Empowerment Evaluation: A Tool for Program Improvement and Sustainability

The Engine

EE? MIND THE GAP
Definition Theory Concepts Steps
What is Empowerment Evaluation?

Use of evaluation concepts, techniques, & findings to foster improvement & self-determination

Expanded definition
An evaluation approach that aims to increase the probability of achieving program success by
(1) providing program stakeholders with tools for assessing the planning, implementation, & self-evaluation of their program, &
(2) mainstreaming evaluation as part of the planning & management of the program/organization.

Underlying Theories of Empowerment Evaluation

Theory Number One

PROCESS USE: the more that people engage in the act of conducting their own evaluations the more likely it is that they will find the results credible and act on the recommendations

Knowledge Utilization
Aligning Theories of Action and Use

Theories Number Two and Three

theory of action
theory of use
espoused
observed behavior

Key Empowerment Evaluation Concepts

Reflective Practitioners
Community of Learners
Cycles of Reflection & Action
Culture of Evidence
Critical Friend
Evidence

Contribute to the Development of Reflective Practitioners
Cultivate a Community of Learners
Establish Cycles of Reflection & Action
Develop a Culture of Evidence
Identify & Use a Critical Friend
Collect Evidence
Critical Friend

Critical Friend - believes in the type of program but still asks the critical questions to ensure an honest but constructive critique and self-assessment (including across grantees)

Empowerment Evaluation
3 Steps

1. Mission
2. Taking Stock
3. Planning for the Future
Mission

1. Democratic
2. Transparent
3. Group Values
4. Honor existing mission but go where the energy is in the room
5. Giving Voice and Making Meaning

Taking Stock (Part I)

- List activities
- Prioritize (dots)

<table>
<thead>
<tr>
<th>Activities</th>
<th>Prioritization with Dots</th>
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</thead>
<tbody>
<tr>
<td>Communication</td>
<td>•</td>
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<tr>
<td>Teaching</td>
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<tr>
<td>Funding</td>
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Taking Stock (Part II)

- Rating 1 (low) – 10 (high)
- Dialogue

<table>
<thead>
<tr>
<th>Activities</th>
<th>DF</th>
<th>DE</th>
<th>SEC</th>
<th>AVG.</th>
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<td>Communic</td>
<td>3</td>
<td>6</td>
<td>3</td>
<td>4</td>
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<tr>
<td>Teaching</td>
<td>4</td>
<td>5</td>
<td>9</td>
<td>6</td>
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<tr>
<td>Funding</td>
<td>5</td>
<td>2</td>
<td>1</td>
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<tr>
<td>Prod Dev</td>
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<td>4</td>
<td>4.33</td>
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<tr>
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<td>5.25</td>
<td>4.25</td>
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Planning for the Future

- Goals
- Strategies
- Evidence
**Baseline, Intervention, Institutionalization**

<table>
<thead>
<tr>
<th>Taking Stock</th>
<th>=</th>
<th>Baseline</th>
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<tbody>
<tr>
<td>Plans for the Future</td>
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<td>Intervention</td>
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<tr>
<td>Interim Measures</td>
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<td>Benchmarks</td>
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<tr>
<td>Reflection &amp; Action</td>
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<td>Midcourse Corrections</td>
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<tr>
<td>2nd Taking Stock</td>
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**Institutionalization**

**Empowerment Evaluation**

<table>
<thead>
<tr>
<th>1. Improvement</th>
<th>6. Community Knowledge</th>
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<tbody>
<tr>
<td>2. Community Ownership</td>
<td>7. Evidence-based Strategies</td>
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<tr>
<td>3. Inclusion</td>
<td>8. Capacity Building</td>
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<tr>
<td>4. Democratic Participation</td>
<td>9. Organizational Learning</td>
</tr>
<tr>
<td>5. Social Justice</td>
<td>10. Accountability</td>
</tr>
</tbody>
</table>
Underage Drinking

Webcast: Getting to Outcomes in Underage Drinking Prevention

http://www.rand.org/blog/2012/05/webcast-getting-to-outcomes-in-underage-drinking-prevention.html
Underage Drinking

Preventing Underage Drinking
Using Getting To Outcomes™ with the SAMHSA Strategic Prevention Framework to Achieve Results
by Pamela Imm, Matthew Chinman, Abraham Wandersman, David Rosenbloom, Sarah Guckenburg, Roberta Leis
Related Topics: Adolescents, Children and Families, Communities, Public Safety, Substance Use, Underage Substance Use

http://www.rand.org/pubs/technical_reports/TR403.html

Highlights

- Underage drinking is a significant problem in the United States: Alcohol is the primary contributor to the leading causes of death among adolescents. As a result, community wide strategies to prevent underage drinking are more important than ever. Such strategies depend on the involvement and education of adolescents, parents, law enforcement officials, merchants, and other stakeholders.
Highlights (continued)

- This guide is designed to take communities through the process of planning, implementing, and evaluating strategies to prevent underage drinking and youth access to alcohol. The guide is structured according to the Substance Abuse and Mental Health Services Administration’s (SAMHSA’s) Strategic Prevention Framework, a five-step prevention approach.

Grantee Evaluation Dashboard

- **Goals** (where grantee wants to go at the end of the year or end of 5 years)
- **Milestones** or **Benchmarks** (points along the way each year)
- **Actual Performance** (where grantee is now - today)
- **Baseline** (where grantee started)
Law Enforcement Conducts Compliance Checks Evaluation

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<th>Qtr 2</th>
<th>Qtr 3</th>
<th>Qtr 4</th>
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<tr>
<td>Baseline</td>
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Age Compliance Checks

- **Milestones - Compliance Checks**
- **Actual - Compliance Checks**

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<thead>
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<tr>
<td>Goal</td>
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<td>200</td>
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</tr>
</tbody>
</table>
Selected Empowerment Evaluation References


Selected Empowerment Evaluation Substance Abuse References

- Preventing Underage Drinking Using Getting To Outcomes™ with the SAMHSA Strategic Prevention Framework to Achieve Results by Pamela Imm, Matthew Chinman, Abraham Wandersman, David Rosenbloom, Sarah Guckenburg, Roberta Leis

- Webcast: Getting to Outcomes in Underage Drinking Prevention [link](http://www.rand.org/blog/2012/05/webcast-getting-to-outcomes-in-underage-drinking-prevention.html)

- Getting To Outcomes™ 2004: Promoting Accountability Through Methods and Tools for Planning, Implementation, and Evaluation — 2004 by Matthew Chinman, Pamela Imm, Abraham Wandersman


Evaluation Capacity Building: Empowerment References

[Cover images of books on empowerment evaluation]
Radio Interviews: New Frontiers
Dr. David M. Fetterman is the President and CEO of Fetterman & Associates, an international evaluation consulting firm. He is also a Professor of Business at the University of Charleston and Director of the Arkansas Evaluation Center. He is concurrently, a Collaborating Professor, Colegio de Postgraduados, Mexico, a Distinguished Visiting Professor of Anthropology at San Jose State University, and a Professor in the School of Education at the University of Arkansas. Formerly, he was the Director of Evaluation in the School of Medicine at Stanford University. Previous to that position, he was the Director of Evaluation, Career Development, and Alumni Relations in the School of Education at Stanford University. For a decade he was the Director of the MA Policy Analysis and Evaluation Program in the School of Education. He was a Professor and Research Director at the California Institute of Integral Studies; Principal Research Scientist at the American Institutes for Research; and a Senior Associate and Project Director at RMC Research Corporation. He received his Ph.D. from Stanford University in educational and medical anthropology. He has conducted fieldwork in both Israel (including living on a kibbutz) and the United States (primarily in inner-cities across the country). David works in the fields of educational evaluation, ethnography, policy analysis, educational technology, and focuses on programs for dropouts and gifted and talented education.

David is a past-president of the American Evaluation Association and the American Anthropological Association’s Council on Anthropology and Education. He has also served as the program chair for each of these organizations.

(continued)
He has conducted extensive multisite evaluation research on local, state, and national levels. David’s multisite work has been primarily in urban settings. He conducted a national evaluation of dropout programs for the Department of Education. He has also conducted research on migrant, bilingual, and individuals with disabilities-oriented education programs. David has conducted evaluations for the University of San Francisco, the University of California, Berkeley, and provided Stanford’s Board of Trustees with a variety of evaluations including: Stanford’s Linear Accelerator Center, Stanford University Hospital departments, School of Medicine, the library, and various academic and administrative departments. The President of the University also requested an evaluation of Stanford’s Teacher Education Program.

David has taught in an inner-city high school, two Hebrew schools, and in numerous universities. He served as the Director of an Anti-poverty Program. Although he is recognized for his contributions to the development of ethnography and ethnographic evaluation, his most recent efforts have focused on developing empowerment evaluation -- to help people help themselves. He has used this approach throughout the United States, in South Africa and 16 other countries. Empowerment evaluations have been conducted with the Marin Community Foundation’s coordinated health access project, Hewlett Foundation’s $5 million One East Palo Alto community revitalization project, The Illinois Office of Alcoholism and Substance Abuse, the Office of Mental Health of the Illinois Department of Human Services, Lucille Packard’s Children’s Hospital, Native American tribal group initiatives, including the Intertribal Council of Michigan, Cambridge College, the California Institute of Integral Studies accreditation, the $15 million Hewlett Packard Philanthropy Digital Villages, and the W.K. Kellogg Foundation.

David was elected a fellow of the American Anthropological Association and the Society for Applied Anthropology. He received both the Paul Lazarsfeld Award for Outstanding Contributions to Evaluation Theory and the Myrdal Award for Cumulative Contributions to Evaluation Practice - the American Evaluation Association’s highest honors. David also received AERA’s Research in Evaluation Distinguished Scholar Award and the Outstanding Higher Education Professional Award. He received the George and Louise Spindler Award for outstanding contributions to educational anthropology as a scholar and practitioner, and the Ethnographic Evaluation Award from the Council on Anthropology and Education.

He received the President’s Award from the Evaluation Research Society for contributions to ethnographic educational evaluation. He was awarded the Washington Association of Practicing Anthropologists’ Praxis Publication Award for translating knowledge into action.

David has also worked on the state, national, and international level in the field of gifted and talented education. He created and organized the first and second Gifted and Talented Education Conference at Stanford University. David received one of the 1990 Mensa Education and Research Foundation Awards for Excellence. Mensa Education and Research Foundation Awards for Excellence. Mensa Education and Research Foundation encourages research into the nature, characteristics, and uses of intelligence. The award was made for Fetterman’s book *Excellence and Equality: A Qualitatively Different Perspective on Gifted and Talented Education* and articles on gifted and talented education in *Educational Evaluation and Policy Analysis* and *Gifted Education International*.

Fetterman was appointed by the U.S. Department of Education to serve on a panel to select a national center for the gifted and talented. He was selected in part because of his recommendation to create a national center in his book *Excellence and Equality*. Fetterman was a member of the Center’s Consultant Bank, advising the National Research Center on the Gifted and Talented. Fetterman was also a member of the Board of Trustees for The Nueva School (a progressive school for gifted and talented children).
David has taught online for over 18 years in an online Ph.D. program and in classrooms at Stanford University, complementing face-to-face instruction. He writes about teaching online and videoconferencing on the Internet in journals ranging from, *Educational Researcher* to *Practicing Anthropology*. He maintains an American Evaluation Association division listserv for Collaborative, Participatory, and Empowerment Evaluation. David was appointed to the American Educational Research Association's Telecommunications Committee, advising the association in this area.

He has consulted for a variety of federal agencies, foundations, corporations, and academic institutions, including the: U.S. Department of Education, National Institute of Mental Health, Centers for Disease Control, U.S. Department of Agriculture, Google, W.K. Kellogg Foundation, Rockefeller Foundation, Walter S. Johnson Foundation, Annie E. Casey Foundation, Marin Community Foundation, Hewlett Foundation, Hewlett Packard Philanthropy, Knight Foundation, Arkansas Department of Education, Syntex, the Independent Development Trust in South Africa, Early Childhood Research Institute on Full Inclusion, and universities throughout the United States and Europe. He has also consulted for various foreign agencies, such as the Ministry of Education in Japan and Ministry of Health in Ethiopia.