

A photograph of a rock balance on a beach. The background shows a clear blue sky and a calm ocean. In the foreground, a large, light-colored rock is balanced on a smaller, darker rock. Two smaller, smooth, light-colored rocks are balanced on top of the larger rock. The text "Let's Agree in Principle" is overlaid on the image.

# Let's Agree in Principle

## **Principles-Focused Evaluation for Multi-Stakeholder Initiatives**

American Evaluation Association 2019

15 November 2019

# Welcome



## **Heather Britt**

USAID's MECap mechanism  
(Expanding Monitoring & Evaluation Capacities)  
Implemented by Social Solutions International

## **Yve Susskind, Ph.D**

Praxis Associates  
Independent Principles-Focused and  
Developmental Evaluator

Discussant: **Michael Quinn Patton**

Utilization-Focused Evaluation

# Principles- Focused Evaluation

The GUIDE



Michael Quinn Patton



- Principles steer implementation.
- Principles provide a framework for M&E





# What are principles?



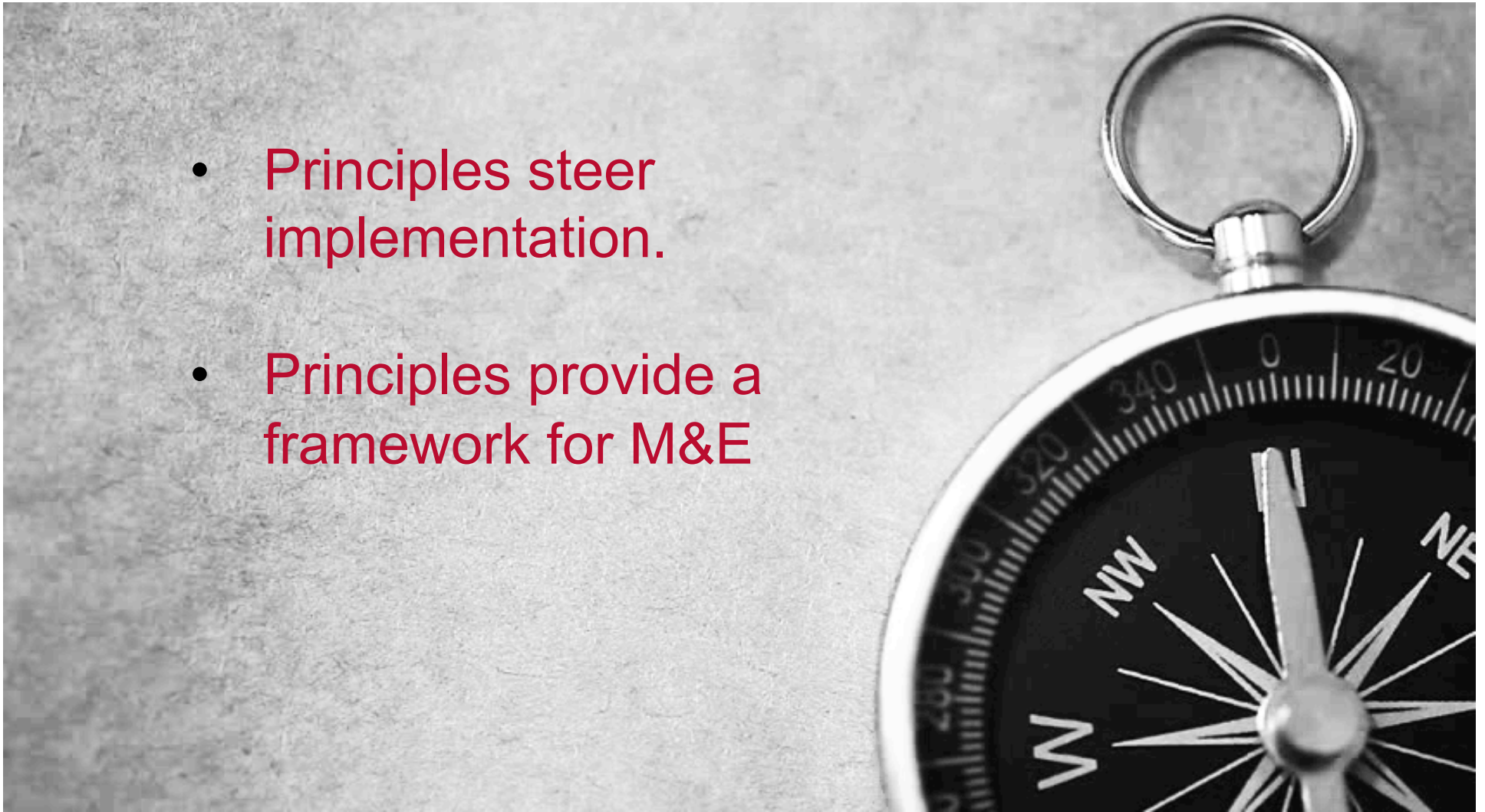
- Principles provide **context-sensitive guidance** about what to do or not do.
- Principles provide **actionable direction** (in contrast to values and beliefs).
- Principles are **adapted** to each setting (in contrast to rules).
- **Principle**: Exercise regularly at a level that supports health and is sustainable given your condition, life style, age, and capacity.
- **Belief/Value**: Exercise contributes to good health. Good health is important.
- **Rule**: Do 30 minutes of aerobic exercise each day.

# When to use principles?



## Two cases describe how ...

- Principles steer implementation.
- Principles provide a framework for M&E





# Government-wide policy monitoring system

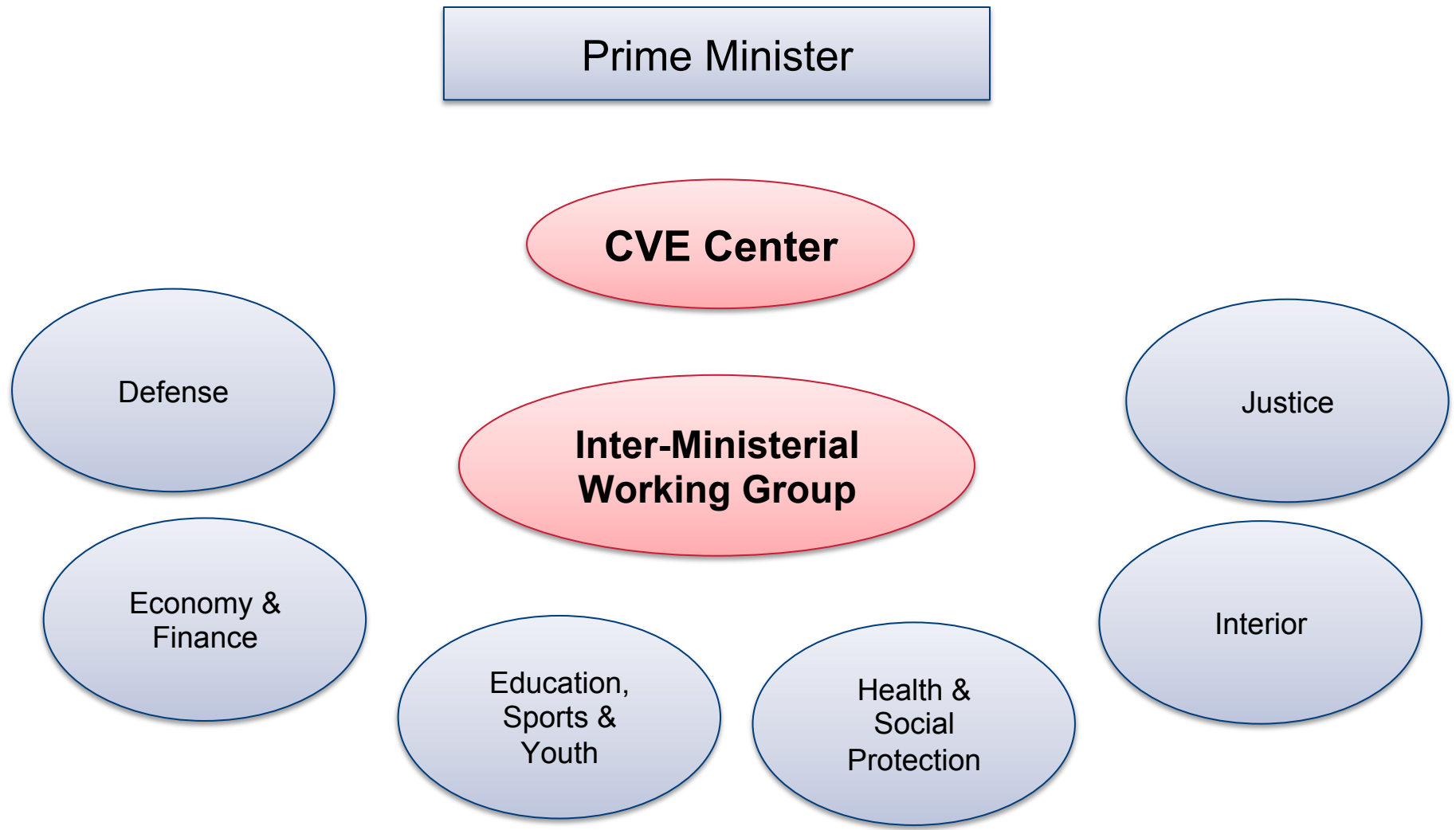
## Heather Britt

- National countering violent extremism (CVE) policy adopted in 2015
- Prime Minister accountable to parliament for policy implementation
- Government eager to demonstrate commitment to international community

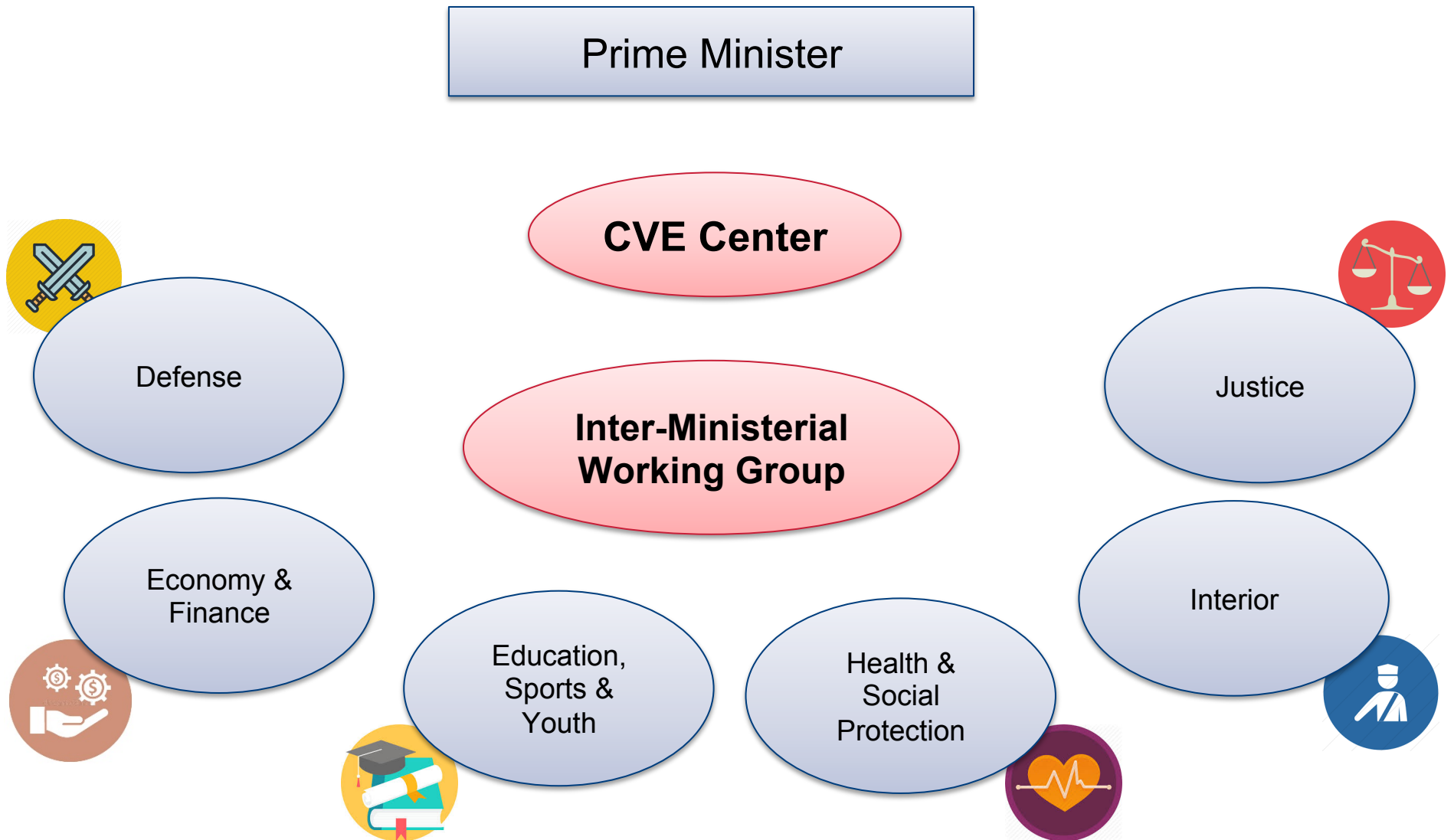


FOOTER GOES HERE

# Government-wide policy monitoring system



# Policy implementation varies across Ministries





# Policy implementation in evolving context

- International violent extremism space is evolving
- Dynamic national political situation



## Principles: context-specific guidance

Belief/Value	Principle	Rule
Repatriation of foreign fighters is important for stability.	Update the CVE action plan to address repatriation as appropriate for each Ministry.	Address repatriation as the top priority in each Ministry.
Updated information is important for decision making.	Establish a mechanism to identify new and emerging CVE issues through situational analysis as appropriate to each Ministry.	Conduct a risk assessment at every level of government every 6 months.

## Why principles? Alignment and Adaptation

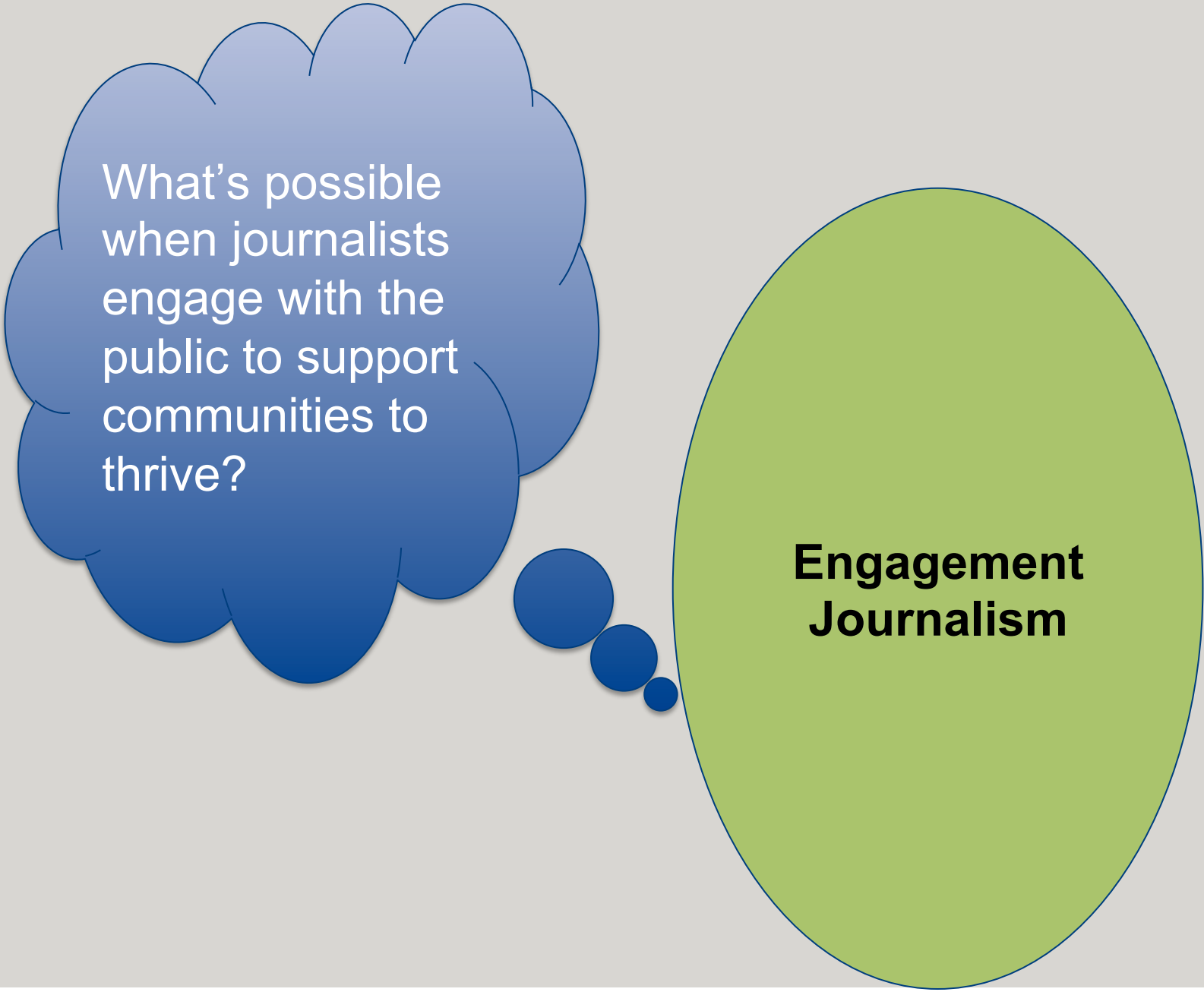
- Principles allow monitoring system to both align with policy and adapt:
  - Across ministries
  - Across time to reflect changes in the national and international political situation



# P-FE with Informal Networks: The Coherence-Autonomy Tension

**Yve Susskind**





What's possible  
when journalists  
engage with the  
public to support  
communities to  
thrive?

**Engagement  
Journalism**



**Community of  
Practice**

**Framework of  
Principles for Civic  
Communications**

**Engagement  
Journalism**



## Developmental eval phase

Explicit

Written

Used for guiding PROCESS &  
CULTURE

- Involving the steering committee
- Platform and activity design

And CONTENT

- Of the platform
- The kind of engagement the COP exists to foster

Communicated in memos, work meetings and reporting

Refined and adapted

Developmental eval phase	Implementation phase (no eval)
Explicit	Implicit, not clear they exist
Written	Came out in conversation when pressed
Used for guiding PROCESS & CULTURE <ul style="list-style-type: none"> <li>● Involving the steering committee</li> <li>● Platform and activity design</li> </ul>	Focus on PROCESS & CULTURE But unclear how used who uses if there is accountability to them
And CONTENT <ul style="list-style-type: none"> <li>● Of the platform</li> <li>● The kind of engagement the COP exists to foster</li> </ul>	NOT focused on CONTENT <ul style="list-style-type: none"> <li>● Emergence and inclusiveness over coherence, usability, transparency, self-determination</li> </ul>
Communicated in memos, work meetings and reporting	Instead, an active inner circle guides and coaches
Refined and adapted	No longer actively tending principles



## Let's talk about how ...

- Principles steer implementation.
- Principles provide a framework for M&E



# Discussion

1. What is the difference between principles and values for decision making?
2. What conditions are necessary for principles to be effective?
3. How does the organizational or governance structure of the situation affect the use of principles?



# Principles balance alignment with adaptation

## Alignment

- Partners jointly develop shared principles.
- Partners align program with principles.
- Principles guide decision making -- design, delivery and learning.

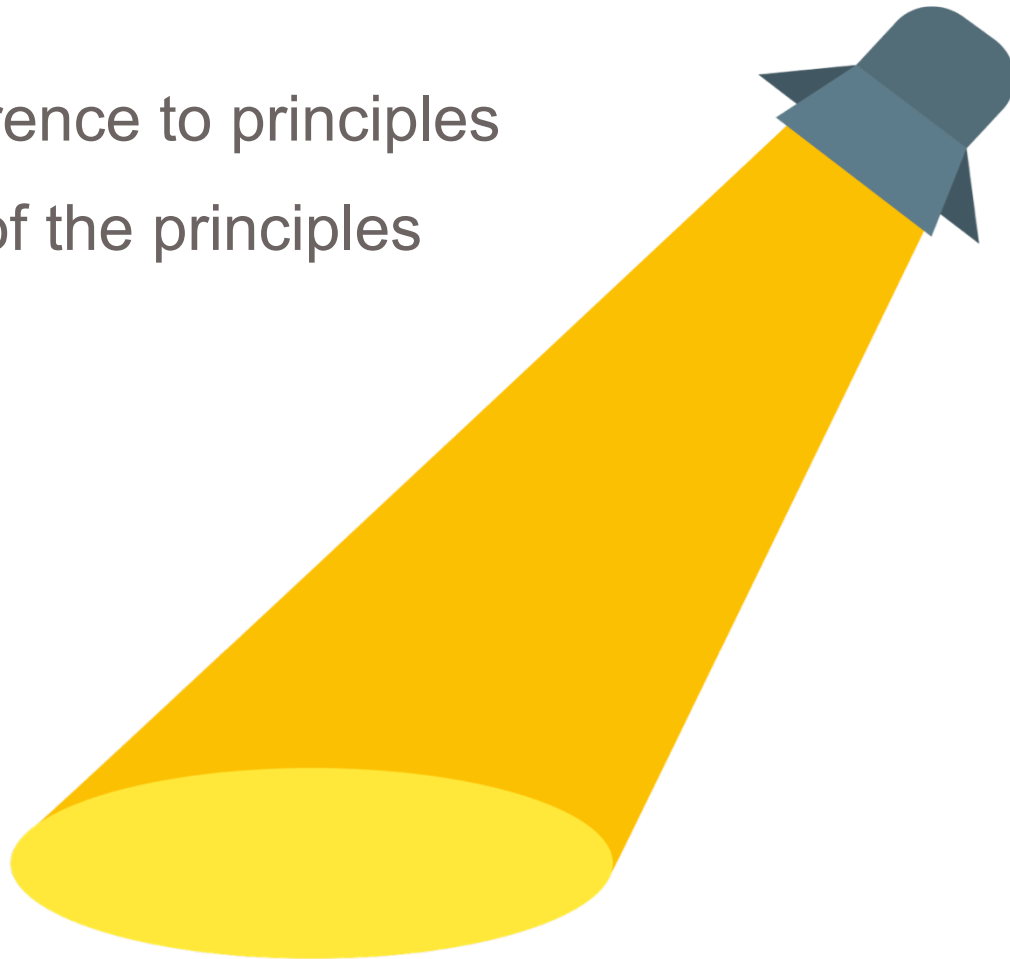


## Adaptation

- Principles allow adaptation across sites and partners
- Principles prepare partners to adapt across time as program evolves

## Monitor and evaluate

- Principles-focused M&E keeps a spotlight on the principles
- Program adherence to principles
- Effectiveness of the principles



## Discussant Michael Quinn Patton

### The verb is where the evaluation lives

- The verb is what makes the principle actionable.
- The verb tells you what to measure.



# Thank you



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## The GUIDE Framework

### What makes a principle effective?

The GUIDE framework outlines five criteria for a high-quality principle: 1) guiding, 2) useful, 3) inspiring, 4) developmental, and 5) evaluable.<sup>1</sup>

Criterion	Definition
<b>Guiding</b>	A 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: <i>Do this...to be effective</i> . The guidance is sufficiently distinct that it can be distinguished from contrary or alternative guidance.
<b>Useful</b>	A high-quality principle is useful in making choices and decisions. Its utility resides in being actionable, interpretable, feasible, and pointing the way toward desired results for any relevant situation.
<b>Inspirational</b>	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.
<b>Developmental</b>	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.
<b>Evaluable</b>	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. It is possible to determine whether following the principle takes you where you want to go.

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<sup>1</sup> Patton, M. Q. (2018). *Principles-Focused Evaluation: The GUIDE*. New York: Guilford Press.