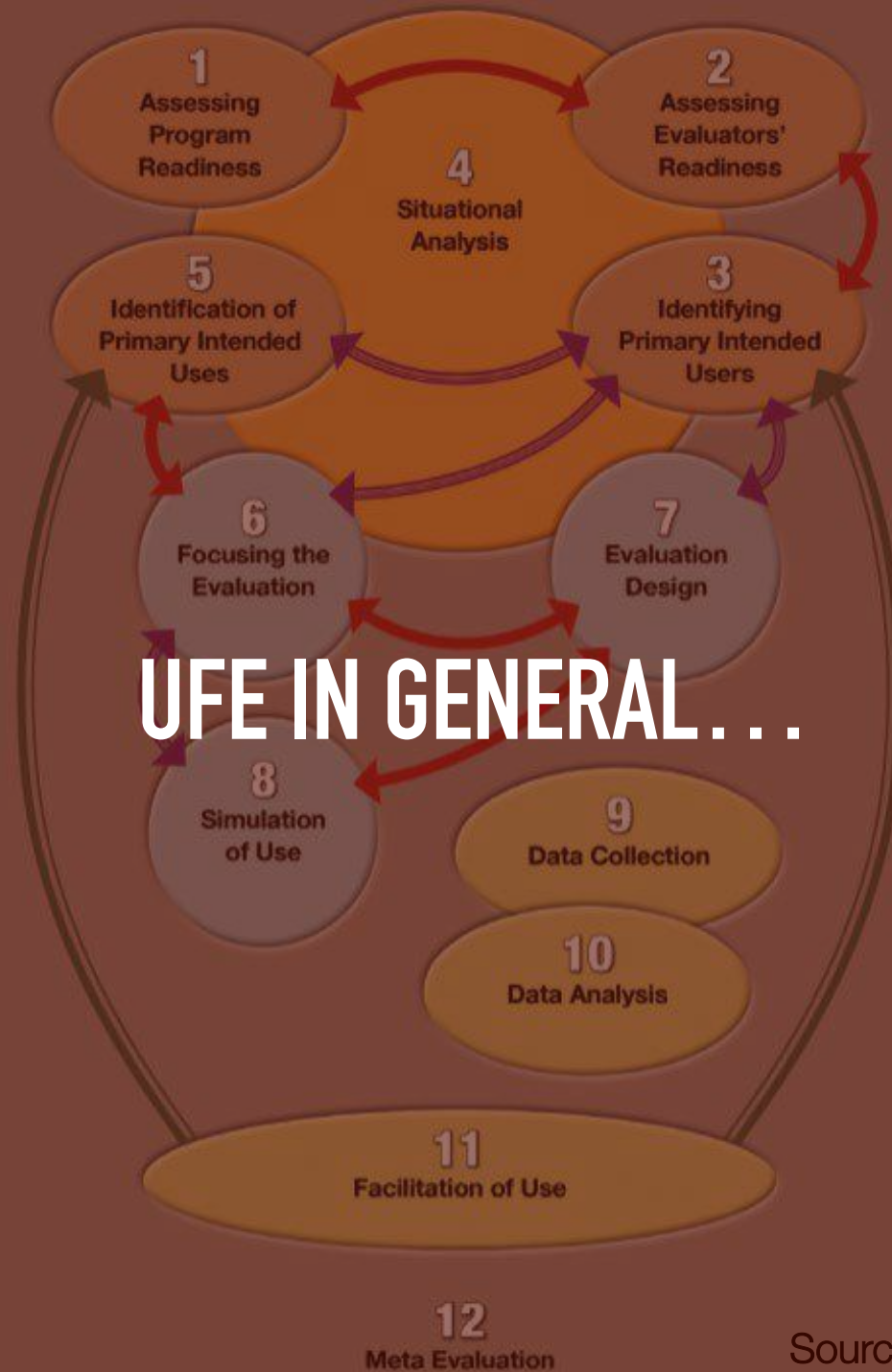
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# UFE IN GENERAL...

## LEGEND

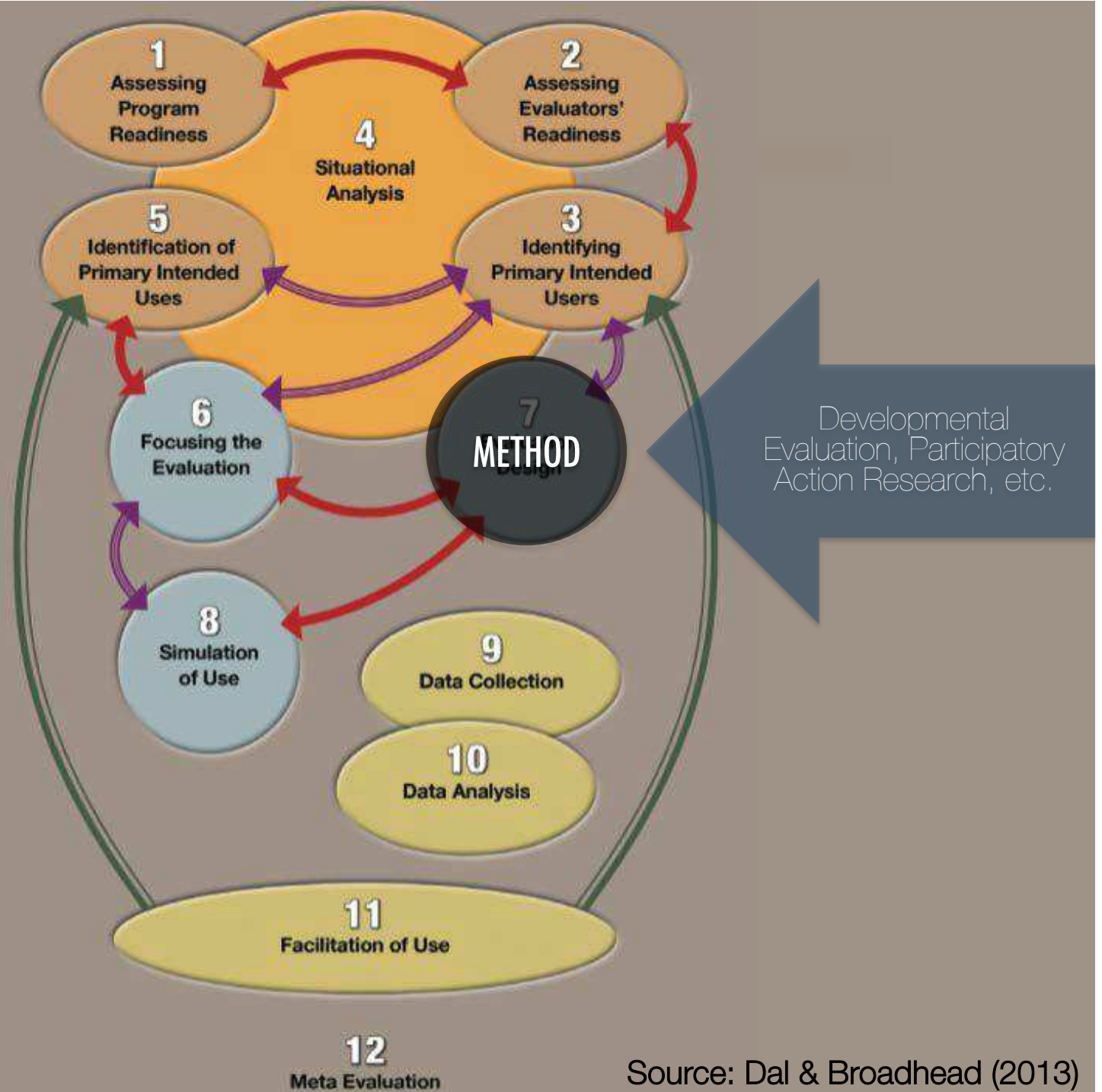
-  Typical interactions between sequential steps
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-  Reflecting on evaluation done



Source: Dal & Broadhead (2013)

Lesson

UFE IS AN **APPROACH** NOT A  
METHODOLOGY



Source: Dal & Broadhead (2013)

Lesson

**AVOID USING "EVALUATION"  
WITH YOUR STAKEHOLDERS**

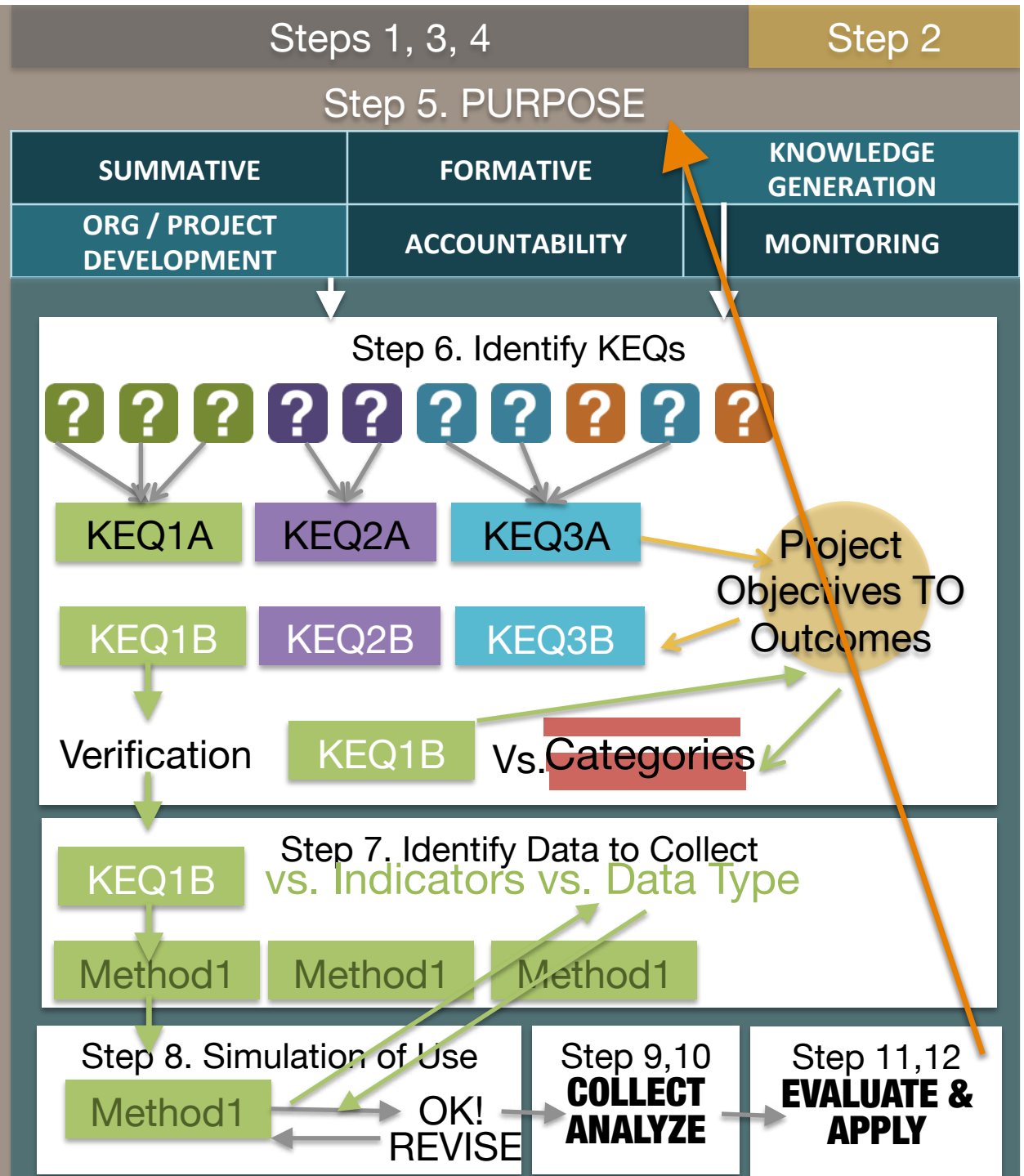
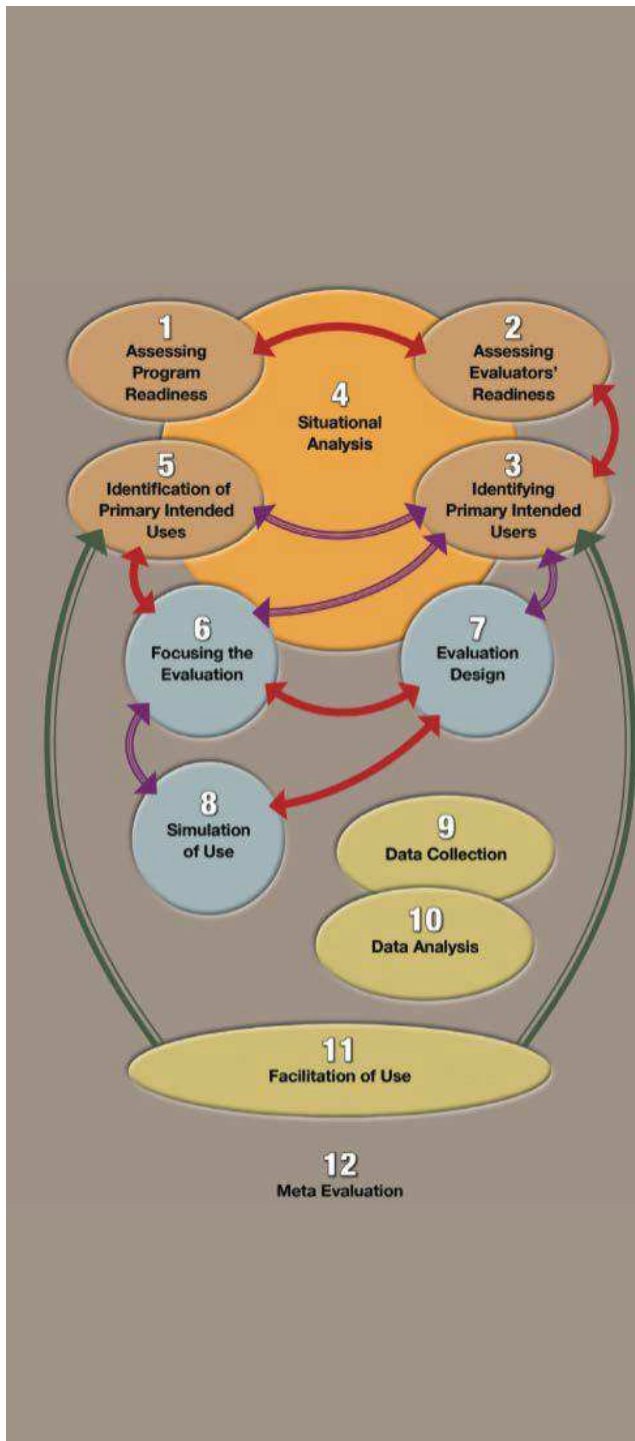


Participants can feel  
**uncomfortable** if they  
know they're being  
evaluated

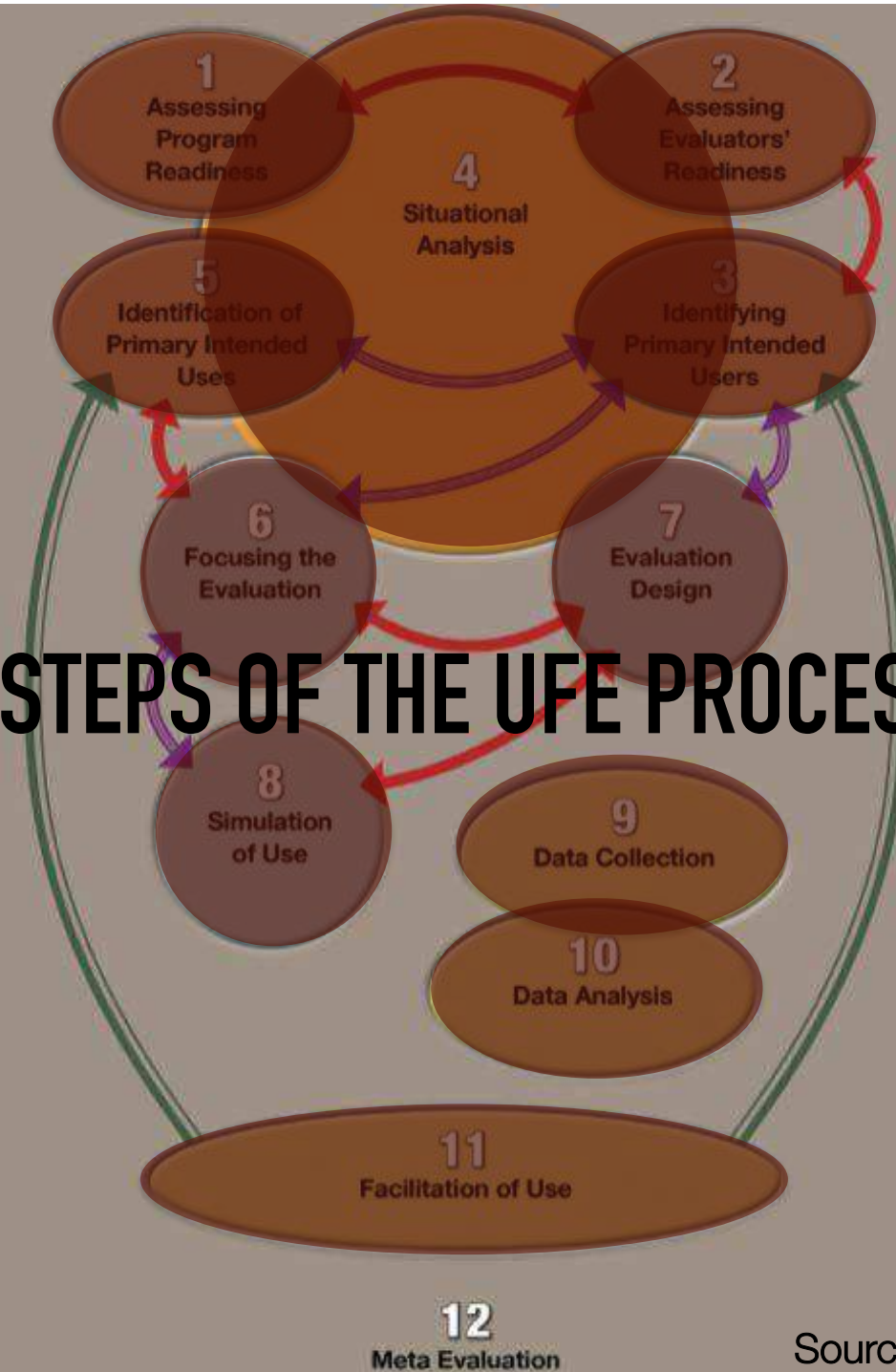


# Lesson

## **UFE IS ITERATIVE**



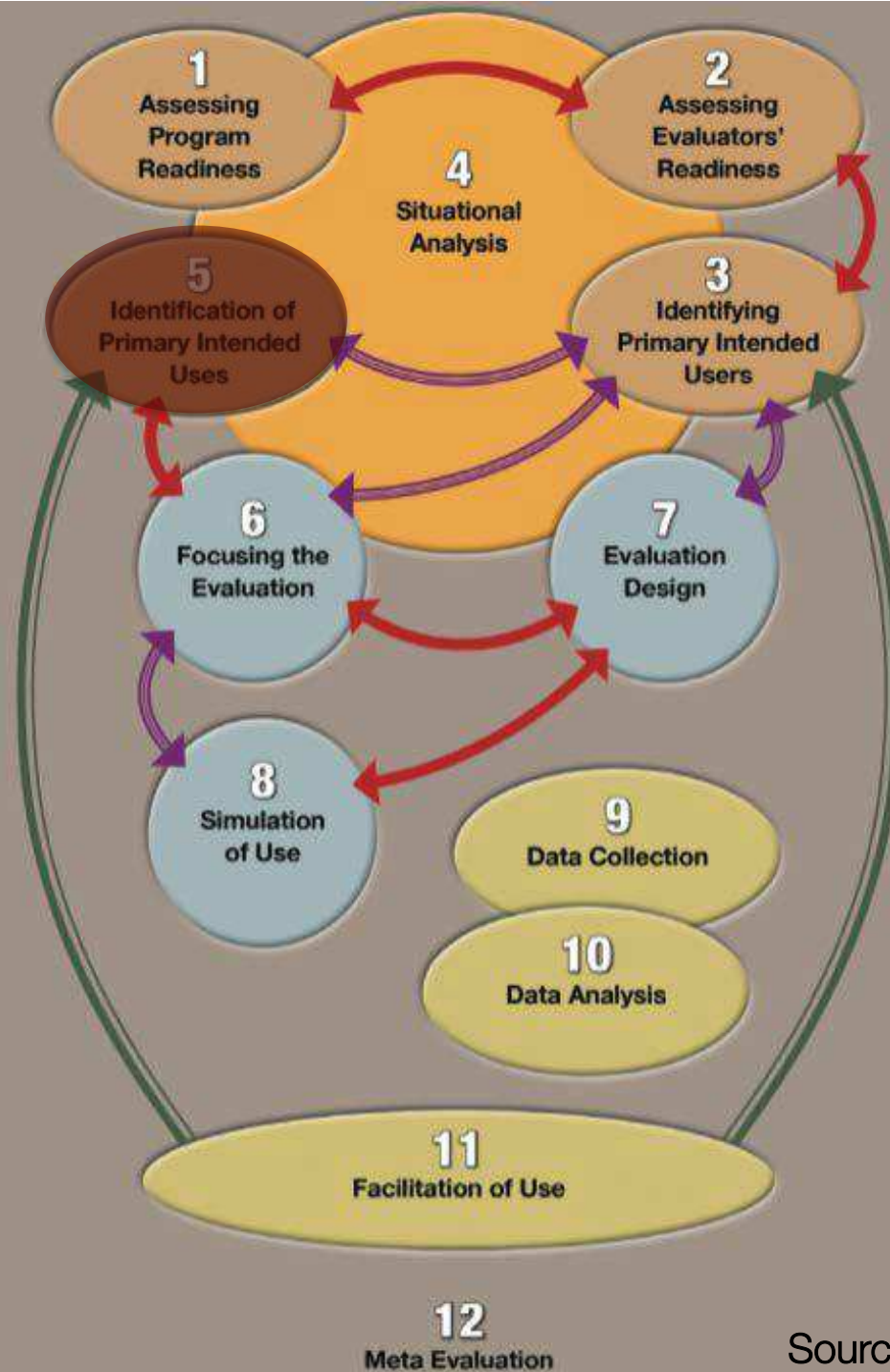
# STEPS OF THE UFE PROCESS



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Source: Dal & Broadhead (2013)



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Source: Dal & Broadhead (2013)

Lesson

**UFE PLACES THE EMPHASIS ON **USE****



The evaluation is designed based on the  
**intended use or purpose**



<b>PURPOSE</b>	<b>DESCRIPTION</b>	<b>EXAMPLE QUESTION</b>
<b>Summative</b>	Program assessment	Should we continue the program or not?
<b>Formative</b>	Program improvement; Program has existed a while	How can we make the program better?
<b>Knowledge Generation</b>	Program analysis; Program can be new or old; Used for comparison with other project or within project; Feedback can be provided at any time	What works and doesn't?
<b>Organization / Program Development (Developmental Evaluation)</b>	Used to develop something; Use it to provide data to develop something; Ongoing feedback must be provided; Used for something new without a lot of data	What can we develop to solve this problem?
<b>Accountability</b>	To explain achievements to donors	How is our project performing with respect to donor expectations?
<b>Monitoring</b>	Provide information on key areas that need attention	What areas need more support?

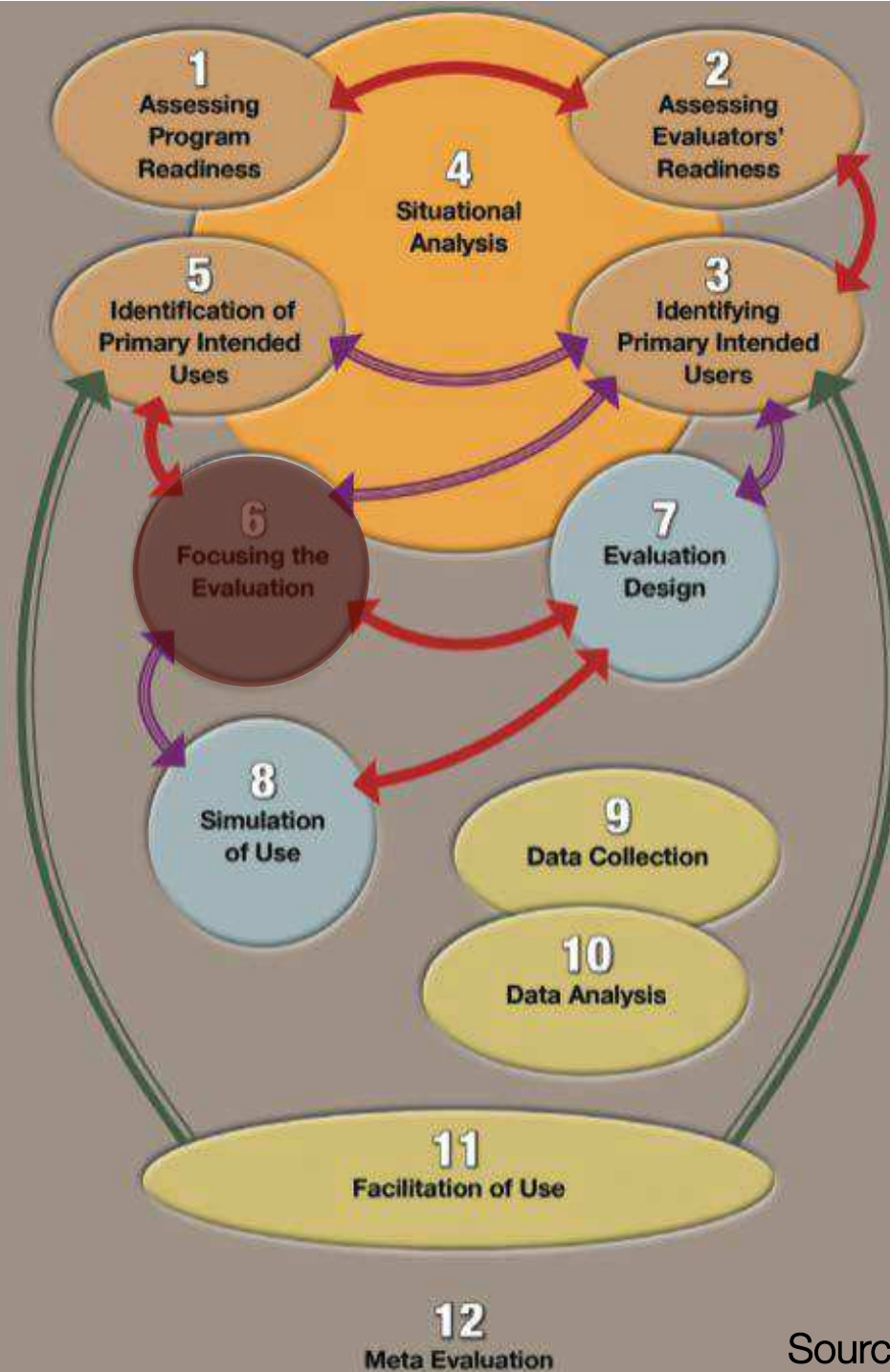
Lesson

**EVALUATION CAN BE A LEARNING  
OPPORTUNITY**

A man with short, dark hair and a light beard is shown from the chest up, looking upwards and to the right with a thoughtful expression. His hand is resting on his chin. A white thought bubble is positioned above his head, containing the text "What is a network?". The background is solid black.

What is a  
network?

Taking the time to reflect on the purpose,  
reveals the **opportunity to learn**



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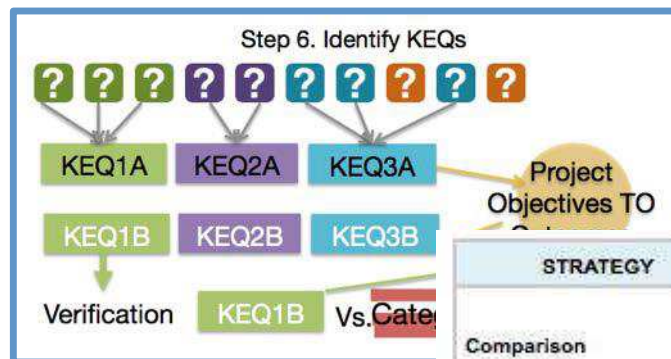
Source: Dal & Broadhead (2013)



Lesson

**ENSURE QUALITY KEY  
EVALUATION QUESTIONS**





KEQs	Category/ies Select 1+ categories	Related objective(s)	Related outcome(s)
1. How can we support partners to maximize their desired impact at their local, regional, and/or international level?	Input / resources Impact Outcomes Approach / model Process Quality Cost- effectiveness	Research / Advocacy Skills & Knowledge sharing Resilience Development	Partners draw on other network contacts to help them meet their objectives  Partners applies strategies imparted by involvement in the network to help them improve their outputs
2. How can we improve communication between network partners and citizen lab for the sharing of skills, knowledge, tools, etc.?	Input / resources Impact Outcomes Approach / model Process Quality Cost- effectiveness	Research / Advocacy Skills & Knowledge sharing Resilience Development	Partners communicate with one another, and co-produce / support one another, without involvement with the CL Partners communicate on a regular basis with one another about projects their involved in Partners share and request support from the network without involvement from the CL <b>Partners rely on and engage in the network as a helpful communication resource</b>
3. How can citizen lab and the partners assess and develop the security (crisis??) resilience in a networked project?	Input / resources Impact Outcomes Approach / model Process Quality Cost- effectiveness	Research / Advocacy Skills & Knowledge sharing Resilience Development	Partners have completed the necessary steps to develop resilience within their organizations Partners apply resilience maintenance tactics in the daily operations Partners provide virtual (and if possible, local) support to one another in crisis situation via

STRATEGY	SAMPLE
Comparison	What is the difference between Are the Themes / KEQs statin <i>Example: What's the difference</i>
Align with Project Objectives	Which themes / KEQs align w
Align with Stage of Project	Does the Theme / KEQ apply is it part of the next phase? <i>Example: Network sustainability can't evaluate sustainability w</i>
Assess Criticality	Is this Theme / KEQ critical at
Desired type of data to collect	What Themes / KEQs will det How easy / difficult will it be to
Group Themes / KEQs into subgroups	Can some Themes / KEQs be turned into sub-groups? Overarching groups?
Identify General vs. Specific Questions	Is the Theme / KEQ so general / specific that it misaligned with the objectives of the project? <i>Example: "What is a network" too general</i>
Clarify Themes/Questions	Does the theme/KEW have a clear meaning?
Diversify themes / questions	Do the Themes / KEQs touch on more than one of the following variables for evaluation*? * INPUT / RESOURCES * IMPACT * OUTCOMES * APPROACH / MODEL * PROCESS * QUALITY * COST- EFFECTIVENESS  <i>Note: Research should cover more than one category so that it addresses different dimensions of the project and create a diverse data collection</i>

### TIPS FOR GOOD KEQs

- **Specific** enough to be used in guiding you through the evaluation
- **Broad** enough to be broken down - are not the same as a question in a survey
- **Data** (qualitative/quantitative) can be brought to bear on KEQ
- KEQs are **open** questions (answer yes or no!)
- Have **meaning** for those developing the plan
- Lead to **useful, credible**, evaluation
- There **aren't too many** of them (2-4 is enough)

Lesson

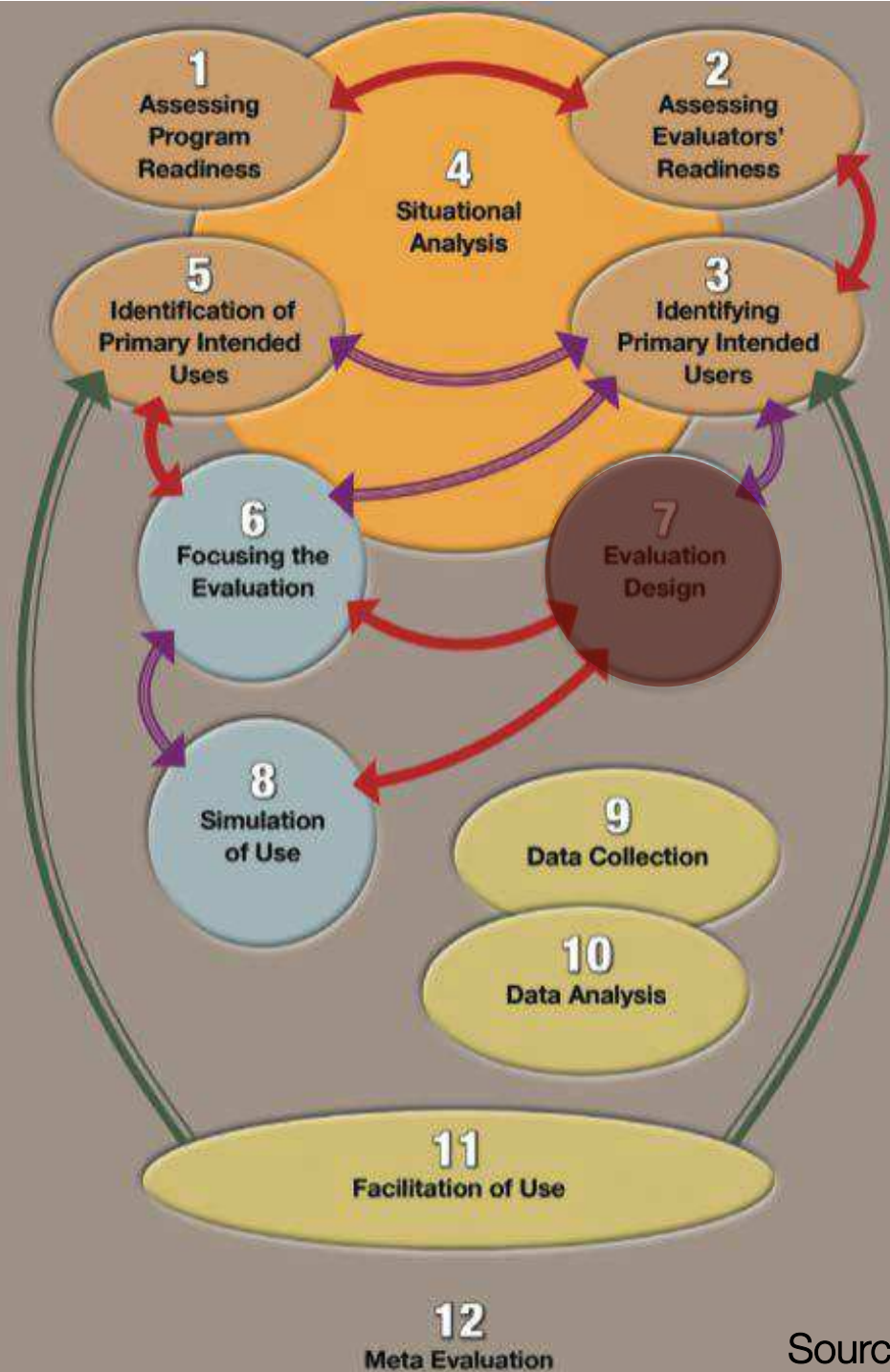
**HAVE CLEAR PROJECT OBJECTIVES**

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**Project objectives** are **used** in the process of identifying key evaluation questions







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Source: Dal & Broadhead (2013)



**Evaluator**

ME



**Primary Intended Users**

3 CITIZEN LAB STAFF

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1. How can network partners **support** one another **to maximize influence and impact** at their local, regional, and/or international level?
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Lesson

**THINK ABOUT THE DATA FIRST**



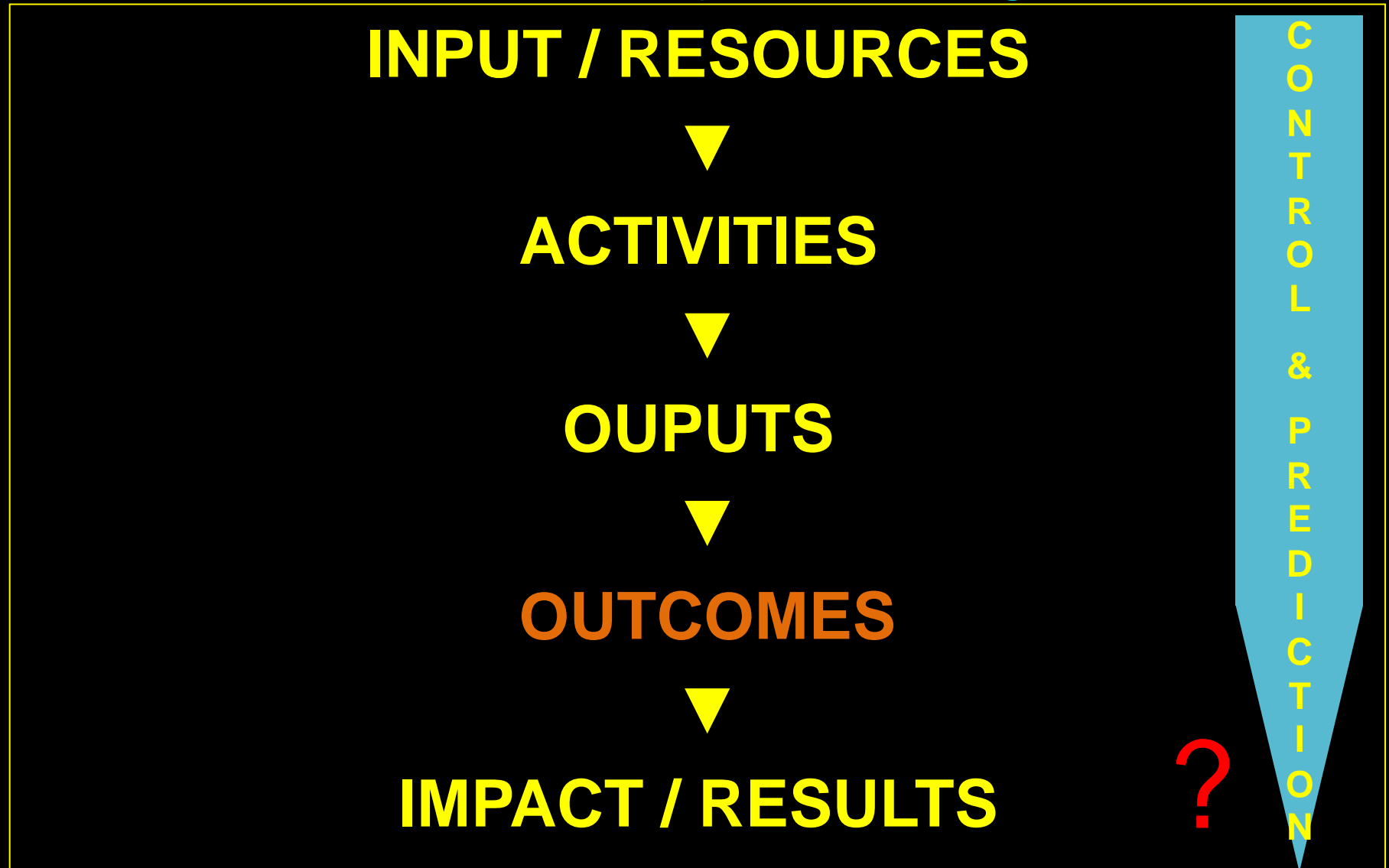
## DATA IDENTIFICATION

KEQs	Variables	Data Type	Additional considerations
1. How can we support partners to maximize their desired impact at their local, regional, and/or international level?	<b>WHERE ARE WE?</b> <b>Current Impact / Success</b>	<b>Current Impact – Description (QUAL)</b> Describe current observed impact of your organization / initiative	<ul style="list-style-type: none"> <li>Key questions to be answered: <ul style="list-style-type: none"> <li>What do you want to communicate</li> <li>What is your desired outcome</li> <li>Who do you want to communicate with</li> <li>When do you want to communication to occur</li> <li>What level of impact (local, regional, etc.)</li> <li>What level of support do you require to achieve</li> </ul> </li> <li>Note: communication includes all forms of projects</li> <li>Doesn't have to be successful / unsuccessful → it's what you get out of it → need to define what success is</li> <li>Want to see if partners move from network participants to network advocates (evaluate how they move along a "continuum of engagement". Refer to Annex A for sample diagram</li> </ul>
	<b>WHERE DO WE WANT TO GO?</b> <b>Desired Impact / Success</b> <ul style="list-style-type: none"> <li>Desired Impact Level (local, regional, international)</li> <li>Intended Stakeholders</li> <li>Desired tangible outcomes (Primary, Secondary)</li> </ul>	<b>Desired Impact – Description (QUAL)</b> Describe impact by considering the following: <ul style="list-style-type: none"> <li>What is it that you want to change/achieve;</li> <li>What are your desired outcomes; at what level? How?</li> </ul> Who would your key stakeholder be?	
	<b>HOW DO WE GET THERE?</b> <b>The Strategy</b> <ul style="list-style-type: none"> <li>Current level of support</li> <li>Desired level of support</li> </ul>	<b>Current Support – Description (QUAL)</b> Describe current support you are getting <ul style="list-style-type: none"> <li>From Citizen lab</li> <li>From other organizations</li> </ul> <b>Desired Support – Description (QUAL)</b> Describe the support that would be required to achieve success/impact	
	<b>HOW DO WE KNOW IF/WHEN WE GET THERE?</b> <b>Definition &amp; Indicators</b> <ul style="list-style-type: none"> <li>Definition of Impact / Success</li> <li>Impact / Success Indicators</li> <li>Support Indicators</li> </ul>	<b>Success – Description (QUAL)</b> Describe the success of your organization/initiative at 3 levels: <ol style="list-style-type: none"> <li>Ideal scenario (would love to see)</li> <li>Intermediate scenario (would be happy to see)</li> <li>Minimum expected.</li> </ol> <b>Success – Indicators (QUAN)</b> Identify Indicators you would use to track levels of success? <b>Support – Indicators (QUAN/QUAL)</b> Identify qualitative/quantitative indicators you would use to assess the support your organization is receiving	

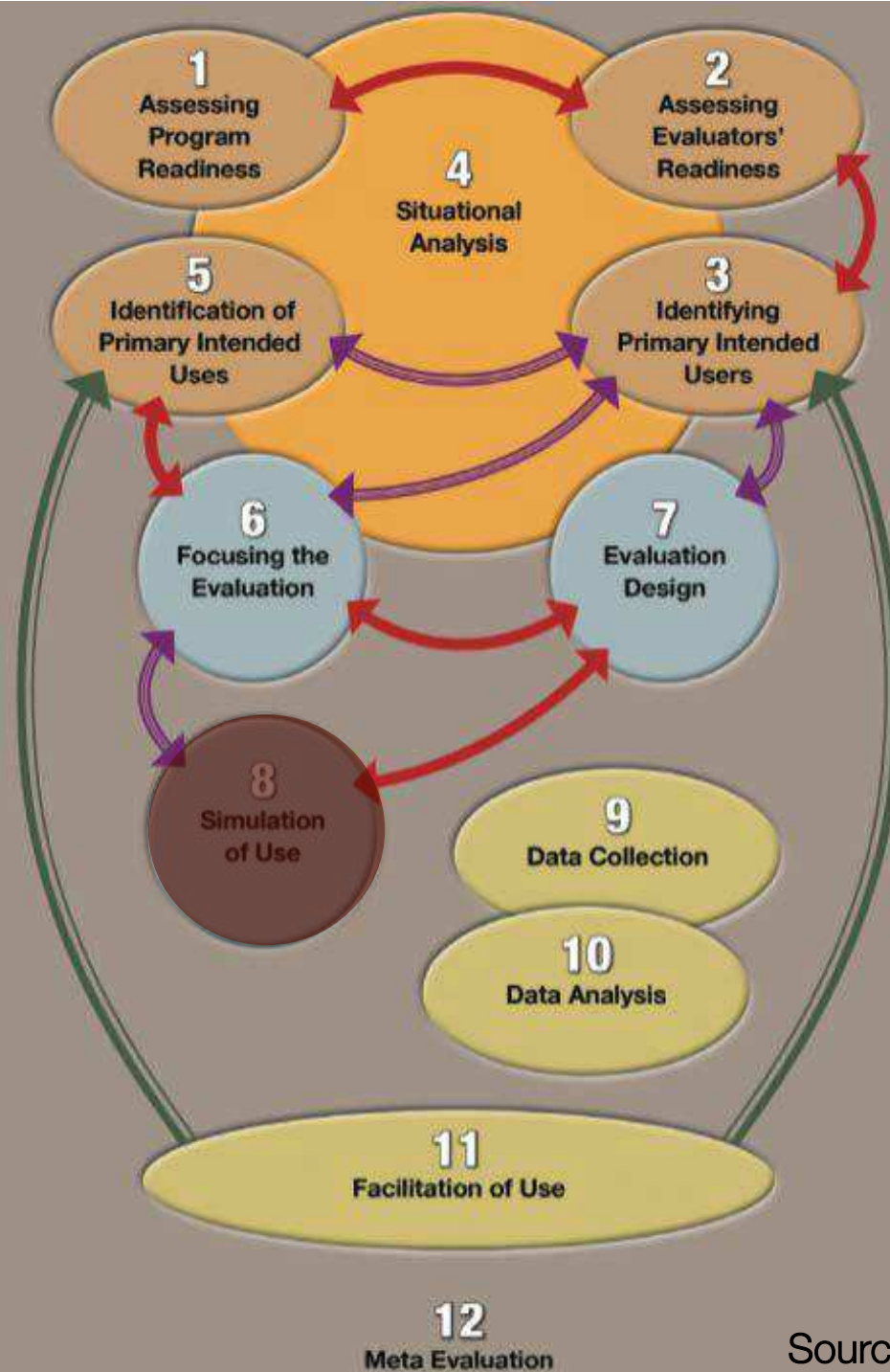
Lesson

**DISTINGUISH CLEAR PROJECT  
OUTCOMES**

# The trajectory of change...



(Navas, 2013)



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Source: Dal & Broadhead (2013)

# Lesson

Simulation of use is the **MOST VALUABLE** step in the process



## Simulate data collection tools to visualize the data we are looking to collect

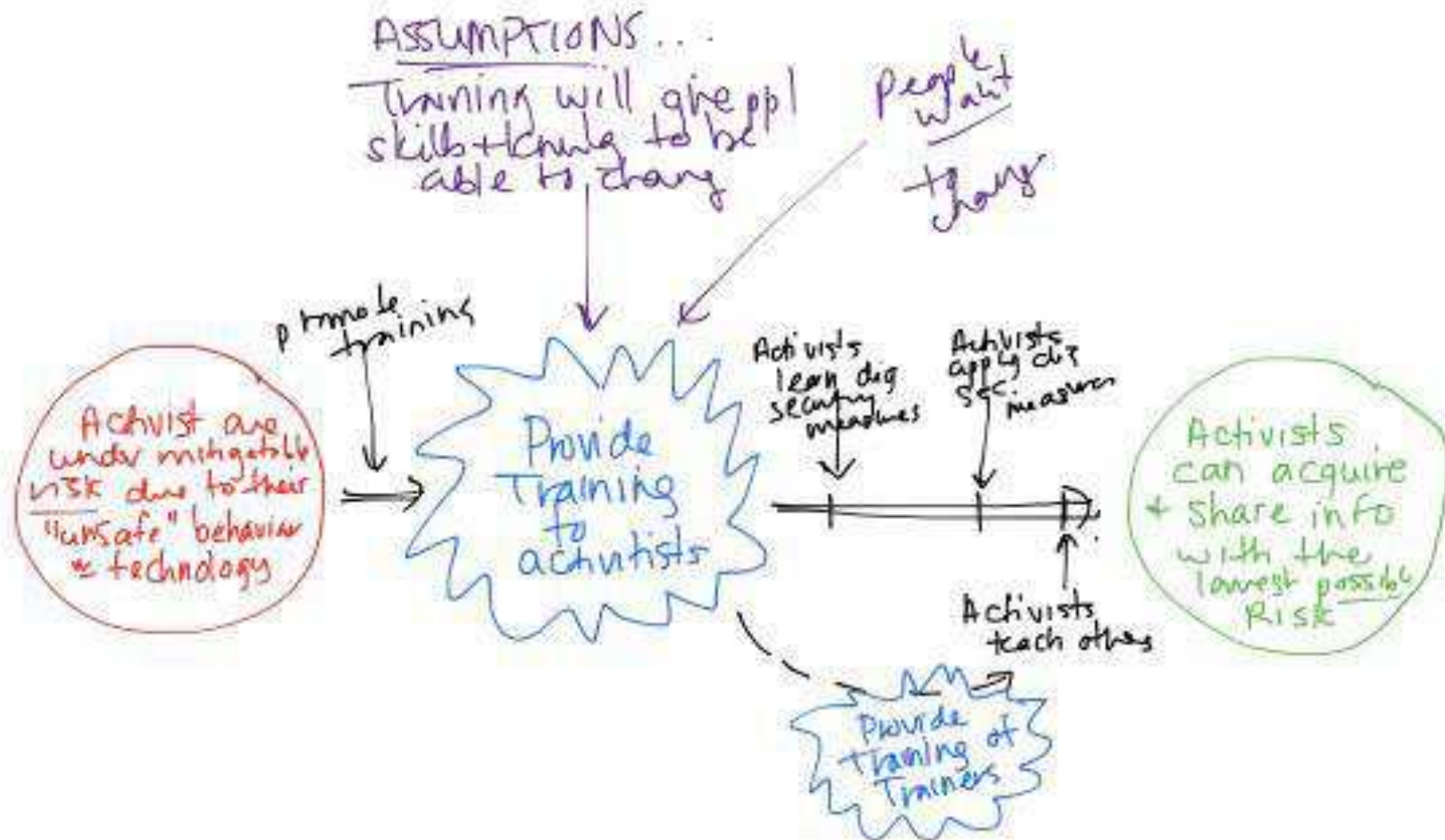


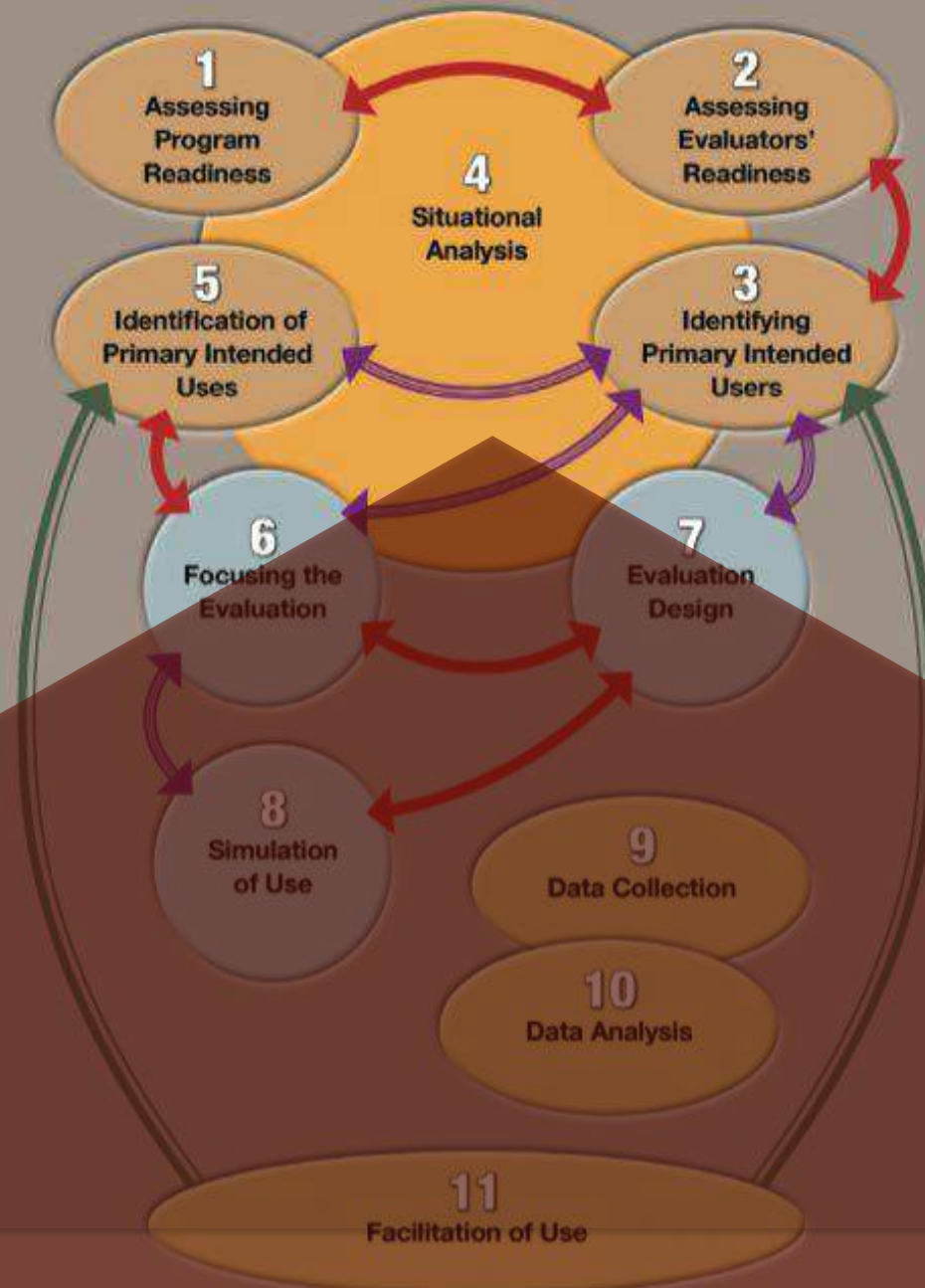
# KEQ1 | DATA COLLECTION

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# KEQ1 | SIMULATION OF USE – Theory of Change





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# REFLECTING

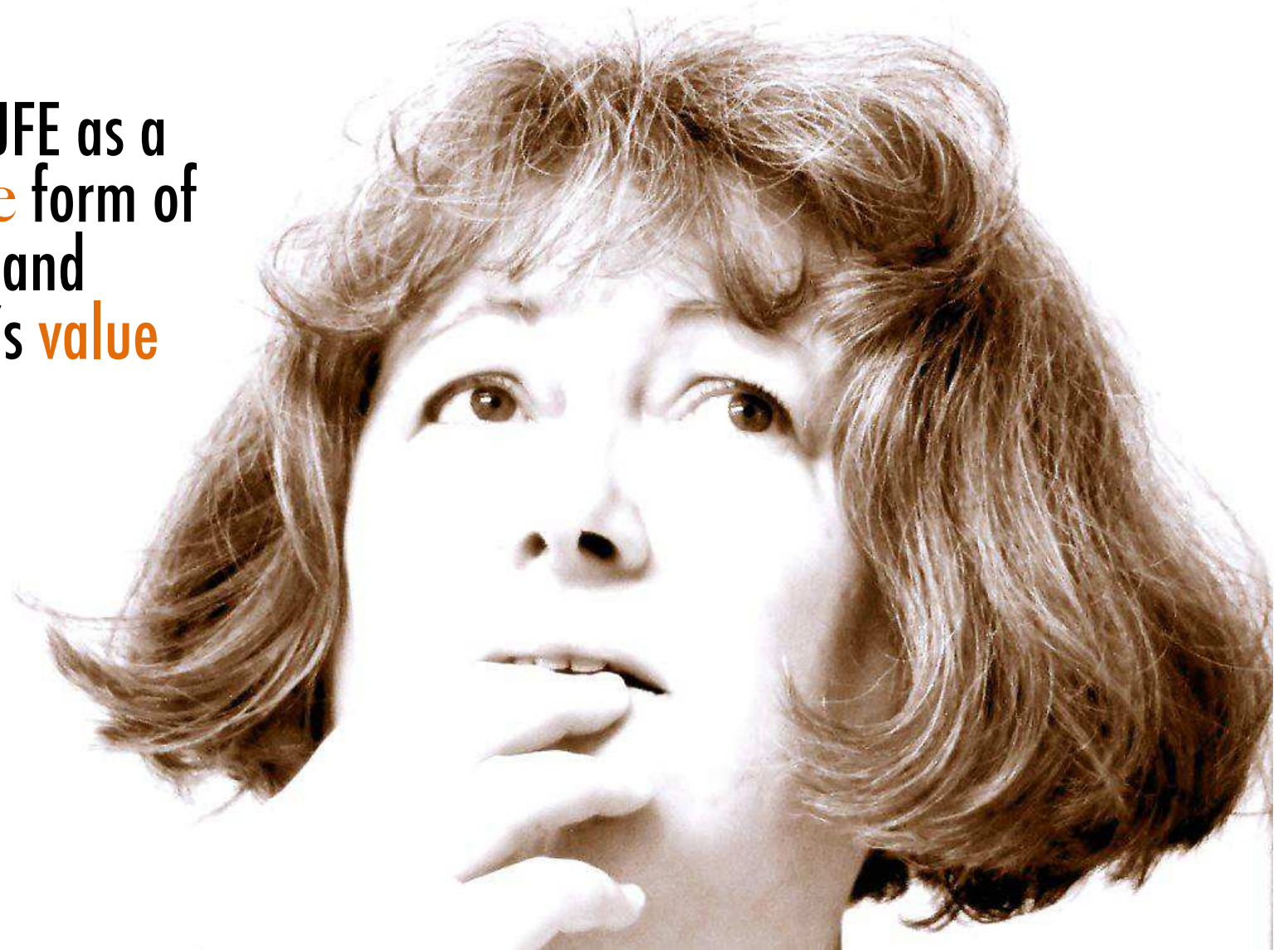
Meta Evaluation

Source: Dal & Broadhead (2013)

Lesson  
**UFE HAS ITS SCEPTICS**



Many see UFE as a  
**New-age** form of  
evaluation and  
question it's **value**



Lesson

**BUY-IN SPEEDS UP THE PROCESS**



**Buy-in** from PIUs and from the larger organization facilitates and speeds up the process



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# THANK YOU!

Questions, comments... ENCOURAGED!

**Jennie Phillips**

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