Years ago, somewhere around 2011–12, some members of our research team began to converse about our common interests in evaluation. Specifically, on different occasions and usually in dyads, Brad Cousins, Bessa Whitmore, and Lyn Shulha discussed recent developments in our field and how these aligned or misaligned with our own perspectives. Some of our discussions had to do with the consequences of evaluation, particularly issues associated with enhancing process use, use of evaluation findings, and leveraging social change. Sometimes we talked about research on evaluation (RoE), particularly about how to support and grow such activity. But mostly, our conversations touched on evaluation practice near and dear to our hearts: participatory and collaborative approaches. The conversation developed over time in spits and starts and eventually was enhanced through our sponsorship of two American Evaluation Association (AEA) think tank sessions (2011, 2012). Ultimately, we decided to coauthor a paper that we hoped would pique some interest and dialogue about direction for the field. In that article (Cousins, Whitmore, & Shulha, 2013) published a year later, we laid out some arguments supporting the case for the development and validation of a set of principles to guide practice in participatory and collaborative approaches.

1Much of the work on this chapter was completed while H. Al Hudib and N. Gilbert were doctoral candidates at the University of Ottawa.
The thing about laying out arguments favoring specific courses of action over others is that doing so comes with a certain amount of risk. That is to say, it may be all well and good to critique the field and offer ideas about potential remedies to identified problems, but it is quite another undertaking to walk the walk. How can you responsibly make arguments to develop a set of principles and then leave it at that? Perhaps we had been mulling over the idea, but it would be safe to say that at the point of completion of this initial piece, we decided to roll up our sleeves and take on what turned out to be a rather enormous challenge, one that developed into a full-blown research program.

Shortly thereafter we formed the research team and named it Collaborative Opportunities to Value Evaluation (COVE) with two doctoral candidates (Nathalie Gilbert and Hind Al Hudib) joining with the coprincipal investigators on a multiyear journey. This book is a continuation of that now long-running research program; and evidence-based principles to guide participatory and collaborative evaluation practice have been at the center of it all.

In this chapter, we define what we mean by collaborative approaches to evaluation (CAE) and then talk about the rather significant growth in the field over the past few decades. We then summarize our primary justifications for developing the principles and then describe in some detail our systematic empirical approach to the challenge of developing and validating them. This leads to an overview of the resulting set of eight principles and some of the support materials that accompany them, followed by our own thinking about how the principles are likely to best serve the field. We consider this set of principles to be preliminary and subject to refinement, adjustment, and continued development over time, and as such, we end the chapter with a recap of our global launch of the principles and simultaneous call for field studies. Test driving the principles in authentic evaluation practice situations around the globe is what this book is all about.

WHAT ARE COLLABORATIVE APPROACHES TO EVALUATION?

Background

As far back as the late 1980s/early 1990s, all three coprincipal investigators had some form of serious engagement with participatory and collaborative approaches to evaluation. Shulha had completed her doctorate in evaluation at the University of Virginia and joined the Faculty of Education at Queen’s University (Kingston). Over her career, her interests centered on classroom assessment as well as program evaluation and collaboration have been a consistent aspect of her work. In her early years at Queen’s, she worked with her colleague Bob Wilson on an Ontario school district-university

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2We are indebted to the University of Ottawa for financial support for the research.
collaborative partnership (Shulha, 2000; Shulha & Wilson, 1995) and an international
development project in the Colombian education sector. Both projects involved forms
of monitoring and evaluation that were very much collaborative (Shulha & Wilson,
1995). Whitmore completed her doctoral research on participatory evaluation at
Cornell University in the late 1980s (Whitmore, 1988) and eventually joined the fac-
ulty at the School of Social Work at Carleton University (Ottawa). Here she continued
her research and practice on participatory and collaborative approaches to evaluation,
including a project in the agriculture sector along the US/Mexican border that turned
out to be a valuable learning experience (Whitmore, 1998b). Whitmore’s approach to
participatory evaluation has been very much sociopolitical, centering on social justice
and leveraging change through empowerment (1988, 1991, 2001). These themes are
reflected in her later work in feminist evaluation (Whitmore, 2014) and social work
(Whitmore & McKee, 2001; Whitmore & Wilson, 2005).

Cousins finished his Ph.D. on evaluation use in 1988 at the Ontario Institute for
Studies in Education (Toronto) and subsequently joined their faculty in a satellite
office located in Peterborough, Ontario. The mandate of that unit was educational
field development, and Cousins’ principal contributions were in the development of
curriculum, leadership, and especially educational evaluation. In those early years, he
became directly involved in working with small school districts to help them conduct
evaluations of their own programs and interventions. These evaluations provided fod-
der for the ongoing development and improvement of educational programs and ini-
tiatives. Soon, he connected with Dr. Lorna Earl, then head of the evaluation unit
at a large urban school district in Toronto. Together, they recognized that they were
engaged in very similar evaluation practice: working with educators to help them eval-
uate and improve their own programs. They began to think of this work as participa-
tory evaluation (Cousins & Earl, 1992) and recruited a range of colleagues in Canada
and the US to publish empirical case studies focused on such work (Cousins & Earl,
1995). Arising from these efforts were obvious connections between participatory eval-
uation and enhanced utilization, as well as organizational learning.

The common thread among the bourgeoning research programs of Shulha,
Whitmore, and Cousins was trained researchers and evaluators working in partner-
ship with members of the community of program practice to coproduce evaluative
knowledge. Over the years, we have referred to such work by various names includ-
ing collaboration (Shulha & Wilson, 1995), collaborative evaluation (Cousins, 2001;
Cousins, Donohue, & Bloom, 1996), collaborative inquiry (Cousins & Whitmore,
1998), and participatory evaluation (Cousins & Chouinard, 2012; Cousins & Earl,
1992; Whitmore, 1998b). In essence, they all touched on this foundational notion of
joint engagement of evaluators and nonevaluators in planning, implementing, and dis-
seminating evaluation.

Hind Al Hudib and Nathalie Gilbert later joined the project as research assistants
while completing their doctoral programs in evaluation at the University of Ottawa.
Both had strong interests in CAE. Al Hudib’s research focuses on the relationship
between evaluation policy and evaluation capacity building (ECB) where, as is the case with CAE, the learning function is implicated rather directly (Al Hudib, 2018). Gilbert’s interests lie in the health sector with a focus on innovative approaches to patient engagement, a natural fit for CAE (Gilbert, 2018; Gilbert & Cousins, 2017).

**Collaborative Approaches to Evaluation: What’s in a Name?**

Today, and since about 2014, we have steadfastly used collaborative approaches to evaluation (CAE) as an umbrella term for the genre of evaluation approaches that meet the basic requirement of evaluators working hand-in-hand with nonevaluators to produce evaluative knowledge. In our view, the term is preferable as a masthead for this family of approaches because it is inclusive of a very wide range of approaches that share the common basic prerequisite—evaluators working with nonevaluators in evaluative knowledge production. Box 1 provides an incomplete list of family members, many of these having long histories of application in international development contexts (e.g., most significant change technique, participatory action research, rapid rural appraisal), others being more familiar in Western, particularly North American, contexts (e.g., contribution analysis, collaborative evaluation, utilization-focused evaluation, practical participatory evaluation). Some are associated with cross-cultural perspectives on evaluation (e.g., culturally responsive evaluation), including approaches that embrace indigenous perspectives (e.g., indigenous evaluation framework).

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**Box 1: An Incomplete List of Members of the CAE Genre**

- Contribution Analysis (Mayne, 2001, 2012)
- Culturally Responsive Evaluation (Hood, Hopson, & Kirkhart, 2015; Wehipeihana, McKegg, Thompson, & Pipi, 2016)
- Deliberative Democratic Evaluation (Ryan & DeStefano, 2000)
- Developmental Evaluation (Patton, 1994, 2011)
- Empowerment Evaluation (Fetterman, 1994; Fetterman & Wandersman, 2005)
- Most Significant Change Technique (Davies & Dart, 2005; Serrat, 2009)
- Rapid Rural Appraisal (Chambers, 1981)
- Participatory Action Research (Fals-Borda & Anisur-Rahman, 1991; Wadsworth, 1998)
Other contributors have chosen to use different terms to describe the genre or subsets of it. For example, King considers “participatory evaluation” to be an overarching term for any evaluation approach that involves program staff or participants actively participating in decision-making and other activities related to the planning and implementation of evaluation studies” (2005, p. 291, emphasis in the original). As mentioned above, in our own work, we had often used the terms participatory and collaborative approaches (see Cousins & Chouinard, 2012; Cousins & Whitmore, 1998) in a generic and encompassing way. Yet CAE strikes us as being preferable because all approaches involve collaboration; people jointly working together. In another example, Fetterman and colleagues (2018) use the term stakeholder involvement approaches in an overarching manner. Although they never really define the term, their use of it appears to be limited in scope only to collaborative evaluation, participatory evaluation, and empowerment evaluation approaches which, by no coincidence, correspond with the name of the topical interest group (TIG) of the American Evaluation Association (i.e., TIG-CPE). The Fetterman et al. (2018) book is devoid of any recognition of the other approaches listed in Box 1. In addition to limited scope, the term stakeholder involvement in evaluation could easily imply program community members acting merely as sources of data for evaluation, as opposed to being the cocreators of the evaluation knowledge. This potential for confusion is unsatisfactory in our view. The standard dictionary definition of collaboration is “the act of working with another or others on a joint project—often followed by on, with, etc.,” and this is precisely how we define CAE: the joint engagement of evaluators working with nonevaluators in planning, implementing, and disseminating evaluation.

In considering the list of family members appearing in Box 1, it is important to keep in mind that the list is incomplete. But it is also critical to recognize the fluid nature of participation and collaboration, even within a single project. For example, an evaluation might start out to be highly collaborative but in response to resource constraints,
competing interests or other emerging, perhaps totally unforeseen exigencies, it may become less so. It may even be the case that the evaluation is ultimately completed only by evaluator members of the team. Yet, we would still consider such an example to be an instance of CAE because it involved at some point, members of the program community in the knowledge production process.

Another consideration is that some members of the list, depending on precisely how they are implemented, may or may not be collaborative. Consider, for example, contribution analysis and utilization focused analysis. While both approaches are framed as reliant on stakeholder participation and genuine contribution, it may be entirely possible to implement these approaches in such ways that participation is merely performative or symbolic.

From a different perspective, let us consider the case of evaluation and indigenous peoples. There are many examples of cross-cultural evaluations that have been manifestly participatory, qualifying as CAE (see Chouinard & Cousins, 2007). Yet, as we learned from a keynote panel session at the Canadian Evaluation Society 2018 annual meeting, it would be a mistake to categorize peoples from indigenous cultures as a homogeneous group; some such cultures may not be particularly collaborative. What would be the contextual appropriateness of CAE in such contexts? But perhaps even more to the point, in the panel Wehipeihana provided a hierarchical profile of growth for considering the interface between evaluation and indigenous peoples progressing from evaluation to indigenous peoples, to evaluation for, evaluation with, evaluation by, and ultimately evaluation as indigenous peoples. In such a conception evaluation to and evaluation as would not qualify as CAE if they did not involve authentic participation in evaluation knowledge production by evaluators and program community members.

And so, in considering whether a specific evaluation is collaborative or not, it is always important to come back to the essential criterion: Did nonevaluator members of the program community authentically engage with evaluators in the evaluative knowledge production process? This, regardless of how the approach is labelled.

**When Do We Use CAE?**

Many would agree that there are two fundamental functions for evaluation. On the one hand, there is the *accountability* function—the main driver of technocratic approaches favored by public sector governance and bi- or multilateral aid agencies (Chouinard, 2013). On the other hand, is the *learning* function, which has appeal to a much broader range of stakeholders (Dahler-Larsen, 2009; Preskill, 2008; Preskill & Torres, 2000). Arguably, another consideration is the *transformational* function of evaluation (Cousins, Hay, & Chouinard, 2015; Mertens, 2009), which seems particularly relevant to CAE considerations as we elaborate below. We argue that CAE is most

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5https://evaluationcanada.ca/news/10076
suited to evaluation contexts where learning and/or transformational concerns are paramount, although some aspects of accountability are implicated as well.

**When It’s About More Than Impact**

The accountability function is essential to the overt demonstration of fiscal responsibility, that is, showing the wise and justifiable use of public and donor funds. It comes as no surprise that in accountability-driven evaluation, the main interests being served are those of the senior decision and policy makers on behalf of taxpayers and donors. As such, a premium is placed on impact evaluation particularly on the impartial demonstration of the propensity for interventions to achieve their stated objectives. Such information needs are generally not well served by CAE, although some approaches are sometimes used to these ends (e.g., contribution analysis, empowerment evaluation, most significant change technique). In fact, contribution analysis seems well suited in this regard (Mayne, 2001, 2012). Contribution analysis is committed to providing an alternative to obsessing about claims of program attribution to outcomes through the use of a statistical counterfactual; instead, it focuses on supporting program contribution claims through the use of plausible, evidence-based *performance stories*. While the accountability agenda is and is always likely to be essential and necessary, many have observed that reliance on associated single-minded evaluation approaches serves to diminish, even marginalize the interests of the much broader array of stakeholders (e.g., Carden, 2010; Chouinard, 2013; Hay, 2010).

If we take into account, indeed embrace, the legitimate information needs of a very broad array of program and evaluation stakeholders, traditional mainstream evaluation designs are not likely to be particularly effective in meeting those needs. What good, for example, is a black box approach to evaluation (e.g., randomized controlled trial) to program managers whose main concern is to improve program performance, thereby making it more effective and cost-efficient? Or how could such an evaluation possibly assist program developers to truly appreciate the contextual exigencies and complex circumstances within which the focal program is expected to function and how to design interventions in ways that will suit? What about the program consumers? It is relatively easy to imagine that their concerns would be associated with their experience with the program and their sense of the extent to which it is making a difference for them. Evaluations which are single-mindedly focused on demonstrating program impact are likely to be of only minimal value for such people, if any at all.

Single-minded impact evaluations are likely to be best suited to what Mark (2009) has called *fork-in-the-road decisions*. When decisions to continue to fund or to terminate programs define the information needs associated with the impetus for evaluation, the evaluation will be exclusively summative in nature and orientation. But such decisions, as a basis for guiding evaluation, are relatively rare. Often, it is the case that summative and formative, improvement-oriented evaluation interests are comingled with summative questions about the extent to which programs are meeting their objectives and demonstrating effectiveness (Mark, 2009).
To the extent that formative interests are prevalent in guiding the impetus for evaluation, the learning function of evaluation carries weight, and CAE would be a viable evaluation option to consider. In formative evaluations, program community members, particularly primary users who are well-positioned to leverage change on the basis of evaluation findings (Alkin, 1991; Patton, 1978), stand to learn a great deal about the focal program or intervention as well as the context within which it is being implemented. Creating the opportunity for such learning, some would argue, is a hallmark of CAE (e.g., Cousins & Chouinard, 2012; Dahler-Larsen, 2009).

When It’s Developmental

In addition to, and quite apart from, summative and formative evaluation designs, is developmental evaluation (DE) (Patton, 1994, 2011). Unlike contexts where the specific intervention already exists and is being implemented, in DE, evaluators work alongside organizational and program community members to identify and develop innovative interventions through the provision of evidence-based insights. With evaluators at the decision-making table, DE by definition is collaborative and therefore a member of the CAE family.

Despite the argument that DE is distinct from summative and formative approaches, accountability and learning functions remain paramount. DE is all about creating innovative interventions through evidence-based learning, sometimes through trial-and-error, but accountability considerations factor in as well. For example, one of us (Shulha) is currently involved in a multisite DE in the Ontario education sector where accountability is being defined as taking snapshots over time where each picture describes what the team is doing; why the team is doing it; evidence (stories) that can confirm that logic is sound and that the appropriate needs are being addressed; and next-step planning.

Most certainly in developmental contexts, actors stand to benefit from the use of evaluation findings, be they instrumental or conceptual. But they also stand to benefit from their proximity to, or even participation in, evaluative activities. Patton (1997) dubbed learning of this sort process use, a phenomenon which has been actively studied and integrated into contemporary thinking about evaluation consequences (Cousins, 2007; Shulha & Cousins, 1997). Process use is a very powerful benefit of CAE and indeed can factor directly into decisions to use such approaches.

When Transformation Is Intentional

Given its evident connection to evaluation-related learning, process use is very much implicated in ECB and therefore highly relevant in evaluations that are intended to be transformational in form and function (Mertens, 2009; Whitmore, 1998b). In transformational approaches, interest is less about generating evaluation findings that will be acted upon to leverage change and more about the experience. Through participation in the cocreation of evaluation knowledge, members of the program
community, particularly intended beneficiaries of interventions, stand to profit. Much of this benefit will be cognitive or conceptual, which is to say, members stand to learn not only about the program and its functions but also about the historical, political, social, and educational aspects of the context in which it is situated. But of course, the idea is that when people critically analyze and learn about their situation, they will use this learning to push for change (Freire, 1970). It is through the deepening of understanding by virtue of engaging with evaluation that transformation and/or empowerment is likely to occur (Mertens, 2009).

Previously we discussed tensions between accountability and learning, which are often acknowledged as fundamental functions of evaluation, and we hinted that transformation may provide a third perspective. In a recent chapter, Cousins, Hay, and Chouinard (2015) argued that learning is often juxtaposed to compliance-oriented accountability as opposed to accountability as a democratic process, and that this is the root source of tension between the two. The authors went on to argue that when rooted in transformative participatory evaluation approaches and motivated by political, social-justice interests, accountability and learning approaches are no longer in opposition . . . [they are] essential, necessary, and supplementary, to be most appealing and indeed, necessary if evaluation is to be relevant to addressing issues of poverty, inequity and injustice. (p. 107)

Transformational interests provide a natural fit for CAE.

Why CAE?

The Three P’s of CAE Justification

For some time, we have tried to capture justifications for CAE as being a blend of three specific categories: pragmatic, political, and philosophical (Cousins & Chouinard, 2012; Cousins, Donohue, & Bloom, 1996; Cousins & Whitmore, 1998). These categories, to our way of thinking, are not mutually exclusive; the justification for any CAE will draw from two or more of them depending on interests, and perhaps more importantly, whose interests are being served. Pragmatic interests driving CAE are all about leveraging change through the use of evaluative evidence, in other words, using evaluation for practical problem solving. Of primary concern would be instrumental (discrete decision-making about interventions) and conceptual (learning) uses of evaluation findings. Program community members working with evaluators learn about how to change programs to improve them or make them more effective. Historically, we have considered political interests driving CAE to be largely socio-political and focused on empowerment and the amelioration of social inequity. Through participation in the evaluation knowledge production function, intended program beneficiaries (often from marginalized populations) and other program community
members learn to see their circumstances differently and to recognize oppressive forces at play. Such engagement may lead to the development of an ethos of self-determination. Finally, *philosophic* justifications for CAE are grounded in a quest for deeper understanding of the complexities associated with the program and the context within which it is operating. Through evaluators working hand-in-hand with program community members, the joint production of knowledge is grounded in historical, sociopolitical, economic, and educational context. Thanks to the insider insights of participating program community members, deeper meaning of evaluative evidence and knowledge is achieved.

As mentioned, these categories are understood not to be mutually exclusive, and as such, any given CAE will place relative emphasis on one or more depending on information needs, contextual exigencies, and circumstances. Cousins and Whitmore (1998) identified two principal streams of participatory evaluation as being practical and transformative. The former would emphasize the pragmatic justification, whereas the latter privileges the political justification; both streams, however, draw from all three justifications. For example, in practical participatory evaluation, program community members may find the experience to be rewarding in terms of their own professional development even though the primary purpose is to generate knowledge supporting program improvement. Such capacity building is an example of process use even though it is an unintended positive consequence of the evaluation. On the other hand, transformative participatory evaluation where empowerment and capacity building are central may also lead to positive changes to interventions as a result of evaluation findings. We observe that Fetterman and colleagues (Fetterman & Wandersman, 2005; Fetterman et al., 2018) have followed this lead in describing two streams of empowerment evaluation.

**Ethical Considerations**

In our current work, we are considering a fourth justification for CAE, which is distinct from but also overlaps with the other three. Cousins and Chouinard (2018, forthcoming) are now seriously exploring an ethical or moral-political justification for CAE, which is rooted in considerations of responsibility, recognizing difference, representation, and rights. In this work, which at least partially arises from prior conversations with our colleague Miri Levin-Rozalis (2016, personal communication), we have come to understand a moral-political justification for CAE to be distinct from and yet overlapping with the other categories in obvious ways. For example, while representation is understood to be obligatory in a democratic sense, it may also be thought of in political terms even though it is not ideological per se (e.g., representative governance). Long ago, Mark and Shotland (1985) made the case for representation as a reason for engaging stakeholders in evaluation. In a different example, we might consider ethical justifications for involving indigenous
peoples in evaluations of their own programs from a responsibility and recognition-of-differences perspective. Such considerations are part and parcel of post-colonial discourse in economics and philosophy. But such ethical justification could also overlap with epistemological considerations; for example, CAE could provide a bridge between indigenous and western ways of knowing in the joint production of evaluative knowledge (Chouinard & Cousins, 2007). Justification along these lines would draw from the philosophical category.

**What Does CAE Look Like in Practice?**

Previously we argued that three specific dimensions of form or process are fundamental to CAE in practice (Cousins, Donohue, & Bloom, 1996; Cousins & Whitmore, 1998). These dimensions are i) control of technical decision-making about the evaluation, ii) diversity among stakeholders selected for participation in the evaluation; and iii) depth of the participation of stakeholders along a continuum of methodological stages of the evaluation process. We considered each of these dimensions to operate like semantic differentials. That is to say, any given CAE at any given point in time could be rated on a scale of 1 to 5 depending on how the evaluation was taking shape. We can see each of the three scales in Box 2. We also made the claim that the three dimensions were orthogonal or independent of one another. In other words, in theory, ratings of a particular CAE project for each respective dimension are free to vary from 1 to 5, regardless of scores on the other dimensions.

**Box 2: Dimensions of Form in CAE Practice**

<table>
<thead>
<tr>
<th>Control of Technical Decision-Making</th>
<th>Stakeholder</th>
<th>Evvaluator</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Diversity Among Stakeholders Selected for Participation</th>
<th>Diverse</th>
<th>Limited</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Depth of Participation</th>
<th>Consultation</th>
<th>Deep Participation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>


Figure 1 shows how the three dimensions can be used as a device to differentiate among CAE family members by plotting rating scores in three-dimensional space. Hypothetically, in the figure, we can see that practical and transformative participatory evaluation streams would be located in two different sectors of the device despite being quite similar on two of the three dimensions. The dimension on which they differ is diversity; typically, a wide range of stakeholders are actively involved in transformative participatory evaluations, whereas in practical participatory evaluation engagement with the knowledge production function is most often limited to primary users, those with a vested interest in the program and its evaluation. We can see also that conventional stakeholder-based evaluation is rated to be quite distinct from the other two hypothetical examples. In this approach, originally described by Bryk (1983), participating program community members are essentially in a consultative role: the evaluator tends to control decision-making about the evaluation and stakeholder participation in the knowledge production function is limited to such activities as helping to set evaluation objectives and perhaps interpreting findings.
This device can be used to describe what any given CAE family member looks like in practice at any given point in time. It is noteworthy that CAE projects evolve over time and can actually change according to one or more of these dimensions of form as the project progresses. For example, in a hypothetical empowerment evaluation where the evaluator starts out in the role of critical friend and/or facilitator, deferring to program community members the control of decision-making, he/she may need to take more of a directive role if the project bogs down with controversy and/or acrimony among participating stakeholders. Or in practical participatory evaluation, initial deep engagement with evaluation implementation on behalf of stakeholders may wane in the face of competing job demands; ultimately, responsibility for the implementation of the evaluation may defer to the evaluator. In retrospective ratings of CAE projects, however, it seems likely that rating scores would be more holistic, representing an aggregate or average for the project.

A while back, we actually challenged the assumption that these three process dimensions were fundamental and toyed with a five-dimensional version of the framework that took into account stakeholders differential access to power and manageability (Cousins, 2005; Weaver & Cousins, 2004). Later, however, Daigneault and Jacob (2009) published a logical critique of the framework and concluded that, in fact, the three original dimensions should be considered fundamental. Consequently, we have once again embraced the three-dimensional framework in considering what CAE looks like in practice (Cousins & Chouinard, 2012).

WHY DO WE NEED PRINCIPLES TO GUIDE PRACTICE?

Why and How Are Principles Valuable?

A wide range of human services and indeed scientific pursuits ranging from accounting to nursing to geology rely on well-developed sets of principles to guide practice. Evaluation is no exception. For example, the AEA has developed and periodically revised its “Guiding Principles for Evaluators,” which may be considered to be doctrines or assumptions forming normative rules of conduct. Patton (2017) differentiates between moral principles and effectiveness principles: moral principles tell us what is right whereas effectiveness principles tell us what works. In this book, we are concerned with effectiveness principles to guide CAE practice, but we hasten to add that we do not see effectiveness concerns and moral-political concerns as being mutually exclusive.

Effectiveness principles to guide practice are important and valuable because they help actors to understand not only which practices or behaviors are likely to lead to desirable consequences but also to help them avoid practices that could be in some sense detrimental or counterproductive. Therefore, with a set of principles, it must be possible for actors to subscribe to or follow all of the principles in the set and in doing so

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6www.eval.org/p/cm/ld/fid=51

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avoid the potential for contradictory processes or actions that could be counterproductive. Effectiveness principles generally derive from a careful examination of, or reflection on, experience with effective practice. They could be attributed to the wisdom of an expert practitioner or the result of serious processes of consultation, dialogue, and deliberation. They may also be grounded in empirical evidence, which is the process that we selected for the development of CAE principles.

But how can we assess the quality of effectiveness principles? Patton (2017), in his book *Principles-Focused Evaluation,* has given some serious treatment to this question. Ultimately, he came up with a set of criteria useful for this purpose. This set of criteria is captured in the acronym GUIDE and is described in Box 3.

**Box 3: GUIDE Criteria for Evaluating Effectiveness Principles**

- **Guidance:** The principle is prescriptive. It provides advice and guidance on what to do, how to think, what to value, and how to act to be effective. It offers direction. The wording is imperative: The guidance is sufficiently distinct that it can be distinguished from contrary or alternative guidance.

- **Useful:** A high quality principle is useful in informing choices and decisions. Its utility resides in being actionable, interpretable, feasible, and pointing the way toward desired results for any relevant situation.

- **Inspiring:** Principles are values-based, incorporating and expressing ethical premises, which is what makes them meaningful. They articulate what matters, both in how to proceed and the desired result. That should be inspirational.

- **Developmental:** The developmental nature of a high-quality principle refers to its adaptability and applicability to diverse contexts and over time. A principle is thus both context sensitive and adaptable to real-world dynamics, providing a way to navigate the turbulence of complexity and uncertainty. In being applicable over time, it is enduring (not time-bound), in support of ongoing development and adaptation in an ever-changing world.

- **Evaluable:** A high quality principle must be evaluable. This means it is possible to document and judge whether it is actually being followed, and document and judge what results from following the principle. In essence, it is possible to determine if following the principle takes you where you want to go.


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7In *Principles-Focused Evaluation,* Patton does not describe effectiveness principles for evaluation per se, rather he elaborates on using principles of practice within the substantive domain of the target intervention to inform the evaluation of the intervention.
Situating Evidence-Based Principles to Guide Practice

Warrants for CAE Principles

As mentioned above, five years ago, we published an article titled “Arguments for a Common Set of Principles for Collaborative Inquiry in Evaluation” (Cousins et al., 2013). In that paper, we identified three interrelated warrants for developing a set of principles to guide CAE practice. First, there is a growing corpus of CAE family members suggesting their appeal as valued evaluation options is substantial. The list appearing in Box 1 is incomplete. CAE is on the rise in a range of evaluation contexts including international development evaluation, cross-cultural evaluation, and DE contexts. In response to mainstream privileging of the statistical counterfactual as the gold standard for impact evaluation, there is growing concern for the development of alternative approaches, many of which could be considered CAE (e.g., Rugh, Steinke, Cousins, & Bamberger, 2009). In North America, CAE is the most commonly used approach for the evaluation of interventions with indigenous peoples (Chouinard & Cousins, 2007; Hoare, Levy, & Robinson, 1993). In the evaluation of social innovation, DE is most commonly used (Milley, Szijarto, Svensson, & Cousins, 2018); as health care innovations such as patient engagement develop, CAE becomes a much better fit than traditional approaches to evaluation in this sector (Gilbert & Cousins, 2017). All of these approaches share a common theme: evaluators work in partnership with members of the program community to produce evaluative knowledge. As such, it is both reasonable and desirable to develop a set of effectiveness principles to guide CAE practice.

A second warrant relates to a recent development in the field, specifically, that Fetterman and colleagues (2018) have not only framed collaborative, participatory, and empowerment approaches as being comprehensive, but they have taken it upon themselves to nuance the specific dimensions distinguishing these three approaches. They concluded that control of evaluation decision-making (one of the dimensions of process in Figure 1) is the essential dimension along which the three approaches can be differentiated.

Collaborative evaluators are in charge of the evaluation, but they create an ongoing engagement between evaluators and stakeholders. . . . Participatory evaluators jointly share control of the evaluation. . . . Empowerment evaluators view program staff members, program participants, and community members as the ones in control of the evaluation. (Fetterman, Rodriguez-Campos, Zukoski, & Contributors, 2018, p. 2, emphasis in the original)

The authors cited a long list of colleagues whom they argued recommend that stakeholder involvement evaluation approaches be differentiated. Yet, we observe that some of these publications provided critiques of only empowerment evaluation and suggested it to be, in practice, indistinguishable from other CAE approaches (e.g., Miller & Campbell, 2006; Patton, 2005); that is to say, they did not explicitly advocate
differentiating among collaborative, participatory, and empowerment evaluation. Our main concern with this line of reasoning is that it runs the risk of evaluators self-identifying with particular approaches in seeking to apply them wherever they seem appropriate. In the foregoing excerpt, for example, we see reference to collaborative evaluators, participatory evaluators, and empowerment evaluators. From our perspective, decisions about i) whether CAE is warranted in the first place, ii) what will be its purposes, and iii) what will it look like in practice, will depend on the context within which the program is operating and the information needs that present. Perhaps this is why Miller and Campbell (2006) discovered that a wide range of alleged empowerment evaluations in their sample did not align well with theoretical tenets of the approach and instead resembled other CAE family members. While there may be some value in compartmentalizing different members of the CAE family, we remain somewhat opposed to this direction on the grounds that (i) it runs the risk of privileging method/approach over context, and (ii) it is exclusive of a plethora of related collaborative approaches (Cousins et al., 2013; Cousins, Whitmore, & Shulha, 2014).

The indispensable role of context in shaping evaluation approaches is, in fact, a third warrant for principles to guide CAE practice. In our view, a thorough analysis of the social, historical, economic, and cultural context within which focal programs operate, as well as the impetus for evaluating the program in the first place, are critical considerations for deciding i) whether a collaborative approach would be an appropriate alternative, ii) and if so, what will be its purposes, and iii) what form it should take (see Figure 2). Recent work by colleagues such as Alkin, Vo, and Hansen (2013) and Harnar (2012) to develop visual representations of theory has great value in our view. By representing theories in this way, readers are provided with an accessible overview of a given theory on which to build their deeper understandings. They may also use such representations to draw comparisons among given evaluation theories. This work has great potential to help bridge the gap between theory and practice in the evaluation community. However, despite this inherent value, we remain somewhat skeptical about developing visual representations in relation to CAE. First, we would argue that the CAE family members are properly thought of as approaches and not necessarily models or theories (see, e.g., Cousins, 2013). Visual representation of practical and transformative participatory approaches runs the risk of unintentionally framing them more as prescriptive models or prototypes than the fluid, context-sensitive approaches that are intended. We hasten to acknowledge Alkin’s point (2011, personal communication) that evaluation theories represented visually are ideals, and their application in practice will be very much influenced by context. Alkin also subscribes quite directly to the notion of the thorough analysis of the organizational, community, and political context of a program as being essential evaluation practice (e.g., Alkin & Vo, 2018).

The importance of context cannot be understated, and that is why the systematic analysis of contextual exigencies before deciding the purpose and form of CAE is critical. As we have represented in Figure 2, program context is an ever-present filter through which subsequent activities and decisions flow. Essentially, context defines what we do, why we do what we do, how, and even the methods that we use. Borrowing from Snowden
Chapter 1 • Situating Evidence-Based Principles to Guide Practice

and Boone’s (2007) Cynefin framework, we previously argued that contexts can vary from simple to complicated, to complex, and even to chaotic situations (Cousins et al., 2013). Simple contexts are relatively predictable and controlled and cause-and-effect relationships well understood. In such cases, identified best practices may be warranted as solutions to important problems. In complicated contexts perhaps more than one alternative solution would be worthy of consideration, yet in complex situations where a high degree of uncertainty and unpredictability exists, cause-and-effect may be unknowable in advance. In fact, context-specific approaches that emerge in practice may be the best course of action. Finally, uncertainty may be so extreme and turbulent that cause-and-effect relationships are ultimately unknowable. Each of these program contexts is unique in some sense and would require differentiated approaches to program evaluation, particularly CAE. It is imperative therefore that contextual exigencies are well understood before deciding what CAE looks like and what can be expected to accomplish. This being the case, we are heartened by the recent contribution by Vo and Christie (2015) who developed a conceptual framework to support RoE focused on evaluation context.

Context is at the center of all three of the justifications for developing the principles to guide CAE practice described above. With the emergence of a wide range of family members and increasing enthusiasm for using the CAE around the globe, it is essential to understand the implications of cultural and sociogeographic situations. Although there is some merit in compartmentalizing different approaches to CAE, we must guard against evaluators identifying with specific approaches and therefore being consciously or unconsciously drawn toward implementing them in situations that are not ideal. Finally, will the visual representation of theory inadvertently diminish the

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**Figure 2** Essential features of CAE (adapted from Cousins et al., 2013)


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centrality and importance of contextual analysis? For all of the foregoing warrants and on the basis of privileging context, we argue that it is now prudent and necessary to develop a set of effectiveness principles to guide CAE practice. In the next section we describe the systematic, empirical approach to the problem that we took and the initial set of principles that we developed and validated.

EVIDENCE-BASED PRINCIPLES TO GUIDE CAE PRACTICE

Systematic Approach

It will come as no surprise to those familiar with our work that the approach to the development of CAE principles that we took was empirical. We have long supported the concept of RoE, having identified it as an underdeveloped yet increasingly important gap in our field (e.g., Cousins & Chouinard, 2012). Through systematic inquiry, we sought to tap into this domain of evaluation practice to understand what characterizes or describes effective work and differentiates it from practice that is less so. Other approaches to principle development have been heavily grounded in practice and relied on the experience of renowned experts in the domain (e.g., DE principles, Patton, 2011) or based on fairly intensive consultative, deliberative processes (e.g., empowerment evaluation principles, Fetterman & Wandersman, 2005). In both instances, proponents draw heavily from practical wisdom. Our intention was to do the same but to do so through a rather significant data collection exercise.

Our methodology was comparative, but we relied on practicing evaluators to generate the comparisons from their own experience (i.e., within-respondent comparisons). Essentially, we wanted to ask evaluators who practice CAE (in whatever form) about their positive and less than positive experiences within the genre. Our sample (from three evaluation professional associations) of over 300 evaluators derived largely, but not exclusively, from North America; a substantial portion corresponded to those working in international development contexts. The approach that we took was to have participants think about a CAE project from their own experience that they believed to be highly successful. They were then asked to describe the project according to a set of questions, and in particular, they were asked to identify the top three reasons why they believed the projects to be successful. Having completed this first part, participants were then asked to identify from their experience a project they considered to be far less successful than hoped. They responded to an identical set of questions for this project, but they were asked to identify the top three reasons as to why the project was not successful.8 We had done some preliminary pilot work, and we are quite pleased with the response that we got (N=320). The data from this

8The order of successful and less-than-successful projects and corresponding sets of questions was counterbalanced to protect against response bias.
online survey were predominantly qualitative and provided us with a rich sense of what works in CAE practice.

Themes (reasons) emerged through an analysis of the qualitative responses, and these provided the basis for our development of higher-order themes (contributing factors) and ultimately draft principles. Some themes we considered to be particularly critical because they represented both a reason why a given project was perceived to have been highly successful, but also why, in a separate instance, it was perceived to have been limiting. For example, for a hypothetical CAE that had ample resources, this factor may have contributed substantially to success. Conversely, in another project, a lack of resources may have been limiting and intrusive. We called these critical factors. Ultimately, we generated a set of eight principles and then asked 280 volunteer members of our sample to look over the 43-page draft as part of a validation exercise. Given the enormity of this task (realistically, requiring at least a half day), we greatly appreciated the generosity of the 50 participants who responded.

Based on the feedback, we made a range of changes to the wording and characteristics of the draft principles and developed the final version of the preliminary set, subsequently published in the American Journal of Evaluation (Shulha, Whitmore, Cousins, Gilbert, & Al Hudib, 2016).

**Description of the CAE Principles**

Figure 3 provides an overview of the set of eight CAE principles resulting from our validation process. There are at least four important considerations to bear in mind in thinking about this set. First, the set is to be thought of as a whole, not as pick-and-choose menu. This aligns with the point made above that each and every principle in the set, if followed, is expected to contribute toward the desired outcome, that is, a successful CAE project. It is therefore possible for evaluation practitioners to follow each of the principles without risk of confusing or confounding purposes. The extent to which each principle is followed or weighted will depend on context and the presenting information needs. A second consideration is associated with the individual principles being differentially shaded and yet separated by the dotted lines in the visual representation. These two features in the diagram imply that while each principle contributes something unique, there is expected to be a degree of overlap among them. That is to say, they are not to be thought of as being mutually exclusive. Third, we make the claim that the principles are in no specific order although it may be argued that there is a loose temporal ordering beginning with clarify motivation for collaboration and ending with follow through to realize use. Important to note is that we intend for the CAE principles to require an iterative process, as opposed to a lockstep sequential one. Many of the principles described below require ongoing monitoring and adjustments to the evaluation and collaboration as time passes. For example, foster meaningful relationships requires continuous attention and may reassert itself as a priority during a clash of values or a change in stakeholder personnel. Finally, it
might be noted that some of the principles laid out in Figure 3 might apply as equally to mainstream approaches to evaluation as they do to CAE. This may be true, but it is important to recognize that (i) these principles emerged from detailed data from evaluators practicing CAE, and (ii) each is somehow unique in its application to the collaborative context, as we elaborate below.

We now turn to a brief description of each of the principles. Readers interested in a more detailed description and commentary may wish to consult Shulha et al. (2016). In the text to follow, supportive factors for each principle, which were derived from themes in our data, are identified in parentheses (following the title) and through the use of italics (in the descriptive text).

Clarify Motivation for Collaboration (evaluation purpose; evaluator and stakeholder expectations; information and process needs): Evaluators should be able to describe and justify why a CAE was selected in the first place. Why use CAE as opposed to a conventional or another alternative approach to evaluation? The principle encourages the development of a thorough understanding of the justification for the collaborative approach based on a systematic examination of the context within which the intervention is operating.
Clarity on these issues will help to ensure CAE is both called for and appropriate as a response to the evaluation challenge. Program improvement, opportunities for individual and organizational learning, and organizational capacity building were among the evaluation purposes suggested to be most conducive to CAE. On the other hand, accountability-oriented and legitimizing purposes could be counterproductive. Clarifying evaluator and stakeholder expectations for collaboration early on can be quite beneficial and can potentially lead to stakeholders leveraging networks and resources to help. CAE processes that are somehow mandated are less likely to be successful. Finally, clarification about information needs and priorities is an important supportive factor; evaluators can work with organizational or program stakeholders to help generate such clarity. Such activity helps to focus the evaluation and ensure that it will generate information that will be valued.

Foster Meaningful Relationships (respect, trust and transparency; structured and sustained interactivity; cultural competence): The principle inspires the conscious development of quality working relationships between evaluators and program stakeholders and among stakeholders, including open and frequent communication. Successful CAE projects benefit from “highly cooperative and collaborative organizational context, with abundant positive peer/professional relations and a wholesome, trusting, organizational climate” (study participant). Trust and respect are not givens and must be developed through ongoing interaction and transparency. While there is certainly a role for evaluators here, efforts on behalf of program and organizational stakeholders are implicated as well. Trust and respect can be leveraged through ongoing sustained interactive communication where evaluators learn to avoid “too many unspoken assumptions” (study participant). Close and constant contact can be instrumental to real-time communication, relationship building, and expectation clarification. The constructive exploration of differences and search for solutions that go beyond one’s own limited vision are at the crux of cultural competency. In CAE, building respectful sustainable relationships is essential.

Develop a Shared Understanding of the Program (program logic, organizational context): Is the program commonly understood among program and organizational community members and evaluators? Is everyone in agreement about intended program processes and outcomes? The principle promotes the explication of the program logic situated within context. Involving program stakeholders in the program description process is a useful way to deepen understanding about program logic. “The involvement of stakeholders provides a more accurate definition of the terms, problems, and population needs [and] culture” (study participant). Focusing on a mutual
understanding of what is being evaluated can reduce the likelihood of stakeholders moving forward in the evaluation with unrealistic expectations. Organizational context is also a significant consideration in this regard. It is important for stakeholders to feel comfortable and confident in the capacity of the organization to embrace the process. Disruptive forces such as a change in administration can diminish this capacity. Evaluators need to monitor the organizational context as the project unfolds.

Promote Appropriate Participatory Processes (diversity of stakeholders; depth of participation; control of decision-making): What does it mean for stakeholders to participate in a CAE? The principle encourages deliberate reflection on the form that the collaborative process will take in practice with regard to specific roles and responsibilities for the range of stakeholders identified for participation. Collaboration in CAE can be operationalized in a contextually responsive way. It is important for evaluators to consider diversity in stakeholder participation, particularly with members or groups who might not otherwise have been involved. A challenge, however, is not just identifying such diversity but negotiating participation. The benefits of involvement to organization and program stakeholders and relatively deep levels of participation in the evaluation process can pay off rather significantly, as suggested by this survey respondent:

Participants were close to—and ultimately owned—the data. They helped design the tools, collect the data, analyze the data, interpret the data, and present findings. It wasn’t just buy-in to the processes and outcomes; it was implementing the process themselves (not being led through) and generating (not been given and asked for their thoughts about) and owning the outcomes.

An important consideration is control of decision-making about the evaluation, which may be difficult to manage. The evaluator being open to sharing the control of evaluation—in terms of instrument choice, data collection, and the interpretation of findings—is an important strategy. On the other hand, complications can easily arise around the control of decision-making, particularly when power issues among stakeholders are present.

Monitor and Respond to Resource Availability (budget, time, personnel): Issues of time and money are challenges for any evaluation but in CAE, important interconnections are associated with personnel. Participating stakeholders are a significant resource for CAE implementation. In addition to fiscal resources, the principle warrants serious attention to the extent to which stakeholder evaluation team members
are unencumbered by competing demands from their regular professional roles. If the collaboration is identified as *part of the job* for those who will be heavily involved, evaluators should ask what aspects of their normal routine will be removed from their list of responsibilities during the evaluation. This would be one way to set appropriate expectations. Evaluators need to monitor stakeholder engagement and perhaps develop strategies to motivate staff. Such engagement can be eroded by emerging conditions within the evaluation context. Another aspect of interest is the skill set that stakeholder participants bring to the project and the extent to which evaluators can help to match skills and interests to the tasks at hand. Program and organizational stakeholders are also a key resource for program content and contextual knowledge. “The evaluator was not an expert in the program content area and absolutely needed stakeholders to provide clarity about how the data would be used and what the boundary conditions were for asking questions of intended beneficiaries” (study participant).

**Monitor Evaluation Progress and Quality** (evaluation design, data collection): Just as program and organizational stakeholders can help evaluators to understand local contextual exigencies that bear upon the program being evaluated, there is a significant role for evaluators in contributing to the partnership. The principle underscores the critical importance of data quality assurance and the maintenance of professional standards of evaluation practice. One aspect of the role concerns *evaluation designs* and ensuring that any adjustments preserve design integrity and data quality. Such adjustments may be necessary in the face of changes in the evaluation context. Acknowledging and sometimes confronting one another with deteriorating lack of fit between the intended evaluation design and the capacity of the collaboration to implement it can be productive and critical to salvaging evaluation efforts. Challenges with *data collection* are particularly salient and critical to ensuring data quality. It is essential for evaluators not to assume that stakeholders are appreciative of the implications of data quality on findings and outcomes, as the following excerpt suggests: “Front-line staff, who are responsible for collecting the data, did not understand the importance of getting it collected accurately.” Given the instructional role for evaluators, it is a worthwhile consideration to build in funding for such professional development processes. Such attention may reduce the amount of monitoring necessary as the project unfolds and can go a long way toward preserving the integrity of the evaluation.

**Promote Evaluative Thinking** (inquiry orientation, focus on learning): The principle inspires the active and conscious development of an organizational culture of appreciation for evaluation and its power to leverage social change. Evaluative thinking is an attitude of inquisitiveness and belief in the value of evidence, and CAE
provides good opportunity for developing such. When evaluative thinking is enhanced through collaboration, evaluation processes and findings become more meaningful to stakeholders, more useful to different decision makers, and more organizationally effective. The development of an inquiry orientation is an organizational culture issue and will not happen overnight, but certainly evaluators can profitably embrace a promotional stance as evaluation unfolds. Significant energy may be well spent helping collaborators to become invested in the learning process and to be prepared for the unexpected. In essence, evaluators would do well to be opportunistic in this respect, as the following excerpts suggest: “Because of the stakeholder commitment, results were used as an opportunity to learn and grow;” “stakeholders were willing to accept negative or contrary results without killing the messenger.” Organizational and program stakeholders who embrace the learning function of evaluation will have greater ownership and will be less likely to view it as something for someone else to do.

Follow Through to Realize Use (practical outcomes, transformative outcomes): To what extent is the evaluation a valuable learning experience for the stakeholder participants? The principle promotes the conscious consideration of the potential for learning, capacity building, and other practical and transformative consequences of the evaluation. Implicated are evaluation processes and findings, as well as the evaluator’s role in facilitating these desirable outcomes. Practical outcomes at the organizational level influence program, policy, and structural decision-making, and they are seen through a change in disposition toward the program or evaluation and the development of program skills, including systematic evaluative inquiry. To the extent that stakeholders are directly engaged with knowledge production, the evaluation will have greater success in getting a serious hearing when program decisions are made. Transformative outcomes reflect change in the way organizations and individuals view the construction of knowledge and in the distribution and use of power and control. Enhanced independence and democratic capacities are the sorts of social change that could be labelled transformative. Working collaboratively can deepen the sense of community among stakeholders and enhance their empathy toward intended beneficiaries through the development of their understanding of complex problems. Transformational outcomes are more likely when the facilitating evaluator is skillful in promoting inquiry and has expertise in human and social dynamics. Being prepared to work toward transformational outcomes almost certainly means being prepared to work in contexts where there are differences and even conflict. Given the interplay between practical and transformative outcomes, evaluators working on CAE would be wise to negotiate with stakeholders about i) the range of possible outcomes given the scope of the evaluation, ii) the outcomes most worthy of purposeful attention, and iii) how joint efforts might best facilitate these outcomes.

The foregoing description of the principles provides a good overview to support the development and implementation of CAE. The principles are grounded in the
rich experiences of a significant number of practicing evaluators. Their credibility is enhanced by virtue of the comparative design we used to generate the evidence base as well as the validation exercise described above. In his recent book on principle-based evaluation, Patton (2017) explicitly acknowledged their quality: “For excellence in the systematic and rigorous development of a set of principles, I know of no better example than the principles for use in guiding collaborative approaches to evaluation” (p. 299).

But in and of themselves, mere descriptions of the principles remain somewhat abstract. In order to enhance their practical value to guide CAE decision-making and reflection, we developed for each principle summary statements of evaluator actions and principle indicators in the form of questions that could be posed as an evaluation project is being planned or implemented. This information is summarized in Table 1 and was included in an indicator document to complement descriptions of the principles and their supportive factors.

<table>
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<th>Principle Action Indicators</th>
<th>Principle Action Indicators</th>
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| Clarify motivation for collaboration Assess through consultation, documentation, and examination who are the important stakeholders and what do they value | • Is there a general high level of agreement among stakeholders about program information needs?  
• Are program goals consistently embraced across stakeholders?  
• Are identified evaluation purposes weighted toward formative, improvement orientation? |
| Foster meaningful relationships Openly discuss, listen, and negotiate decision-making processes and boundaries | • What should be the composition of stakeholder participation?  
• Are regularly scheduled meetings held; are they having consistent attendance; are there respectful and professional deliberations?  
• Is the process inclusive of all members’ voices included? |
| Develop a shared understanding of the program Initiate exercise to develop and validate program logic model | • Is the evaluator helping stakeholders teach them the program’s logic?  
• Can reasonable consensus among stakeholders about the program logic be reached?  
• What is the program’s status within the organizational context? |
<table>
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<tr>
<th>Principle</th>
<th>Action</th>
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| Promote appropriate participatory processes | Negotiate what form the collaboration will take | • Who will control evaluation technical decision-making?  
• To what extent are stakeholders involved in all evaluation activities? Are they comfortable with their level of participation?  
• Is the involvement of stakeholders sufficiently diverse? Are distinct perspectives represented? |
| Monitor and respond to resource availability | Negotiate resources for the evaluation in advance; periodically reevaluate during process | • Is there a memo of understanding or contract?  
• Is there alignment between evaluation scope and required funds, time, and personnel?  
• Can this be renegotiated in the face of unanticipated developments? |
| Monitor evaluation progress and quality | Take steps to ensure data quality as per professional standards of practice | • Do stakeholders understand the critical importance of data quality assurance? Is some level of instruction/demonstration required?  
• Are there competing demands marshalling against identified standards/procedures? Can they be negotiated? |
| Promote evaluative thinking | Assess facility and comfort with systematic inquiry and develop informal plan for growth and development | • Has the evaluator used teachable moments and/or critical events to convey the value of inquiry-oriented culture?  
• Are stakeholders aware of and appreciative of learning that has taken place (findings and process)?  
• Do stakeholders see value in systematic inquiry for other aspects of their role?  
• Have stakeholders had ample opportunity to determine the implications of the findings? |
The actions and indicator questions provided in the Table (and in the indicator document) have not been subjected to any formal review or validation. They are the result of our own collective reflections on CAE and are therefore indirectly based on knowledge garnered through working with the base data set. Nevertheless, we offered these processes and indicators as a way for potential users of the CAE principles to apply them in practice. Notable among the suggested actions for evaluators to consider in order to follow or apply the principles, a range of interpersonal and soft skills would be required. These would include facilitation, negotiation, promotion, and monitoring. Such skills, we would argue, come through considerable practical experience; they are not likely to be easily picked up in courses or workshops.

Having provided a summary overview of the set of eight effectiveness principles for CAE, and associated actions and indicators, we now turn to considerations about how these principles may be applied to the benefit of evaluators, program and organizational stakeholders, and in the evaluation community at large.

ENVISIONED USES AND APPLICATIONS OF CAE PRINCIPLES

In our view, a range of possibilities for the application of CAE principles exist. Here we comment on six main applications; no doubt others exist. These are prospective planning, framing, and doing; retrospective analysis and critique; designing and delivering education and training; reviewing and developing evaluation policy; translating and applying in cross-cultural contexts; and conceptual framing of RoE.
Prospective Planning, Framing, and Doing

Perhaps the most direct and obvious use of the principles would be to guide practice in a prospective manner. We would envision evaluators collaboratively working with members of the program community to engage in planning and implementing CAE on the basis of guidance from the principles. The indicator document provides some clues about actions to take and questions to ask to adhere to the tenets of the principles. We would expect that the actual collective exercise of familiarizing and internalizing would be at the same time instructive and inspiring of consideration of alternative courses of action. As a given CAE project unfolds over time, the principles could be used to stimulate ongoing reflection and dialogue, perhaps leading to alternative actions and/or decisions to reconsider strategies. Following implementation, it would be useful to retrospectively collectively reflect on the process and debrief about lessons learned in terms of both what went well and what challenges require attention. The suggestion is a natural segue into the next envisioned application.

Retrospective Analysis and Critique

To suggest that hindsight is 20:20 is a bit optimistic in our view given that collectively everyone exposed to a particular experience will, in fact, have experienced and remembered it differently. Another useful application of the principles, we believe, would be to use them as a guide to reflection after CAE projects have been completed. To the extent that such analyses can be systematic, it is our opinion that they will be more fruitful. For example, participants in a CAE project may wish to carefully identify and recruit other participating members for a structured dialogue about the process. Obviously, such a conversation would be based on individual and collective memories of what transpired, but such memories can be aided by artifacts and other clues. Nevertheless, it would be important not to delay the opportunity to engage in such reflection too long after a project has been completed since memories fade and people move on to other things. The primary benefit of such analyses would be to generate lessons learned that could inform future practice.

Designing and Delivering Education and Training

To date, we have delivered a range of full-day, half-day, and two-hour workshops and seminars using the CAE principles as a framework (see Appendix 1). One can easily imagine their use for structuring more protracted educational experiences such as a graduate-level evaluation course. Each of the eight principles could be used, for example, to structure a specific module, which could be augmented with introductory and integration modules. Given the requirement for evaluators to employ a range of interpersonal soft skills, in the ideal, a course on such approaches would involve some practical experience in the form of exercises and activities and/or authentic practice.
Our discussion to this point has focused on the professional development of evaluators, but of course, we should not overlook that of program community stakeholders. Another option for training could be seminars and workshops for program community members and organization members with an interest in applying evaluation in a self-directed way. Some of our colleagues (e.g., Alkin & Vo, 2018) have successfully provided highly accessible and readable texts on evaluation that have been quite useful in engaging persons who are, for all intents and purposes, uninitiated in evaluation matters. It is not difficult to imagine the development of support materials framed by the CAE principles that can serve the same purpose.

**Reviewing and Developing Evaluation Policy**

Hind Al Hudib, one of our COVE research team members, has been conducting in-depth research into interconnections between evaluation policy and evaluation capacity building (ECB) over the past few years. Her research includes the review and analysis of a large sample of organizational evaluation policies as well as an interview study with several contributors to the research knowledge base (Al Hudib, 2018). Suffice to say that the linkage between policy and ECB is not a strong one. In fact, organizational evaluation policies are generally seen to be symbolic and benign.

However, from her research, there is some evidence to show that organizations are motivated to revise their evaluation policies to make them more engaging and useful. One of the chief concerns arising from this research is that evaluation policies appear to lean heavily toward supporting accountability-oriented approaches to evaluation. Yet, there is evidence to show that policies and practices that privilege learning as a central and desirable function of evaluation are more likely to connect with organization and program community personnel (Al Hudib, 2018). In our opinion, it would be entirely worthwhile to consider augmenting the content of evaluation policies with due treatment of learning-oriented approaches, CAE being exemplary in this respect. It is likely to be through the direct experience of success with the evaluation that organizational actors will become more willing to embrace evaluation as leverage for change.

**Translating and Applying in Cross-cultural Contexts**

Many international events have underscored the rapidly growing global interest in evaluation. One such series of events sponsored by EvalPartners was held in 2015 *The International Year of Evaluation*, intended to raise awareness and foster organizational and individual capacity building on a global scale. Much of the work of international development evaluation, as we have observed above, has been heavily weighted toward the interests and needs of bi- and multilateral donor agencies as well as public sector governance institutions. Yet, there is growing interest in the evaluation field building

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*www.evalpartners.org/evalyear/international-year-of-evaluation-2015*
(e.g., Hay, 2010), which implicates the engagement of a much wider range of stakeholder interests in evaluation. We are inclined to think that the CAE principles could help to move this field building agenda. Required would be the official translation of the CAE principles into different languages of interest and applying them retrospectively or prospectively to evaluation projects at the local level. As we discuss below, we have already translated the principles and support documents into Spanish and French. Translation and application into other languages and contexts is most certainly possible and desirable. A caveat, however, is that the CAE principles reflect a western set of underlying assumptions and ways of thinking; translation into other languages is one thing, it would be quite another to actually apply the process in quite different cultural circumstances.

In western culture, it seems we often equate development contexts with international development, but of course, many of the considerations and principles we have in mind apply to indigenous populations in our own jurisdictions. Such contexts provide yet another cross-cultural opportunity to work with and apply the principles. Regardless, whether international or local/indigenous, applications are not likely to be straightforward given variance and differences in cultural norms. It will be of high interest to see, for example, the extent to which the principles as we have laid them out integrate with indigenous and other ways of knowing.

Conceptually Framing Research on Evaluation

A while ago, an extensive review of 121 empirical studies on CAE was conducted, and it was observed that the vast majority of them took the form of reflective case narratives (Cousins & Chouinard, 2012). The review was extended to CAE in development contexts and similar results were found (Chouinard & Cousins, 2015). While reflective narratives offer considerable value for understanding complex psychosocial phenomena such as program implementation and impact, they are largely unverifiable given the propensity to underreport methods. We therefore have argued in favor of greatly expanding the range of research designs to gain a better understanding of practice and its implications for growing the evaluation knowledge base. The CAE principles implicitly provide a conceptual framework that may be entirely useful in this regard. We envision the development and utilization of qualitative, quantitative, and mixed-methods research designs to enable deeper understanding of the antecedents, practices, and consequences of CAE. Of particular interest would be comparative designs, where observations about the implementation of CAE in different contexts could be systematically informed. Longitudinal designs to chart the trajectory of relationships and other important considerations over time would also be of high value.

In the foregoing paragraphs, we have offered some suggestions about potentially powerful uses of the CAE principles not only to guide practice but to enable deeper understanding about CAE than is presently the case. In our opinion, the principles show great promise to stimulate dialogue and deliberation, analysis, and reflective
practice in the field. But of course, the question as to their potential merit remains an empirical one. In the next section, we describe how we went about launching the principles, promoting them globally, and requesting collegial interest in field testing the principles.

THE GLOBAL TEST DRIVE OF THE CAE PRINCIPLES

Rationale

From the point of decision to actually develop and validate a set of CAE principles, we knew that what we would be able to produce would only be preliminary. It will be through ongoing use and reflective, systematic assessment that we can learn about the extent to which the principles are effective and how they might be improved to make them more effective. Here is how we put it on previous occasions:

The principles would not be written in stone, but rather they would be the subject of continuous analysis and renewal through dialogue and systematic inquiry. . . . Moreover, we would propose that a set of working principles be subject to field testing and inquiry and that such inquiry should be, in and of itself, collaborative. (Cousins et al., 2013, p. 19)

Our sense is that the principles, when used as a set to guide and reflect on collaborative practice hold strong potential for enhancing the success of such evaluations, and we encourage ongoing, well-documented field trials to confirm this hunch. . . . It is our conviction that the principles require solid test driving opportunities, and they should be revised and perhaps reengineered sometime not too far down the road. (Shulha et al., 2016, p. 213)

To paraphrase what we said earlier in the chapter, the thing about laying out proposals favoring specific courses of action is that doing so comes with a certain amount of risk. That is to say, it is one thing to come up with direction for the field, but it is quite another to walk the talk. This book is our attempt to do just that; to make good on a commitment to test driving the principles in a range of contexts around the globe and to do so through the collaborative involvement of many of our evaluation colleagues. In this section, we describe our launch of the principles and our efforts to promote them as well as the global call for empirical field studies to test the principles in action.

Promotion and Launch

In the latter stages of development and validation of the initial set of principles, we began promotional activities in various locations at home and abroad (see Appendix 1). In January 2017, we officially launched the CAE principles in English, French,
and Spanish through a wide range of networks and channels. As shown in Appendix 2 the launch included two appended documents: (i) a brochure style document giving a descriptive overview of the principles, suggestions for their use and application, and contact coordinates for request for further information; and (ii) an indicators document which also provided a descriptive overview of the principles along with the actions and indicator questions listed in Table 1. These documents were also translated from English into French and Spanish.

Call for Field Studies

Along with the launch, which encouraged evaluators and evaluation community members to use and apply the principles in practice, we simultaneously provided a call for proposals for field studies. Text for the call for field studies was foreshadowed in e-mails and listserv postings (See Appendix 2) where we provided a link to an online fillable proposal form (See Appendix 3). The text for the call provided background information, a rationale for the call, details about the peer-review and publication process, suggestions about content focus including a list of research or field test questions of interest, and finally details about proposal format and evaluation. The call concluded with an invitation to contact the principal investigator for more information.

We received a good response to the call with 10 proposals coming from Europe, the Middle East, Latin America, as well as the USA and Canada. The core editorial team (members of the COVE research program group) reviewed the proposals and met to discuss their relevance, potential, and feedback to be provided to the authors. Ultimately, we decided that eight proposed studies were potentially publishable in the volume, and the editor (Cousins) subsequently wrote the authors to provide feedback and guidance. In addition to proposal quality, of particular interest in making the selections were the inclusion of (i) an empirical test of the principles, which aligns with our commitment to RoE; (ii) diversity in context/geography, which speaks to our commitment to a global test drive process; and (iii) diversity in application of the principles to minimize redundancy and enhance understanding of the scope of CAE principle application.

Review Process

Simultaneous with the call for proposals and our initial review of proposals, we recruited colleagues from the US, Canada, Europe, and the Middle East to serve as editorial board members for the volume. The list of participating board members appears in the front matter of the book. These individuals all have experience with CAE and in most cases have contributed to the professional literature on the topic. We are indebted to these colleagues for their generous contribution.

The peer review process may be thought of as single-blind review, and this was made known to the authors and the peer reviewers (editorial board members) from the outset. Each proposal underwent a pre-read by the editor who provided initial feedback
to authors. Authors then tightened up drafts and submitted them for single-blind peer review. Each draft chapter was reviewed by one core editorial board member (COVE team member) and two additional editorial board members. Reviewers were asked to consider the following questions as they assessed their assigned draft chapters:

1. Is the purpose of the field study clear and well justified?
2. Are the methods used to gather and analyze data clear and suitable? Were steps taken to assure data quality?
3. Are the conclusions drawn supportable from the findings provided? Do they comment on implications for the use, application, and/or revision of the CAE principles?
4. Is the paper well organized and written?

All reviews were sent to the editor who then independently read the draft chapter and subsequently the peer reviews of it. The letter of decision was then sent to the authors, which identified the main points of concern in focus for revision. Appended to the letter of decision were anonymized versions of the reviewer comments. No promises of publication were made. Authors then responded to editorial and reviewer feedback and resubmitted their chapters for perusal. All chapters were accepted by the editor, some with continuing negotiation and revision.

And so now, we are proud to present a global test drive of the CAE principles. We hope you will agree that the quality, contextual diversity, and range in application provide an informative, interesting, and compelling review of the preliminary set of principles. We invite readers to review Chapter 10 where we present an integration of the field test results and associated implications for the ongoing use, application, and revision of the principles.

QUESTIONS FOR REFLECTION

1. What are the primary benefits of relying on a set of evidence-based principles to guide CAE practice? How would you know if such benefits accrued?
2. To what extent should CAE principles be used prescriptively? Why? What are some risks of overprescribing intended practice in CAE on the basis of the principles?
3. Listed in this chapter are a range of suggested applications of the CAE principles. Can you think of others? What would they be? Of the range of potential applications of the principles, which are likely to prove most beneficial to the evaluation community, broadly defined? Why?
REFERENCES


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Appendix 1: COVE Promotional Activities for the CAE Principles

2014, October: Single paper session, American Evaluation Association, Denver, USA

2015, January: Half-day workshop, Swiss Evaluation Society, Geneva, Switzerland

2015, February: Half-day workshop, Autonomous University of Barcelona, Barcelona, Spain

2015, March: Half-day workshop, Universidad Complutense de Madrid, Madrid, Spain

2015, May: Expert lecture, Canadian Evaluation Society, Montréal, Canada


2016, September: Two-hour seminar, Israeli Professional Evaluation Association, Jerusalem, Israel

2016, October: Two-hour seminar, International Congress on Palliative Care, Montréal, Canada

2016, October: Full-day workshop, European Evaluation Society, Maastricht, The Netherlands

2016, November: Full-day workshop, American Evaluation Society, Atlanta, USA

2017, February: Virtual coffee break session, American Evaluation Association, hosted from Clearwater FL, USA

2017, May: Keynote Address, L’avaluacio participativa, Conference on Youth Empowerment, Barcelona, Spain

2017, June: Full-day workshop, Canadian Evaluation Society, Vancouver, Canada

2017, October: Two-hour seminar, Fed Gov, Buenos Aires, Argentina

2017, October: Half-day workshop, Universidad National de Jan Juan, San Juan, Argentina

2017, October: Half-day workshop, Universidad Federal de Espirito Santos, Vittoria, Brazil

2017, November: Full-day workshop, American Evaluation Association, Washington, D.C., USA

2017, December: Half-day workshop, Turkish Monitoring and Evaluation Society, Ankara, Turkey

Appendix 2: Launch of CAE Principles (E-mail/Listserv Text)

Greetings. On behalf of the COVE research team (Collaborative Opportunities to Value Evaluation: Brad Cousins, Lyn Shula, Elizabeth Whitmore, Hind Al Hudib, Nathalie Gilbert) it is my very great pleasure to introduce *Principles to Guide Collaborative Approaches to Evaluation* (CAE). We would like to take this opportunity to promote their application and use.

The eight evidence-based Principles were developed on the basis of data from 320 practising evaluators in North America and beyond and were recently published in the *American Journal of Evaluation* (Shulha at al., 2016, vol. 37, no. 2).

Please find attached for your convenience and use two resource documents:

1. A brochure-style document that describes the Principles and potential applications in i) guiding CAE practice, ii) reflecting on the implementation and consequences of recent CAE projects, iii) evaluation policy review, iv) structuring professional development, and v) framing research on CAE practice (as well as other possible applications).

2. An indicator document that provides items for consideration with respect to the application of each of the eight CAE principles.

The eight Principles are to be: used as a set, although individual principles may be differentially weighted depending on context; considered to be interdependent and overlapping; and recognized as being nonlinear, albeit with some adherence to a loose temporal order.

For further information about the principles please follow this link to a short video presentation: [http://crecs.uottawa.ca/publications/ten-minute-window/evidence-based-principles](http://crecs.uottawa.ca/publications/ten-minute-window/evidence-based-principles)

We sincerely hope that the use and application of the principles will benefit in significant ways your practice in collaborative and participatory approaches to evaluation. At this juncture, despite our systematic efforts to validate the Principles, we recognize the current version to be preliminary and subject to ongoing development and refinement. To that end . . .

You are invited!

The principles were developed on the basis of thoughtful input by practising evaluators such as you. We invite you to seriously consider an opportunity to contribute to their ongoing development through empirical inquiry. We plan to publish peer-reviewed collections of practical field studies of the principles conducted by English-, French-, and Spanish-speaking evaluators. Please consider contributing. For more information follow this link: [link to field test invitation]

Best wishes in your evaluation pursuits and may all of your evaluations be learning experiences.
Appendix 3: Call for Field Studies of CAE Principles  
(Intro Text for Online Fillable Form)

The COVE research team (Collaborative Opportunities to Value Evaluation: Brad Cousins, Lyn Shulha, Elizabeth Whitmore, Nathalie Gilbert) invites you as a practising evaluator to contribute to a body of empirical research concerning the use and application of Principles to Guide Collaborative Approaches to Evaluation (CAE). This invitation is being circulated to English-, French-, and Spanish-speaking members of the global evaluation community.

A full description of the development and validation of the principles is available in an article published in the American Journal of Evaluation (Shulha et al., 2016, vol. 37, no. 2) and further information is available in the aforementioned brochure-style document and list of indicators of the Principles.

Rationale

While the principles have been developed and validated, we consider this version to be preliminary and recognize that further development, validation and refinement is required. We therefore invite practising evaluators and students of evaluation to consider developing and submitting proposals for empirical field studies of the principles.

Review and Publication Process

We will accept proposals on an ongoing basis but wish to close the first round of submission by March 30, 2017. Proposals will be structured by template described below. Each proposal will be reviewed by a core editorial team and decisions regarding publication merit will be forthcoming in the month of April, 2017. All submitting authors will receive feedback from the editorial team and specific guidance in terms of structure content and timelines will be given to authors of all except proposals.

Draft field studies of 5,000 to 7,000 words, and conforming to guidelines for authors will be circulated to at least two members of a wider editorial board for single-blind peer review. Manuscripts revised on the basis of peer-review will then be published as a collection. It is our intention to publish at least two edited volumes of field studies.

Content Focus

Each field study will involve the collection and analysis of original data relative to the eight CAE Principles. We are particularly interested in issues concerning their application and utility. We have already identified for possible applications, although others are certainly possible:

(Continued)
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[Continued]

- **Guide CAE practice** in terms of planning, implementation, reporting and follow up;
- **Reflect on the implementation and consequences** of recent CAE projects;
- **Review and revise** or develop extant **evaluation policies**, or develop new policies;
- **Structure professional development** end evaluation capacity building opportunities;
- **Frame research on CAE** practice by, for example, using specific case applications of the CAE principles to investigate cross-cutting evaluation issues, surveying evaluators and stakeholders, developing and validating instruments to monitor and CAE practice.

From our own research we have identified a range of research questions of potential interest. No doubt a much wider range exists. By way of example only, here are some questions of interest:

- Are the Principles comprehensive?
- Do particular and significant omissions exist?
- Are certain principles more heavily weighted in specific contexts? What are the features of context that shape such weighting?
- In what ways can/do the Principles support evaluation practice?
- To what extent can these Principles help to plan, or offer guidance throughout the evaluation process?
- To what extent can these Principles inform stakeholders or educate nonevaluators?
- To what extent are the Principles responsive to contextual complexities?
- Do the Principles align with existing specific collaborative approaches to evaluation (e.g., empowerment evaluation, participatory action research, most significant change technique)? Do some principles more than others complement these specific approaches?
- Are the Principles useful to novice evaluators or are they best reserved for seasoned evaluators?
- Do the Principles resonate in culturally responsive evaluation contexts?

**Proposal format and evaluation**

Submitting authors are required to use the following template for their proposals. Text may be cut and paste into the [link to form used by submitting authors]
1. **Statement of purpose**: identify the research questions that will guide the study and provide ample motivation/justification for them (max 200 words)

2. **Description of context**: describe the context for the research and general approach (e.g., reflection on recent CAE project; proactive guidance for upcoming CAE project) (max 300 words)

3. **Specification of method**: provide details about intended sampling, instrumentation, data collection and analysis procedures, and adherence to standards of data quality assurance (max 300 words)

4. **Identification of contribution**: outline what is seen as the primary contribution of the field study. In what ways will it be likely to benefit the ongoing development and validation of the CAE principles?

The foregoing categories form the basis of the criteria to be used by the core editorial team in evaluating proposals for manuscripts.

**More Information**

We thank you for considering this opportunity to contribute to the field. If you have any questions or require further information please contact Brad Cousins at bcousins@uottawa.ca (I am happy to follow via telephone or Skype if desired).