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Working Logic Parameter Types and Philosophical Assumptions of Selected Evaluation Approaches—A Descriptive Qualitative Analysis

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WORKING LOGIC PARAMETER TYPES AND PHILOSOPHICAL ASSUMPTIONS OF
SELECTED EVALUATION APPROACHES—A DESCRIPTIVE
QUALITATIVE ANALYSIS

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The purpose of the study is to enhance the selection and use of selected contemporary evaluation

approaches through the development of a descriptive profile that combines the parameters of

their working logics and their philosophical assumptions. The profile provides a unique structure

to understand, identify, select, and apply evaluation approaches. I catalogued 86 evaluation

approaches described in 13 sources that discuss multiple evaluation approaches and applied

citation analysis to identify the most used or most quickly growing approaches. For 11 of the

commonly used evaluation approaches, I identified the seven features of the feature profiles

through a qualitative content analysis of primary source documents and member-check

interviews with individuals who are the authors of highly referenced published scholarly articles

and books about the approaches. I identified the features of 11 contemporary evaluation

approaches that describe the approaches as unique in terms of the combination of the

phenomenon, problem, question, and claim types of their working logics and of the terms of their

ontological, epistemological, and axiological assumptions. I developed an extended list of

parameter types and philosophical assumptions and documented challenges to and solutions for

identifying those features of evaluation approaches. The study concludes that evaluation

approaches have working logics that can be and have been described by their phenomena,

problem, question, and claim types. Their ontological, epistemological, and axiological assumption can be and have been described. The combination of those seven features creates unique views of the approaches. Their philosophical assumptions are not uniquely reflected in the parameters of the working assumptions. The results are limited to the extent that any qualitative research is limited by the researcher's perspective. There were two contemporary evaluation approaches not included in the study.

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OF SELECTED EVALUATION APPROACHES—A DESCRIPTIVE
QUALITATIVE ANALYSIS

by

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CHAPTER I

STATEMENT OF PROBLEM

Program evaluation approaches provide insights into how to conduct evaluations on

programs. Evaluations produce claims by following logical processes. According to Fournier

(1995), the logics that evaluation approaches apply are working logics which are variations in

how the general logic of evaluation is applied. (It's worth noting that not everyone agrees that

evaluations follow the general logic of evaluation and I'll address this in the review of literature).

Fournier (1995) describes the general logic of evaluation as composed of four parts:

1. *Establishing criteria of merit*. On what dimensions must the evaluand do well?
2. *Constructing standards*. How well should the evaluand perform?
3. *Measuring performance and comparing with standards. How* well did the evaluand perform?
4. *Synthesizing and integrating data into a judgment of merit or worth*. What is the merit or worth of the evaluand? (p. 16, author's italics)

The working logic of an approach can be identified through four parameter types: 1) the

phenomena type (or evaluand and its characteristics and context), 2) the problem type, 3) the

question type, and 4) the claim type (Fournier, 1995). Identification of the parameter types is an

essential way to understand and apply approaches.

> These parameters of working logic set the foundation for building an argument
> that works to establish and support conclusions (that is, reasoning is directed
> toward this particular set of parameters). Each evaluation approach has its own set
> of values for these parameters. Every theorist advances not only a particular
> approach but also a particular set of parameters—a certain way to establish
> evaluative conclusions. And because evaluation practice varies widely along these
> four parameters, evaluation practice can be viewed as consisting of a profusion of
> individual working logics. (Fournier, 1995, p. 19)

Evaluations are also based on ontological, epistemological, and axiological assumptions. These assumptions are core components of research paradigms (Lincoln et al., 2018) and have been examined specifically related to evaluation approaches (Alkin, 2013). Philosophical assumptions are seen as having significant influences on how evaluations are done.

The combination of working logics and philosophical assumptions has not been previously studied but could provide a more comprehensive view of evaluation approaches and could enable better understanding of and application of the approaches.

This study provides insights into contemporary program evaluation approaches by examining how select program evaluation approaches reflect (or do not directly reflect) the parameters of their working logics and their philosophical assumptions. The following section expands on what the problem is and why resolving it is important.

Background of the Problem

The literature is clear that practicing evaluators do not always consciously select a specific evaluation approach from many evaluation approaches. Instead, they may design and execute evaluations either in ways they are familiar with or in ways they are commissioned to do, either of which may or more not be aligned with a particular evaluation context (Azzam, 2011; Datta, 2003; Hansen, 2005; Kundin, 2010; Patel, 2021). Practicing evaluators may modify their initial plans based on feedback from powerful stakeholders (Azzam, 2010). Alkin et al. (2021) (who use the term "theory" to name prescriptions of how to conduct evaluations) note that "not all theories are applicable to the wide variety of contexts in which practitioners conduct their evaluations" (p. 52).

Mis-selecting or modifying an approach to an evaluation may weaken an evaluation. A lack of alignment of an evaluation approach to its context could drive incorrect process and

produce incorrect evaluative claims. For example, different subgroups exposed to a program may have different motivations or experiences with an intervention and, therefore, may experience different outcomes. A simple goal-achievement evaluation that does not consider subgroups might not show different results for subgroups, but an approach that is responsive to the existence and perspectives of subgroups may give nuanced value claims that reflect outcomes valued by different subgroups. A lack of alignment in approach to evaluation context based on mis-selection or stakeholder driven modification of an evaluation approach may also reduce the credibility or validity or relevance of the evaluation (Azzam, 2010; Azzam, 2011).

Many evaluation approaches have been developed to match up to contexts. "Evaluators have sought to define the practice by developing approaches … that match the needs of their context" (Gullickson, et al., 2019, p. 21). The context includes but is not limited to the expectations (and the philosophical assumptions underneath those expectations) of those for and with whom they do evaluations. Evaluators need to and can learn about different approaches that could be applied and that are appropriate to the evaluative situation. The organizing structure in this study is one way to structure the process to examine and decide on a given approach by considering the philosophical assumptions of the approach and of the expectations of the individuals in the evaluation context.

Practitioners gain their knowledge of evaluation approaches in a variety of settings. Some learn only the approaches promoted by the organizations they work with, for example the recent focus on "evidence-based decision-making" promotes an approach guided by what types of evaluation approaches are seen as legitimate by some organizations. However, knowledge of the many evaluation approaches can also be gained from evaluation organizations through their conventions and journals (such as the American Evaluation Association (AEA)) or through

courses in evaluation delivered by universities around the world. One challenge facing a student is having a clear picture of what parameters limit the approaches. In turn, the philosophical backgrounds of the approaches might help the student to understand why and how those parameters might or might not align with the context within which they are evaluating. This study aims to provide a tool that could help develop that picture.

There is a significant body of literature on evaluation which provides guidance on how an approach might be used in any given situation. This literature is rife with organizing structures, for examples the alignment of the approach to a paradigm (Mertens & Wilson, 2019) or the "evaluation tree" (Alkin, 2013). What is missing in the existing structures is one that combines the very useful working logic (Fournier, 1993) of evaluation in practice with the philosophical underpinnings of the approach(es). The current study aims to introduce a new feature profile to better comprehend selected contemporary evaluation approaches. The feature profile combines two previously separate ways of describing and categorizing approaches, (1) the evaluation working logic (Fournier, 1993) applied by the approach and (2) the ontological, epistemological, and axiological ideologies and orientations (Mertens & Wilson, 2019) that inform the working logic of the approach. The combination and interaction of those two organizing structures may add clarity and understanding by combining how they differ with why they differ if the assumptions can be seen as informing the parameters.

Each working logic parameter is reflected somewhat differently in each evaluation approach. For instance, a problem type may be described by someone apply the feminist evaluation approach in a different way than the same problem may be described by application of empowerment evaluation approach because the empowerment approach would focus on any unempowered group while the feminist approach would focus on misogynist social influences.

Making these differences transparent could be a major contribution of this study.

In turn, the ways the parameters or problems may reflect differences in the approaches' philosophical assumptions, which can be described through their ontology, epistemology, and axiology. Making transparent the various approach's philosophical ideologies and orientations provides a way to cross-assign approaches with working logics. Describing approaches by their philosophical underpinnings and working logic provides a more nuanced understanding of the approach.

Problem

The problem is that there is no organizing framework that combines the philosophical assumptions of with the approach's working logic, so the assumptions and parameters are treated as separate and unrelated. One reason the parameters of the working assumptions is not combined with logical assumptions to select and apply approaches is that evaluators aren't widely taught to think or talk about them. You can't combine them in your considerations of approaches if you're not familiar with them.

Combining the assumptions with the working logic provides a more complete description of evaluation approaches which allows better selection and application of approaches. The parameters are elements of the explanation that have to fit together logically in a way that makes sense to someone so that they are likely to use the results because they understand and agree with the logic. They need to be combined with the philosophical assumptions because assumptions provide the foundations of the parameters and fill in the logical structure based with expectations on the character of the thing being evaluated, how you can best get the information needed to evaluate, and the values that are appropriate based on the perspectives of the evaluator and those of the stakeholders, requesters, reviewers, and/or targets of the evaluation. The parameters don't

give you that; the parameters meet the logical requirements. The combination of the parameters with the assumptions enables practicing evaluators to select and conduct evaluations that make sense and meet the evaluative context.

Study Objective

My objective for the study is to describe evaluation approaches using a "feature profile." The feature profile is composed of Fournier's (1995) four parameters of working logics and the ontological, epistemological, and axiological philosophical assumptions and to describe how those parameters reflect and those assumptions.

Questions Investigated

The primary research question investigated in the current study is:

1. What are the similarities and differences between contemporary program evaluation approaches as described by Fournier's (1995) four parameters of their working logic and their philosophical ontological, epistemological, and axiological assumptions?

In order to answer this primary question, I developed three secondary questions to provide greater insight:

1a. What are the characteristics of contemporary program evaluation approaches as described by Fournier's (1995) four parameters of the working logic of evaluation?

1b. What are the philosophical ontological, epistemological, and axiological assumptions of contemporary program evaluation approaches?

1c. In what ways do Fournier's (1995) four parameters of the working logic of evaluation reflect philosophical ontological, epistemological, and axiological assumptions of contemporary program evaluation approaches?

Significance of the Study

Re-examining the Fournier Parameters of Working Logics

The parameters of working logics were proposed and investigated by Fournier (1993, 1995) as a significant concept in demonstrating how the general logic of evaluation is applied and is uniquely applied in different evaluation approaches. The working logics are fundamental to understanding how evaluative claims are reached. In this study, I extend the investigation into additional contemporary evaluation approaches and attempt to replicate the findings that the parameters can be identified evaluation approaches and that the approaches have distinct sets of. I also investigate whether evaluation approaches apply the general logic of evaluation by including the parameters of working logics.

I include the investigation of philosophical assumptions behind evaluation approaches as features that might influence the parameters of working logics. Philosophical assumptions have been discussed in published literature, but I extend and strengthen the discussion by identifying philosophical assumptions of a broader and more contemporary list of approaches than that covered in other scholarly published literature discussed in chapter II and I base the feature identification on analyses of primary source documents and through member check interviews with key representatives of the approaches.

The feature profile I develop in the current study describes evaluation approaches using Fournier's four parameters of working logics and their underlying philosophical assumptions and will to help to identify, understand, distinguish between, select, apply, and critique evaluation approaches. Hansen et al. (2013) described a similar rationale (in which they in turn reference Shadish, 1998) behind their study of evaluation approaches:

The work presented in this paper is motivated by a desire to understand the similarities and differences between various evaluation approaches or theories. As previously argued by Shadish (1998), we believe that such an understanding has value for practitioners, theorists, and those who study evaluation. Our basic premise is that visual depictions of such approaches may help to clarify their most important features, in the same way that logic models are frequently used to explicate program theories. Once the salient features are identified, it becomes more evident what particular combination of evaluator and stakeholder activities constitutes the approach. In addition, an underlying logic is revealed, including an explanation of the ways in which those activities might relate to particular effects or consequences. This may help practitioners who, for example, desire to follow a particular theorist's prescriptions. (p. 34)

The following section describes how the significance of this study depends on teaching and learning the feature profile I use in the current study.

Teaching and Learning Evaluation Approaches

Evaluators select evaluation approaches either actively or reflexively based on what they know based on their training, experience, and assumptions (Alkin, 2013, Kundin, 2010). With training and experience, it is possible that those assumptions may change, grow, or broaden:

This raises the question as to whether key assumptions can change and/or whether multiple philosophical assumptions can be used in a given study. My stance is that assumptions can change over time and over a career, and they often do, especially after a scholar leaves the enclave of his or her discipline and begins to work in more of a trans- or multidisciplinary way. (Creswell, 2012, p. 19)

This has been my experience as I moved through graduate schools and careers in academia and industry. This study provides insights that can be taught and learned about evaluation approaches.

Evaluator education is the education of a practicing evaluator (Gullickson et al., 2019). The focus on evaluator education began as early as the late 1970's in Anderson and Ball's (1978) book on the profession and practice of evaluation along with Cronbach et al.'s (1980) book section on "Educating Evaluators" (pp. 340-352) and Brown's (1980) article on training

evaluators. The International Society for Evaluation Education (ISEE) was formed in 2018. Gullickson et al. (2019) reviewed the state of evaluator education and King and Ayoo (2020) conducted a review of the literature on evaluator education. Between 1980 and 2021, a total of 39 journal articles and books focusing on evaluator education were published, with 28 of them emerging in the years 2020 and 2021. Pedagogical models for teaching or learning evaluation were discussed by Trevisan (2004) and continued up through LaVelle and Davies (2021) and Poth and Searle (2021).

None of those documents explicitly discussed teaching or learning about the combination of the philosophical assumptions of an evaluation approach and the parameters of the informal logic of the evaluation approach contained in the feature profile I apply in the current study. Ozeki et al. (2019) confirmed the absence of learning about working logics:

> Relatedly, working knowledge of the logic of evaluation is likely not required as part of most formal evaluation education, training, and preparation (Christie, Quiñones, & Fierro, 2014; Davies & MacKay, 2014; LaVelle, 2011, 2014,2018; LaVelle & Donaldson, 2010, 2015). (Ozeki et al., 2019, p. 2)

However, philosophical assumptions and evaluation logic are covered as separate topics in evaluation textbooks and in existing or recommended curricula.

One possible model for a graduate level course on the teaching or learning the combination was taught by Chris Harnar in the IDPE program at Western Michigan University in Spring 2022. The course included an extended case study applying the combination to an evaluation proposal. The current study presents the foundational concepts for training or learning about the feature profile to support the following benefits.

The following section expands on each of the benefits of learning, knowing, and applying the feature profile.

Benefits of Learning, Knowing, and Applying the Feature Profile

Identifying Evaluation Approaches

Identifying the feature profile of an evaluation can assist in identifying the approach being proposed or applied.

Understanding Evaluation Approaches

Understanding an evaluation approach involves not only how it characterizes the phenomenon, problem, question, and evaluative claims, but also involves philosophical assumptions that underly those parameters. The epistemology of an approach informs how knowledge about the evaluand can be obtained. For example, a constructivist epistemology drives an approach's focus on how the problem is experienced by a person, in addition to external the measures of the results of the program. In the constructivist approach we might include interview results about whether someone felt a program was efficient in addition to observed time and cost analysis of the program. Connecting the philosophical assumptions to the parameters helps to make sense of the approach.

Distinguishing Between Evaluation Approaches

Evaluation approaches differ in how they characterize the phenomenon, problem, question, and evaluative claims, based in part on the philosophical assumptions that underly those parameters. These differences can be used to distinguish between evaluation approaches. For example, an approach may characterize the problem based on one axiology's source of value, while another approach could characterize based on another source of value.

Selecting Evaluation Approaches

The organizing structure provides insights into how evaluation approaches characterize the phenomenon, problem, question, and evaluative claims, and the philosophical assumptions that underly those parameters. These factors could be used to select an evaluation approach that aligns with the evaluation context. For example, the stakeholders of an evaluation may hold a particular philosophical view on epistemology that would eliminate some evaluation approaches not based on that philosophical view and the parameters that emerge from those assumptions.

Applying Evaluation Approaches

Applying an evaluation approach should be constrained by the parameters of the working logic as well as the philosophical assumptions of those parameters. The way the question is formed is based on the philosophical assumptions of the evaluation approach. Different questions require different processes used to answer the question. For example, answering the question "How valuable does the program feel to the participants?" requires a different process than answering "Did the program meet the objectives of the program managers?" The difference between these two questions could be based on different views on the source of the values (axiology).

Summary of the Benefits of the Study

In the ways explained above, knowledge of the parameters and underlying philosophical ideologies and orientations can support identifying and distinguishing between evaluation approaches for teachers and students of evaluation. Knowledge of the parameters and underlying philosophical ideologies and orientations can be useful to practitioners in the activity of selecting and applying an evaluation approach that aligns with the parameters and the philosophical

ideologies and orientations of the evaluation situation. In a situation where an evaluator is functioning in a consulting role, this knowledge might also be useful in interacting with stakeholders and commissioners of evaluation to generate a shared consensus on the approach (or combination of approaches) to be used in an evaluation. Ultimately, improved selection of appropriate approaches may potentially improve quality of evaluations as approaches selected and applied are better aligned with the evaluative situation and the philosophical assumptions behind the evaluative situations.

To understand more deeply how this study will address the problem of evaluation approaches being under-described, a large body of research must be covered. In the next chapter, that literature base is reviewed in detail.

CHAPTER II

REVIEW OF LITERATURE

Overview

This chapter reviews the scholarly literature related to the primary question researched in this study: What are the similarities and differences between contemporary program evaluation approaches as described by Fournier's (1995) four parameters of their working logic of evaluation and their philosophical assumptions? The review of literature describes what has been previously researched and learned about working logics and philosophical assumptions of evaluation approaches.

The Conceptual Structure of the Review of Literature

Answering a research question begins with definitions of key concepts and explanation of the relationships between concepts. The key concepts in this study include evaluation, program, approaches, logic, working logic, and philosophical assumptions.

Evaluation

Program evaluation approaches are different in the ways they describe, prescribe, and explain how program evaluations are done. To a certain extent, these differences may be reflective of different definitions of evaluation.

Definition differences can arise over time from different assumptions about the thing and experiences with the thing defined. A definition of a word is the use of other words to label a

thing (concept or object) in ways that characterize the thing and distinguish the thing from other things. Recognizing and examining different definitions of a term is critical to account for different ways of acting on or approaching the thing.

Multiple synonyms and definitions for evaluation are present in scholarly literature on evaluation. Patton (2000) cites Scriven as noting that "nearly sixty different terms are equivalent to evaluation in one context or another" (p. 7).

The idea of "process" is fundamental to how evaluation is approached. In his definition of evaluation, Suchman (1967) listed "*process* [emphasis added]—the definition of worth" as one of the four key dimensions (pp. 31-32). One widely referenced definition of evaluation is "the *process* [emphasis added] determining the merit, worth and value of things" (Scriven, 1991a, p. 1). This definition does not expand on what the process is, but rather what it produces (although as noted later in this chapter, Scriven does expand on the process). According to this definition, evaluations are the claims arrived at as a product of the evaluation process.

The idea of "process" implies a defined series of steps where some things are combined and/or modified in a specific way to generate a product whose characteristics are understood to be reflective of the things that are combined and the steps through which they are combined or modified. Exactly why the process works might not be known, so a process is descriptive and perhaps predictive, but not necessarily explanatory. If a process is followed, the product should be predictable or consistent across different instances of the process.

When we talk about process, we are asking (and sometimes answering) the question "How did and/or should we get to that product?" and are trying to explain and/or predict the outcome of the process. When we use the term "process of elimination," we are talking about the steps we go through starting with a list of options are arrive a shorter list. When we talk about a

manufacturing process, we are talking about starting with a list of raw materials such as steel and silica and putting them together to produce something such as an automobile. Similarly, the discussion of the evaluation process concerns what is put together how to arrive at an evaluative claim.

There may be multiple specific answers to the general question of "how do or should we get to a product?" Consider the axiom: "We can do this the easy way, or we can do this the hard way." The process we select might be based on different considerations including how good the product has to be, who does it have to be good for, how much time and resources do we have, and what are the moral, political, or social considerations we should take into account? Those considerations have led to a wide range of descriptions and prescriptions of the evaluation process. Detailed formalized descriptions of the process of evaluation have been described as theories, approaches, methods, and models. I discuss the detailed differences below after discussing definitions that give general insights into the evaluation process.

Formal and Informal Evaluation

Evaluative claims can be reached either formally or informally. Julnes (2012) refers to the informal process as "unassisted valuing" (p. 4):

> An example of unassisted valuing could be a common decision where we might prefer a meal that is cheap, tasty, healthy, and convenient. Typically, none of the available options is the best on all four of these criteria, meaning there are pros and cons for each alternative, but we, nonetheless, manage without formal methods to choose what we deem is best. This natural, everyday valuation can be complex but is generally nonproblematic because the consequences of nonoptimal decisions are minor (Henry & Julnes, 1998). (p. 4)

Unassisted valuing might be selected when (a) the outcome of the decision is so insignificant that any other process is considered to be a waste of effort, (b) there is no viable way available, perhaps because of constraints on time and resources, to identify which

alternative should be selected, or (c) the intent is to avoid bias, e.g., random selection of a sample.

Formal evaluation, which Julnes (2012) calls "assisted valuation" (p. 4), applies intentional logical processes. Suchman (1967) uses the term "evaluation research" as a term for the "scientific" process to distinguish it from "evaluation … the social process of making judgements of worth … basic to all types of behavior" (p. 7). Fournier (2005) provides a definition that expands on the evaluation process in the *Encyclopedia of Evaluation*:

> *Evaluation* [author's italics] is an applied inquiry process for collecting and synthesizing evidence that culminates in conclusions about the state of affairs, value, merit, worth, significance or quality of a program, budget, person, policy, proposal, or plan. Conclusions made in evaluations encompass both an empirical aspect (that something is the case) and a normative aspect (judgement about the value of something). It is the value feature that distinguishes evaluation from other types of inquiry, such as basic science research, clinical epidemiology, investigative journalism, or public polling. (pp. 139-140)

Good Evaluations

Gullickson (2020) suggests that a definition not only tells you what a thing is, but also tells you what a good instance of a thing is. To provide insights into what makes an evaluation a good evaluation, Gullickson (2020, p. 2) adds Stake's (1977) articulation of the two acts of evaluation as to "fully describe" and "fully judge."

> The addition of the "fully describe" act includes the logical requirement of knowing what makes a thing the thing so we know what a good (valuable) instance of the thing is. That said, evaluation involves three decisions "…deciding what makes something a something, deciding how to know that something is good, and then deciding how good a specific something is." (Gullickson, 2020, p. 3)

These three decisions are reflected in Fitzpatrick et al.'s (2011) definition of evaluation as "the identification, clarification, and application of defensible criteria to determine an evaluation object's value (worth or merit) in relation to those criteria" (p. 7)

The combination of Scriven's (1991a) definition with Fitzpatrick et al.'s (2011) definition

is the basis for Gullickson's definition (2020):

> Evaluation is the generation of a credible and systematic determination of merit,
> worth, and/or significance of an object through the application of defensible
> criteria and standards to demonstrably relevant empirical facts. (p. 4)

Gullickson's (2020) definition adds an emphasis on the adjectives that describe a good

evaluation using the terms "credible", "systematic", "defensible", and "demonstrably relevant"

(p. 4). The addition of these terms (themselves criteria for a good evaluation) constrains what can

be called a good evaluation but allows for different ways to define standards for those qualities.

Evaluation in Service to Another Process

Some definitions of evaluation accept these definitions of the process, but explicitly

expand to add a focus on the *purposes* of evaluations. This additional focus raises the question of

"why" evaluations are done and "for whom," going beyond "what" evaluation is, and influencing

"how" it should be done. Why do we care about the worth, merit, or significance of a thing and

who is it that cares? What should be the results of an evaluation beyond the making of an

evaluative claim? What can be done to go beyond reaching the evaluation claim to influence

whether the purposes are achieved? These questions reflect the context in which evaluation

occurs:

> Evaluation happens in all sectors of modern society, either formally or informally.
> Thus, we have a variety of definitions of what evaluation is, including: (i) applied
> research (Rossi, Lipsey, & Freeman, 2004); (ii) systematic determination of merit,
> worth, and significance (Patton, 2008; Scriven, 1991a); (iii) determination of what
> works for whom in what circumstances (Pawson & Tilley, 1997); (iv) the
> systematic investigation of quality for purposes of decision making (Yarbrough et
> al., 2010); and (v) sense-making towards the goal of social betterment (Mark,
> Henry, & Julnes, 2000). (Gullickson et al., 2019, p. 121)

Summary

Definitions of evaluations are central to the development and expansion of evaluation as a field of study or discipline over the last 85 years, founded on early work done by scholars including Tyler (1935), Campbell and Stanley (1963), Suchman (1967), and Scriven (1967). Since these beginnings, scholars have discussed and/or debated many important questions to frame the study and practice of evaluation. What is evaluation? Is evaluation a discipline at all? How is evaluation different from other disciplines? How is a "good" evaluation done?

Debates about these and related questions have influenced the development of many evaluation theories, models, approaches, and methods. Most of this development has been related to program evaluation.

Program Evaluation

Evaluations occur in nearly every discipline and across a wide array of fields (Coryn & Hattie, 2006). These include, but are not limited to "program evaluation, personnel evaluation, performance evaluation, product evaluation, proposal evaluation, and policy evaluation" (Scriven, 1994a, p. 148). The current study examines approaches to program evaluation, since, as Scriven (1994b) notes, there are only theories of program evaluation, even though some of the theories only name themselves as evaluation theories more generally. The evaluand in a program evaluation is a "program," a planned set of activities or events intended to lead to a desired outcome. Program evaluation is defined by Stufflebeam and Coryn (2014) as "assessments of any coordinated set of activities directed at achieving goals" (p. 110). This broad definition does not specify whose goals or what goals are being achieved, since different programs have different objectives. Types of programs evaluated include educational programs aimed at achieving immediate and/or long-term gains in knowledge and social programs aimed at

improving individual and social outcomes such as financial growth and health.

Some definitions of program evaluation more narrowly focus on these specific goals. Shadish, et al., (1991), focused their review of evaluation theories to a narrowed scope of evaluation of social programs that "aim to improve the welfare of individual, organizations, and society" (p. 19), while Worthen and Sanders (1987) and Popham (1993) focused even more narrowly on educational evaluation. Alkin's (2013) evaluation theory tree implicitly narrows the focus of evaluation when it includes "social accountability" (Christie & Alkin, 2013, p. 11) as one of the three roots serving as the assumptions for evaluation work. The American Evaluation Association's (2018) *Guiding Principles for Evaluators* further focus on specific social welfare values with the principle "Common Good and Equity: Evaluators strive to contribute to the common good and advancement of an equitable and just society" (p. 4). How to do program evaluation has been described in evaluation theories, models, and methods, and approaches. The following section discusses those terms and identifies the terms selected in this study.

Evaluation Theories versus Models versus Methods versus Approaches

There are at least four terms used, more or less interchangeably, to describe the process of evaluation: theory, model, methods, and approach. Evaluation theories, theorists, models, methods, and/or approaches have been examined by House (1980), Worthen and Sanders (1987), Shadish et al. (1991), Popham (1993), Preskill and Russ-Eft (2004), Owen (2004), Alkin (2013), Stufflebeam and Coryn (2014), and Mertens and Wilson (2019). These four terms, theory, method, model, and approach, describe the process of evaluation at some level of abstraction, starting from "theory" at a high level of how evaluation works. These theories can be translated into more operational levels on how to do evaluation. In some ways, then, it is difficult to distinguish them – the fact that is demonstrated by the various terms are interchangeable in

scholarly writing. I agree with the choice of the term "approach" as used by Fournier (1993):

> The many stances taken towards evaluation are loosely referred to as either "approaches," or "models", or "theories." These three terms have become synonymous for many authors, thus are used interchangeably in the literature and in practice. In this study, I only use the term "approaches." The term "approaches" refers to the work of a single or small group of theorists that describes or prescribes a particular perspective on evaluation. (p. 21)

This study used the term "approaches" and examined how selected approaches can be described using the parameters of informal logics of evaluation. Further, I use the term "approach" herein to also mean what others might call a theory or model. If an approach is aligned with or named as a theory, I included the approach in the study.

Logic

Evaluation is not only a process but is a form of a *logical* process. Logic is an inferential process of arguing from premises to a claim. One can move from premises to a claim without using logic, but the claim may or may not logically follow from the premise. "The aim of a logic is to make explicit the rules by which inferences may be drawn, rather than to study the actual reasoning processes that people use, which may or may not conform to those rules" (Blackburn, 2016b, p. 278). Logic involves a general pattern of reasoning that can be applied to individual cases.

Logic In Research

Evaluation is one form of scholarly research following a series of steps intended to lead to conclusions by providing the elements required to build the logical arguments required in that field of study. A field of study defines the accepted general pattern of reasoning for that field. "Logic, as any discipline, is especially concerned with identifying pervasive patterns in reasoning (describing etc.) that can be studied independently of specific applications, with the

intent of locating fallacies or formulating rules (of thumb) to follow in order to improve practice, or for their own sake" (Scriven, 1987, p. 8).

Logic in Evaluation

The logic of evaluation refers to "… the specific principles of reasoning that underlie the inference processes in all and only the fields of evaluation" (Scriven, 1995, p. 95). The logic of evaluation involves probative inferences used to argue from evidence to a probable or likely evaluative claim compared to formal logic which leads to either a valid or invalid conclusion through syllogistic reasoning.

Probative reasoning is required in evaluation because evaluations are not based on axioms, but on evidence that supports evaluative claims. Evidence is data or information applied to support or prove a specific part of a probative argument. Probative reasoning "is very common in evaluation work, as in all practical endeavors, up to and including life and death decisions, to use such conclusions when nothing stronger can be established, but clients need to go forward with some reassurance" (Scriven, 2005b, p. 327). The reasoning process through which you use evidence to decide how to value a school or a social program is an example of the probative character of the logic of evaluation.

While probative logic is essential to evaluation, it is not unique to evaluation, nor does it necessarily eliminate deductive reasoning as part of the process of evaluation:

> The basic logic of evaluative reasoning, from empirical and definitional or analytic data to evaluative conclusions, is ... not deduction and it is not statistical or quantitative probabilistic inference; although it uses all of these at times… Competence in performing it is essential in evaluation, but not one of the evaluation-specific tasks. (Scriven, 1996, p. 403)

The Structure of the General Logic of Evaluation

The current study examines working logics of evaluation, which are specific applications of the general logic of evaluation. Working logics can be understood based on the general logics they apply. The general logic of evaluation describes the unique process through which all evaluative claims are made. No other logics result in evaluative claims. Scriven (2007) simultaneously describes both the nature of a logic of evaluation and how it is core to evaluation practice:

> The logic of evaluation is concerned with (i) how, if at all, professional evaluation is possible; (ii) its nature and its location in the organization of knowledge, and (iii) the logical structure of its inferences. (p. 1)

An early form of a logic of evaluation appears in Welty's (1968) document with the same title. His discussion of evaluating systems includes the four steps later described by Fournier (1993, 1995) as Scriven's general logic of evaluation. The first three steps, criteria, standards, and measurement are necessary to evaluation of a product:

> In quality control of, say, ball-bearings, the steps would be, first, selection of variables (our input-output "pair") describing the materials, second, specification of parameters to provide criteria defining both the acceptable product and the acceptable functioning of the process, and then comparison of the product and process with the criteria. (Welty, 1968, p. 8)

The last part of Scriven's general logic is synthesis of the results into an evaluative claim Fournier (1993, 1995). In Welty's (1968) example of evaluating electrical engineers or electrical technicians, the final step is a combining the measurement of criteria into a claim of the person's qualifications:

> The job he does perform depends, in large part, upon the standards of the educational system of which he is the product. One set of standards or criteria, by specifying the level of abilities and competencies required for the job, defines an electrical engineer, while a second set of criteria defines the technician. When the individual can meet one of these sets of criteria, he can fill the specified job. (p. 3)

Scriven (1998) located the components of the logic of evaluation's essential place in an evaluation:

> The general outline of an evaluative investigation will normally involve determining some and often all of the following … (iv) *the criteria of merit* [emphasis added] (or worth or significance) … (vi) *the identification of standards* [emphasis added] ("cutting scores") … (vii) the *empirical or analytical determination of the achievements of the evaluand on each of these scales* [emphasis added] … (viii) the *integration (internal synthesis) of the achievements and weights into an overall conclusion about the merit* [emphasis added]. (pp. 64-65)

The four concepts that make up Scriven's general logic of evaluation appear in Shadish et al. (1991). Under the section on key terms and concepts in the chapter on Scriven, the term "The Logic of Valuing" is aligned to these concepts: "Four steps constructing a value statement: select criteria of merit, set standards of performance, measure performance, and synthesize results into a value statement" (Shadish et al., 1991, p. 73).

The general logic of evaluation introduced by Scriven (2007) is intended to be the description of how the evaluation inferential process *should* be followed. Fournier (1993) refers to Scriven's logic as a "general" of logic of evaluation because it is used in all types of evaluations:

> Scriven (1993) clearly refers to this logic of evaluation he has explicated as the general logic of evaluation. He contends that it is the only logic of evaluation. Likewise, when referring to Scriven's scholarship, House (1992) says that he "has provided the basic logic: 'X is good, bad, better than Y, etc., in the following way, according to these criteria along these dimensions, for these reasons.' This statement and its variations are the core logic of the discipline" (p. 2). (p. 109)

The general logic includes the necessary components of an evaluative argument. Fournier (1995) describes this logic as composed of four parts:

5. *Establishing criteria of merit*. On what dimensions must the evaluand do well?
6. *Constructing standards*. How well should the evaluand perform?
7. *Measuring performance and comparing with standards. How* well did the evaluand perform?

8. *Synthesizing and integrating data into a judgment of merit or worth*. What is the merit or worth of the evaluand? (p. 16, author's italics)

Fournier's (1993, 1995) translation of Scriven's logic of evaluation into a 4-part summary has been widely cited in the evaluation scholarly literature.

Establishing Criteria of Merit

The logical and structured process of determining the merit, worth, or significance of a thing requires identifying the characteristic(s) or dimension(s) of the thing that would distinguish it from a thing that has no, less, or more merit, worth, or significance. An evaluation does not need to explicitly compare a thing (the evaluand) to another thing using criteria, although they frequently do, especially in product evaluations. The characteristic(s) or dimension(s) are the criterion (criteria) identified for the evaluation.

> The analytic approach to valuing requires distinguishing and selecting the criteria, sometimes thought of as dimensions, on which the thing. the evaluand, is to be judged. For this there are two main sources of criteria, with one justification founded on prescriptive values, claims of what should be important based on tradition or authority, and the other on descriptive representation of the expressed values of stakeholders (Shadish, Cook, Leviton, 1991). (Julnes, 2012, pp. 6-7)

Establishing criteria is an intentional selective procedure—not all the dimensions or characteristics of the thing can realistically be or are selected as criteria. The procedure does not start with trying to create a list of all dimensions of the thing, but by asking about those criteria that are important in the context of the current evaluation. "In general, you will not get good results if you start by defining criteria for X itself and try to go from there to the criteria for 'good X'" (Scriven, 2005a, p. 57). Among the criteria established for evaluation of an educational program could be indicators such as grades for all students in all grades in all subjects or could include direct criterion such as cost per student. Who makes the selection and how they make the selection of the criteria varies from evaluation to evaluation and is one of the

differences among evaluation theories and approaches. Gullickson and Hannum (2019) point out that how many and which criteria are selected depends on whose values are motivating the evaluation and will influence whether there may be more than one judgement based on more than one criteria:

> Understanding the underlying value motivations of different groups also enables greater clarity about what matters to whom, thereby allowing information to be put in context that enables more nuanced interpretations. For example, if there are different criteria or if criteria are valued differently by different groups, then there may not be a single evaluative judgement but rather a more nuanced sharing and interpretation of information in service of different value positions. (p. 172)

Constructing Standards

Standards constructed for an evaluation are intentionally selected targets applied to the established criteria:

> The second and third of Scriven's four Steps of valuing involve judgments about the quality of performance on the selected criteria, referencing the "explicit or implicit standards" noted in the Weiss quote above. When criteria are specified in legislation or regulations, there are often associated standards for rating, or grading, performance, as in saying that of the people eligible for services should receive them or that 70% of students should pass a standardized test, As in the ratings on criteria in Consumer Reports, meeting expectations is rated as good; exceeding them is even better. (Julnes, 2012, p. 8)

The standard may be either absolute or comparative. In an evaluation of an educational program with an established criteria of cost per student, the absolute standard could be less than $3000 per student. A comparative standard may be whether the cost is higher or lower than another similar educational program. A standard can be selected as a level within the range of possible values or in terms of the absence or presence of the criteria. The nature of the criterion and how it could be measured constrains the type of standard that can be selected for the criterion. Again, who constructs the standard and how they construct the standard varies from evaluation to evaluation. Arens (2005) describes different perspectives on establishing standards:

Scriven endorses the comparison of programs against their competitors; Stake contends that stakeholders ought to construct their own standards; Cronbach maintains that stakeholder values and a sensitivity to political context are important but independent sources of values [absolute standards] are also necessary); and House recommends that issues of social justice and fairness ought to take precedence so that all stakeholder voices, particularly those that have historically been marginalized, ought to be included (criteria of merit, therefore, center on whether the program is "right," "fair," or "just"). Despite their differences, many evaluators consider the establishing of criteria a necessary step in the practice of evaluation and some consider the step of explicitly stating standards and criteria a fundamental responsibility of the evaluator (Worthen, Sanders & Fitzpatrick, 1997). (pp. 17-18)

Measuring Performance and Comparing with Standards

The performance of an evaluand's criterion against the standard for that criterion is determined by "measuring" the criterion and comparing it to the standard (Fournier, 1995, p. 16). How the criteria can be "measured" is implied in the establishment of the standard. If the criterion for an educational program is comparative or absolute cost, the measurement will be made by examining financial data and information. If a criterion of an educational program is knowledge growth, the measurement will be an indicator such as improvements in test scores. The performance of the evaluand on a criterion may be measured in more than one way.

Synthesizing and Integrating Data into a Judgment of Merit or Worth

The measurement of performance against the standard is not the judgement of worth. It is the basis of the judgement of worth. The judgement of merit or worth is based on the comparison of the measured performance to the standards constructed for the criteria established for the evaluation of the evaluand. If only one criterion is established and its performance is only measured in one way against one standard, the judgement is simple. However, multiple criteria possibly measured in multiple ways must be synthesized and integrated to argue for an evaluative claim.

Critical Responses to the General Logic of Evaluation

Migotsky et al. (1997), Schwandt (1997), and Stake et al. (1997) argued that program evaluators do not apply the formal logic and/or that there is not a universal logic applied for evaluation practice:

> Regarding program evaluation, we cannot see that our own practices, the practices of the evaluators we interviewed, or the practices presented at annual meetings and in journals fulfill, or even approximate, Scriven's probative inference conditions. Collectively, our ability to specify criteria, explicate needs, set cut-score standards, and measure performances is weak (Stake et al., 1997, p. 91).

Notice that the response is formulated in terms of the applicability of the general logic to program evaluation. However, Scriven (1994b) argued that while the general logic applies to all types of evaluation, but specifically includes program evaluation: "We're talking about evaluation here-the whole discipline, not just program evaluation or performance evaluation (e.g., student assessment), or product evaluation" (p. 378).

Shadish et al. (1991) largely accept the core general logic of evaluation but are critical of some specifics Scriven provides on how to apply the logic. For example, the use of one way to execute the synthesis of the findings into one evaluative claim, is to apply a weighted score to each criterion and sum the scores and compare to the standard. There are several requirements to apply this procedure including an acceptable way to reach and weight the scores. This may be difficult to do in some cases as Scriven (1971) himself notes: "Its (the evaluator's) task to … condense all that mass of data into one world: *good* or *bad*. Sometimes this really is impossible" (p. 53, author's italics). This example illustrates the summary of Shadish et al.'s (1991) concerns: "Scriven has not presented just a bare-bones logic; he has fleshed out those bones in some objectionable ways" (p. 95). Although it is appropriate to look for the application of a general logic, perceived or actual weakness in a specific application of the general logic does not

invalidate the general logic.

Not only theoretical concerns have been raised about the general logic of evaluation; explicit practical application of and training in the logic is also limited:

> A recent study of American Evaluation Association members showed that nearly three-fourths were not at all familiar or only a little familiar with the logic of evaluation (Ozeki, Coryn, & Schröter, 2019). To date, Davidson's (2005) Evaluation Methodology Basics is the only English text that discusses criteria, standards, and evaluative synthesis explicitly, and it is 14 years old. (Gullickson, 2020, p. 5)

Note that this gap that is evident is in "explicit" familiarity with and training on the general logic. The general logic can be present behind an evaluation without being called out explicitly using the terms criteria, standards, measurement, and synthesis.

Working Logic of Evaluation

While the general logic of evaluation is critical to defining a logic as evaluative, the logic of evaluation may be applied differently in practice. The four parts of the general evaluative logic used across all evaluation are applied by developing and applying different "what might be called working principles" (Scriven, 1995, p. 50). This application of the general logic has been identified as "working logic" of evaluation, a term Fournier (1993, 1995) attributed to Toulmin (p. 51, footnote). The relationships between the steps of the general logic and the parameters (phenomenon, question, problem, and claim) of the working logic (in this case applied to the consumer approach) are presented in Figure 1 as diagrammed by Fournier (1993, Figure 4.5, p. 120):
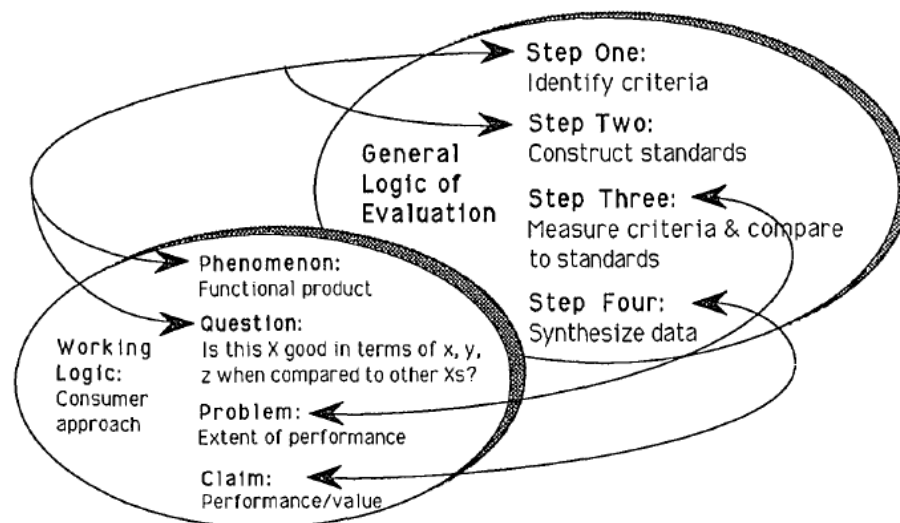
Figure 1. The relationships between the steps of the general logic and the parameters of the working logic. Adapted with permission from <u>Reasoning in evaluation: A distinction between general and working logic</u> by D. Fournier, Copyright 1993, by D. Fournier.

Identifying criteria and constructing standards are related to the phenomena and the question parameters of the work logic; measuring criteria and comparing to standards and synthesizing data are related to the problem and claim parameters.

Evaluation approaches are distinguished by the working logics they advance:

> Working logic is the variation in detail in which the general logic is followed when conducting an evaluation. In other words, what varies across approaches is what or how criteria are identified, what or how standards are constructed, how performance is measured, and how data are synthesized. (Fournier, 1995, p. 18)

The application of the general logic of evaluation to different evaluation fields is done through the applications of working logic and is possible because

> of its generality … Fournier also notes that the logic can be applied within different fields, by which she means product evaluation, program evaluation, policy evaluation and personnel evaluation, which we would prefer to label as 'assessment' or appraisal'. (Owen & Rogers, 1999, p. 14)

The variances in working logic of evaluations are revealed in four parameters. The four parameters identified by Fournier (1993, 1995) are phenomenon, problem, question, and claim.

Phenomenon

The phenomenon is the evaluand, the thing being evaluated. The phenomenon is not simply the thing, but also "its parts, organization, or structure; how it works; and how it relates to the larger context" (Fournier, 1995, p. 19). Since an evaluand can be seen as unique because of its viewed purpose and character, evaluation practices can be unique as well. Different evaluation approaches might emphasize different characteristics of the evaluand, leading to the establishment of the criteria and standards in the first and second steps of the general logic of evaluation. As Fournier (1995) expressed it: "How the phenomenon is defined (that is, socially constructed) … influences the source or locus of the values from which criteria are selected … [which] affects the validity of the conclusions (p. 22)" (Gullickson (2020), p. 1).

Problem

Fournier (1993) does not explicitly define the term "problem" in the discussion of "problem" as a parameter, but she does provide examples such as "extent of performance" and "causal efficacy" (p. 117). The problem parameter is not the problem the program or project or initiative is trying to solve; think of that as the objective of the evaluation, for example not enough trained people available for an occupation and there is program we need to evaluate that is supposed to resolve that shortage. The problem parameter type is the kind of explanation we plan to give that leads to determining what factors should be examined. So causal efficacy would require looking at causes and effects, while extent of performance would look at what level of performance is expected and exhibited.

Fournier (1993) states that the "problem" parameter is linked to the third step of the general evaluation logic: the measurement of the criteria and the comparison of the measurement to the standard. There could be different "problem" parameters for an evaluand, then, depending

on which criteria has been selected for an evaluation. These different "problem" parameters may be reflected in different evaluation approaches.

Evaluation approaches might differ in criteria because one approach uses prescriptive valuing theory where another uses descriptive valuing theory (Shadish, et al., 1991) or where another approach uses not valuing theory at all. A prescriptive valuing theory identifies a value based on a philosophical argument, for example, equity. A descriptive theory of valuing applies a value identified by appeal to a stakeholder of the evaluation, for instance, the objectives set for a program. These two valuation theories would define different problems for the same evaluand, which in turn would affect the other parameters. When evaluation approaches do not include a specific valuating theory at all, a criterion may not be stated at all. In those cases, the problem parameter may be more difficult to discover.

Question

Evaluative questions are the questions answered by evaluative claims. In turn, "Evaluative claims are those that attach evaluative predicates to a subject" (Scriven, 1995, p. 50). The evaluative questions are related to the establishment of the criteria and standards in the first and second steps of the general logic of evaluation.

Claim

The claim that is answer to an evaluative question is related to fourth step of the general logic of evaluation, the synthesis of the data.

Fournier's Application of Working Logic to Evaluation Approaches

Fournier (1993) illustrated the application of the working logic to five evaluation approaches including a consumer approach to product evaluation, a goal-free approach and a

plural approach to program evaluation, a causal approach, and a connoisseurial/critic approach.

For each approach, Fournier (1993, 1995) described the approach in terms of the parameters of

its working logic. Ozeki et al. (2019) agree with the gaps in understanding working logics and

the potential insights to be gained from studying working logics and cite other sources that have

come to the same conclusions:

> According to findings reported by Christie (2003) and Shadish and Epstein (1987), very few practicing evaluators use evaluation theory to guide their practice. Similarly, the extent to which practicing evaluators have knowledge of and intentionally apply the general logic of evaluation—or one or more discernable working logics—in their practice is unknown and has not been subjected to empirical scrutiny. Although central to professional, disciplined evaluation, evaluation logic and related concepts have not been endorsed or recognized as a competency for evaluation practitioners in North America (American Evaluation Association (AEA), (2018); Canadian Evaluation Society (CES), (2018)). Relatedly, working knowledge of the logic of evaluation is likely not required as part of most formal evaluation education, training, and preparation (Christie, Quiñones, & Fierro, 2014; Davies & MacKay, 2014; LaVelle, 2011, 2014, 2018; LaVelle & Donaldson, 2010, 2015). (p. 2)

> Both the general logic and various working logics provide numerous opportunities for systematic inquiry comparing and contrasting similarities and differences in practice across evaluation approaches as well as between individuals having differing characteristics (e.g., levels of education, disciplinary backgrounds, primary work settings, roles as evaluator [internal versus external]). In addition, such investigations could potentially provide insight into what is prescribed in theory versus what is actually practiced (e.g., Coryn, Noakes, Westine, & Schröter, 2011; Miller & Campbell, 2006). (Ozeki al., 2019, p. 2)

In the current study, I extend the analysis of approaches to additional contemporary

program evaluation approaches. I also examine the philosophical assumptions that characterized

evaluation approaches. I discuss philosophical assumptions in the following section.

Philosophical Assumptions of Evaluation Theories, Methodologies, and Approaches

In this study, I combined (and extended) the analysis of philosophical assumptions of

contemporary program evaluation approaches by examining the linkages (if any) between those

assumptions and the parameters that characterize the approaches. In the following section I

briefly introduce ontology, epistemology, and axiology.

Ontology

Ontology concerns what is real and what reality is like.

> Ontology is a theory about the nature of being and existence…Ontology is often
> the background (principles and causes) that informs the formulation, description,
> and analysis of phenomena in the world. …For evaluation, ontology matters when
> attempting to understand the variations in approaches to evaluation and the
> quantitative-qualitative debates, as well as in the development of a theory of
> evaluation. (Mathison, 2004, p. 285)

For evaluation approaches these are not so much questions about whether anything exists,

but what things are like and how they interact (if at all) with each other. Is there such a thing as

cause and effect? Are people individuals or members of a group of people? How much freedom

do individuals have? Is there one reality (or trust), or is reality (or truth) what a thing is as

perceived by a person? In evaluation of an educational program, for example, ontology would be

concerned with the reality of the program as experienced by different groups of people including

teachers, students, program owners, etc.

Epistemology

Epistemology concerns what we can know and how we can know it. Epistemology is

> the theory of knowledge. Its central questions include the origin of knowledge;
> the place of experience in generating knowledge, and the place of reason in doing
> so; the relationship between knowledge and certainty, and between knowledge
> and the impossibility of error; the possibility of universal skepticism; and the
> changing forms of knowledge that arise from new conceptualizations of the
> world. (Blackburn, 2016a, p. 158)

At the very practical level, this question involves methodology, but at its root are

questions about whether what can actually be known and what the processes are by which we

know them. A core issue is validity—that is what we know about a thing correct or is it what we think we know about the thing. In an educational program, epistemology might concern how we can know whether education has occurred through grades as opposed to skill tests or by some other means.

Axiology

Axiology means the science of worthiness. It is the study of values. "Axiology can be thought of as primarily concerned with classifying what things are good, and how good they are. For instance, a traditional question of axiology concerns whether the objects of value are subjective psychological states, or objective states of the world" (Schroeder, 2021, paragraph 1). The core questions include what kinds of values are there and where they do or should originate. Are some values better than or superior to others? For an educational program, for example, axiology might concern whether the learner opportunities are equally available to individuals in different groups, whether the program is cost-efficient, or by other values.

Interrelatedness of Philosophical Assumptions

The philosophical assumptions are interrelated and inform each other. Mertens and Wilson (2019) suggest that, using as an example the Transformative Evaluation approach, the ontological assumption derives from the axiological assumption and the epistemological assumption in turn derives from the ontological assumption:

> The transformative axiological assumption leads to the ontological assumption in transformative terms, in that issues of power related to who determines what is real become central to the discussion. (Mertens & Wilson, 2019, Kindle Locations 4975-4976)

> The transformative axiological and ontological assumptions lead to the epistemological assumption that knowledge is constructed within a context of power and privilege. (Mertens & Wilson, 2019, Kindle Locations 5011-5012)

Evaluation approaches can be characterized through the working logic parameters of phenomenon, problem, question, and claim. These parameters may be influenced by an evaluation approach's philosophical assumptions of ontology, epistemology, and axiology (terms defined below). For example, axiology influences the selection of phenomena and problems to be studied:

> "An attitude of moral indifference," Weber (1904/1949) writes, "has no connection with scientific objectivity" (p. 60). His meaning is clear from the value-freedom/value/relevance distinction. For the social sciences to be purposeful and rational, they must serve the of relevance …Without the investigator's evaluative ideas. there would be no principle of selection of subject matter and no meaningful knowledge of the concrete reality. Without the investigator's conviction regarding the significance of particular cultural facts, every attempt to analyze concrete reality is absolutely meaningless. (Weber, 1904/1949. pp. 61, 82). (Lincoln et al., 2018, p. 70)

Philosophical assumptions are the basis for many of the differences are reflected in evaluation theories, methods, and approaches. Mertens (2016) observes awareness of philosophical assumptions are key to evaluation practice:

> When evaluators reflect and make explicit their axiological, ontological and epistemological assumptions, they are better able to choose the methodologies to use in their inquiries. Situating oneself within a framework of philosophical assumptions also means making explicit the assumptions that evaluators make about themselves and their roles as evaluators. (p. 103)

For example, in a review of realist evaluation, Marchal et al., (2012) suggest that "different interpretations of the philosophical roots may have consequences for the way the realist evaluation study is carried out, and specifically for the manner in which mechanisms are analysed" (p. 202).

While program evaluation theories, methods, approaches, and models are unique among social science disciplines in that they include some consideration of value, they share the focus on groups of people and many of the same philosophical assumptions and assumptions of other

social science disciplines. For example, as social science discipline's epistemological assumptions changed from positivist to post-positivist to constructivist and beyond, some program evaluation theories also reflected those developments.

Philosophical assumptions in evaluation have been examined regularly within the discipline. House (1978, 1980) compared seven evaluation approaches based on their ethical, epistemological, and political assumptions. Shadish et al. (1995) critiqued evaluation theories based on ontology, epistemology, and methodology as part of the knowledge component of the theories, one component of five to be used to identify good theory. Alkin (2013) includes examination of philosophical assumptions when placing various theories underlying branches in the evaluation tree, especially in the use branch. Lincoln et al. (2018, p. 98) reviewed five evaluation research paradigms and described the differences in their basic beliefs in terms of ontology, epistemology, and methodology. Mertens and Wilson (2019) align evaluation paradigms with evaluation tree branches and review their axiological, ontological, epistemological, and methodological assumptions. The following section introduces a "feature profile" which can be used to describes evaluation approaches through a combination of their ontological, epistemological, and axiological assumptions and the parameters of their working logics.

<center>Feature Profiles of Evaluation Approaches</center>

I combined the parameters of their working logics with selected philosophical assumptions to create a unique descriptive and organizing structure named a feature profile for evaluation approaches. The basic structure of a feature profile is presented in Table 1.

Structures Used to Describe and Group Evaluation Approaches

Different structures are used in evaluation textbooks and journal articles to describe and/or group different program evaluation approaches. This section presents different structures chronologically and describes the structures used, compares them to the feature profile I used in this study, and explains how this study's feature profile, which is a combination of two structures (the parameters of working logic and selected philosophical assumptions) extends and improves on the other organizing structures. Some current contemporary program evaluation approaches were developed after these structures were published and to the extent that the current study mirrors the earlier structures, it extends it to include selected more current approaches.

Table 1
Feature Types and Features in Feature Profiles

Feature Type	Feature
Parameter Type of Working Logic	Phenomena Type
	Problem Type
	Question Type
	Claim Type
Philosophical Assumption	Ontological Assumption
	Epistemological Assumption
	Axiological Assumption

House

House's (1980) seminal work on evaluation approaches, <u>Evaluating with Validity</u>, presents a taxonomy of eight approaches: systems analysis, behavioral objectives, decision-making, goal-free, art criticism, professional review, quasi-legal, and case study. The structure

compares approaches on their (1) major audiences or reference groups, (2) consensus assumptions, (3) methodology, (4) outcomes, and (5) typical questions (p. 23).

The structure House (1980) uses has similarities to and differences from the feature profile I use in the current study. The feature profile applies the parameters of working logic to evaluation approaches. House (1980) does not directly reference the term "working logic", although the core of the book is examination of how evaluative logic can be used to reach valid evaluation claims and how those claims are applied through argument to convince audiences.

In terms of assumptions, House (1980) suggests that the most significant comparison between the approaches is the variation in their theoretical "assumptions of liberalism or … conceptions of liberal democracy" (p. 45). The dimensions of these assumptions or conceptions are ethics, epistemology, and politics. Although the feature profile I apply does not explicitly address politics, political assumptions include ontological perspectives 1) regarding individuals as opposed to members of collectives and 2) regarding mechanism as opposed to freedom of choice. The examination of the philosophical assumptions of ontology, epistemology, and axiology is extended in the current study to include contemporary program evaluation approaches.

The feature profile I apply includes the combination of the working logics and philosophical assumptions of ontology, epistemology, and axiology. This combination is not explicitly applied in House's (1980) book.

Shadish, Cook, and Leviton

Shadish et al.'s (1995) Foundations of Program Evaluation: Theories of Practice includes nine theorists. The theorists are organized into three types of approaches to evaluation practice: "Manipulable solution theory … generalizable explanation theory … (and) stakeholder service

theory" (Shadish et al., 1995, pp. 472-475). Each individual theorist is analyzed under an organizing structure of six theoretical components: valuing, knowledge, social programming, use, and practice.

Although Shadish et al., (1995) do not always explicitly attach a theorist to an approach (as opposed to type of) approach, evaluation approaches are associated with each theorist in other sources. I included approaches associated with those theorists in the analysis of the textbook.

Shadish et al. (1995) uses a structure with similarities to and differences from the feature profile I applied in the current study. The feature profile examines the parameters of working logic of evaluation approaches. Although Shadish et al. (1995) do not directly reference the term "working logic", they do discuss evaluative "questions" related to each theorist, one of the four parameters of working logic. The feature profile replicates this part of the structure for the approaches associated to the theorists included by Shadish et al. (1995).

The feature profile I apply in the current study investigates the axiological, epistemological, and ontological assumptions of evaluation approaches. Shadish et al. (1995) do discuss the axiological (as theories of value), epistemological, and ontological assumptions of each theorist. The current study replicates this part of the organizing structure for the approaches associated to the theorists included by Shadish et al. (1995).

The feature profile examines the combination of the philosophical assumptions of ontology, epistemology, and axiology with the working logics of the evaluation theorists. This combination is not explicitly used in Shadish et al.'s (1995) book.

Fournier

Fournier's (1993, 1995) defining work on the parameters of evaluative working logic

analyzes five evaluation approaches as examples, a consumer approach to product evaluation, and four approaches to program evaluation: a goal-free approach, a pluralistic approach, a causal approach, and a connoisseurial/critic approach (Fournier, 1993, pp. 151-152) The four parameters of the working logic of an evaluation approach are problem, phenomena, question, and claim (Fournier, 1993, pp. 112-114). The feature profile I apply in the current study also examines the parameters of working logic of evaluation approaches.

The feature profile I apply in the current study investigates the axiological, epistemological, and ontological assumptions of evaluation approaches. Fournier (1993, 1995) does not examine these assumptions.

Fournier's (1993, 1995) work with parameters of working logics of evaluation approaches is expanded and extended in the current study. The feature profile I used in the current study examines the combination of the working logics of the evaluation approaches with their philosophical assumptions of ontology, epistemology, and axiology. This combination is not explicitly used in Fournier's (1993, 1995) dissertation or journal article.

Owen and Rogers

Owen and Rogers (1999) organize evaluation approaches under five forms or answers to why the evaluation is done: "Proactive; Clarificative; Interactive; Monitoring; and Impact" (p. 40). Their description of each form includes the "purpose or orientation of an evaluation consistent with the form; typical issues which are consistent with each purpose; major approaches taken from a social science or management" (p. 40).

The structure Owen and Rogers (1999) use is largely different from the feature profile I apply in the current study.

Fitzpatrick, Sanders, and Worthen

Fitzpatrick et al. (2011) organize 23 approaches within a classification schema based on what guides the evaluation, placing each into one of four categories: Approaches oriented to "comprehensive judgements of the quality of the program or product … to characteristics of the program … to decisions to be made about the program (or) … to participation of stakeholders" (p. 123).

The structure Fitzpatrick et al. (2011) use has similarities to and differences from the feature profile I apply in the current study. The feature profile examines the parameters of working logic of evaluation approaches. Fitzpatrick et al. (2011) address what guides the evaluation for each category, which is similar to the "problem" parameter, and they discuss the "question" parameter in a chapter on identifying evaluation questions and criteria.

The feature profile I apply in the current study examines the axiological, epistemological, and ontological assumptions of evaluation approaches. Fitzpatrick et al. (2011) discuss the ontological and epistemological views within four evaluation paradigms: logical positivism, postpositivism, constructivist, and transformative. They do not discuss the philosophical assumptions of specific approaches; however, they do suggest that "it is useful … to be familiar with these paradigms because their philosophical assumptions were key influences on the development of different evaluation approaches" (Fitzpatrick et al. (2011, p. 117).

The feature profile examines the combination of the philosophical assumptions of ontology, epistemology, and axiology with the working logics of the evaluation theorists. This combination is not explicitly used in Fitzpatrick et al.'s (2011) book.

Alkin

Alkin (2013) organizes 13 theorists on three branches of a tree representing the growth of

divergent emphases in evaluation: methods, values, and use.

Although the textbook does not always explicitly attach a theorist to an approach (as opposed I included approaches associated with those theorists in the analysis of the textbook.

Alkin's (2013) text consists primarily of chapters by theorists who use different structures within their chapters, so there is no direct way to compare the organizing structure of the book with the feature profile I used in the current study. The feature profile examines the parameters of working logic, the philosophical assumptions, and the combination of the parameters and the assumptions of evaluation approaches. Although the different theorists may directly or indirectly address some or all of those elements, they do not address the combination of philosophical assumptions and the parameters of the working logics.

Hansen, Alkin, and Wallace

Hansen et al. (2013) examined three evaluation approaches based on examination of the logic models of the evaluation, not of the approach. They examined five elements of the logic models of the evaluations: "activities, outcomes, … underlying assumptions, the situation or context of implementation and external factors that may influence effectiveness" (pp. 33-34). The feature profile I apply in the current study examines the parameters of working logic of evaluation approaches. Hansen et al. (2013) examines logic models which are not working logics but describe the workings of the program.

The feature profile I apply in the current study includes the axiological, epistemological, and ontological assumptions of evaluation approaches. Hansen et al. (2013) mention the underlying assumptions of the logic model of the evaluation, but they are not equivalent to the philosophical assumptions of the evaluation approaches.

The feature profile includes the combination of the philosophical assumptions of

ontology, epistemology, and axiology with the working logics of the evaluation theorists. This

combination is not explicitly used in Hansen et al.'s (2013) book.

Hansen et al.'s (2013) organizing structure is largely different from the feature profile I

apply in the current study.

Stufflebeam and Coryn

Stufflebeam and Coryn (2014) mention 33 evaluation approaches but classify and discuss

23 based on the approach's alignment with program evaluation standards.

> We classified program evaluation approaches in consideration of the extent to
> which they focus mainly, somewhat, or not at all on judging a program's value.
> Accordingly, we identified five categories of evaluation approaches. The first
> category includes approaches that promote invalid or incomplete findings
> (referred to as pseudoevaluations), and the other four include approaches that
> agree, more or less, with the Joint Committee's definition of evaluation (quasi-
> evaluation, improvement- and accountability-oriented, social agenda and
> advocacy, and eclectic approaches). (p. 111)

The structure Stufflebeam and Coryn (2014) use has similarities to and differences from

the feature profile I apply in the current study. The feature profile examines the parameters of

working logic of evaluation approaches. Two of Stufflebeam and Coryn's (2014) nine descriptors

used to characterize each approach are similar to a parameter of a working logic. Descriptor "(1)

advance organizers—that is, the main cues that evaluators use to set up a study" (Stufflebeam &

Coryn, 2014, p. 111) are similar to the "problem" parameter of the working logic of an

evaluation approach and descriptor "(4) questions that are characteristic of the approach"

(Stufflebeam & Coryn, 2014, p. 111) are similar to the "question" parameter of working logic.

The feature profile I apply includes the axiological, epistemological, and ontological

assumptions of evaluation approaches. While Stufflebeam and Coryn (2014) discuss various

philosophies of evaluation and evaluators' philosophies, philosophical assumptions are not part

of the organizing structure of the book, so it does not align with the current study's examination

of the combination of the philosophical assumptions of ontology, epistemology, and axiology

with the working logics of the evaluation theorists.

Mertens and Wilson

Mertens and Wilson (2019) organized 34 evaluation approaches under four paradigms,

each aligned with branches of an evaluation tree: the postpositive paradigm with the methods

branch, the pragmatic paradigm with the use branch, the constructivist paradigm with the values

branch, and the transformative paradigm with the social justice branch.

The structure Mertens and Wilson's (2019) use has similarities to and differences from

the organizing structure in the current study. The feature profile I apply in the current study

includes the parameters of working logic of evaluation approaches. Mertens and Wilson (2019)

illustrate the evaluation approaches through an example study. Their examples include both a

section titled The Evaluand and Its Context, which is like the working logic parameter of

"phenomenon," and a section titled Evaluation Purpose and Questions, which is like the working

logic parameter of "question."

The feature profile I apply in the current study defines the axiological, epistemological,

and ontological assumptions of evaluation approaches. Mertens and Wilson (2019) do discuss the

axiological, ontological, and epistemological (as well as the methodological) assumptions of the

paradigms and the aligned branches, but not the philosophical lenses of example studies for

specific approaches. The current study does address the assumptions at the approaches level.

The feature profile I apply in the current study examines the combination of the

philosophical assumptions of ontology, epistemology, and axiology with the working logics of

the evaluation approaches. Although Mertens and Wilson's (2019) address parts of both of these

elements, their combination is not explicitly applied in the book.

Linfield and Posavac

Linfield and Posavac (2019) describe 27 evaluation approaches in a table consisting of the model's name, features, and strengths (e-resource, Table 2.2). The structure Linfield and Posavac (2019) use is largely different from the feature profile I apply in the current study.

Summary

No existing structure provides the insights available from the combination of the philosophical assumptions of ontology, epistemology, and axiology and with the working logics of the evaluation approaches in the feature profile I apply in the current study. The following sections examine the background of the core concepts behind that organizing structure.

Summary

Program evaluation approaches are processes applied to look into the worth, merit, or significance of programs, a planned set of activities or events intended to lead to a desired outcome. The genesis of the plethora of program evaluation approaches has been (and likely will continue to be) different visions of why and how evaluation is done. There is a proposed underlying general logic of evaluation beneath each evaluation approach, but the approaches themselves reveal a working logic, an applied version of the general logic.

The Current Study

The purpose of the study is to enhance the selection and use of selected contemporary evaluation approaches through the development of descriptive feature profiles that combine the parameters of their working logics and their philosophical assumptions. While some evaluation

approaches have been described in terms of their working logics and philosophical, the combination of them has not been used. The combination may more completely describe and therefore possibly better understand, identify, select, and apply evaluation approaches.

Feature profiles describe approaches in terms of the combination of the phenomenon, problem, question, and claim types of their working logics and of the terms of their ontological, epistemological, and axiological assumptions. Working logics are important in that they describe how evaluative claims are arrived at when using a particular approach and how that approach can be applied. Philosophical assumptions are important because they inform the methods and values applied to an evaluation.

The literature reviewed above defines the terms, the existing knowledge, and the need for the current study. It also informs the research questions about parameters, philosophical assumptions, and reflections of assumptions in parameters. The knowledge generated by the study might be used by learners, teachers, and practitioners of evaluation as they work with evaluation approaches.

The study applied the feature profile to answer the research questions through an analysis of scholarly publications on contemporary evaluation approaches and interviews with leading representatives of the approaches as described in chapter III.

CHAPTER III

METHODS

Study Objective

The objective of the study is to create a new organizing structure for program evaluation

approaches by comparing and contrasting selected program evaluation approaches using

Fournier's (1995) four parameters of working logic and describing how those parameters reflect

the philosophical assumptions of the selected approaches.

Questions Investigated

The primary research question I investigated in the current study is:

1. What are the similarities and differences between contemporary program evaluation

   approaches as described by Fournier's (1995) four parameters of their working logic and

   their philosophical ontological, epistemological, and axiological assumptions?

   In order to address the primary question, I developed three secondary questions to

provide further insights:

   1a. What are the characteristics of contemporary program evaluation approaches as

       described by Fournier's (1995) four parameters of the working logic of evaluation?

   1b. What are the philosophical ontological, epistemological, and axiological assumptions

       of contemporary program evaluation approaches?

   1c. In what ways do Fournier's (1995) four parameters of the working logic of evaluation

       reflect philosophical ontological, epistemological, and axiological assumptions of

contemporary program evaluation approaches?

Methodology

I used qualitative research methodology to answer the research questions for this study since the research questions deal with textual data and the analysis focuses on words and meanings. Qualitative research is characterized by open-ended questions and complex analysis of the data. One of the more important features of qualitative research is the critical impact of the researcher's perspective:

> When gathering data for qualitative research studies, the researchers and moderators play an important role in influencing the reliability and quality of the data gathered. Additionally, qualitative data is more subject to interpretation than quantitative data and therefore the researcher's observations and interpretations will significantly affect the quality of the study. (Common Research Methodologies, n.d., p. 1)

The methods, results, and discussion chapters are written in primarily 1st person tense to reflect the highly personal nature of the method choices and interpretations of the data.

Positionality Statement

While the ideas and concepts from source documents and interviewees are the core stuff of this research, who I am is a significant influence and limitation on the results and discussions. How others perceive me is also important in my roles as the author of the primary resource document analysis reports and as the interviewer in the member checks. This research is limited by my competence and understanding. I offer a transactional description of these personal influences and limitations of my research.

My research is performance based on intention, knowledge, skills, tools, opportunity, and motivation. How competent I am is an evaluative concept about how your performance "measures" up to the standards of criteria (whoever sets them and/or agree with them) defining

expertise (could include lowest resource use, highest speed, no errors, no waste, quantity and quality of products, effects, and outcomes, etc. …). The way I understand the world and interact with it reflexively (thinking fast) and intentionally (thinking slow) (Kahneman, 2013) is shaped by the interactions between my self and the transactions available (and as importantly unavailable) to me.

I am a biological male about 70 years old, born in 1954 in the United States. I was born of and raised by married parents both of European (Netherlands) descent and have an older brother and sister. My mother was the oldest child of 9 born and raised on a small chicken farm in Michigan and my father was the middle child of 8 children the son of a protestant clergyman. My father's adult occupation was a trouble-shooter in a bakery plant. In my formative years, my mother's primary role was a mother and homemaker in a suburban middle-class family. This tells you not only about my background, but as importantly what my background was not.

My family was part of a community characterized by protestant values, beliefs, and attitudes. I was educated in the Christian school systems and was an active attender and participant in church services and activities. Most of our family interactions were with our extended families and with our church and school communities who were similar to us demographically and culturally. My core values are whatever glorifies God and whatever improves and enriches the lives of people.

I lean toward being task oriented and an analyzer and synthesizer. I like to have things work well and I live to figure out how they work, what tools to use to work with them, and how things work together. I like to learn, and I enjoy applying what I learn to improve the lives of people, environments, relationships, processes, products. I am a maker of products from wood, fabric, clay, sounds, and words.

My formal education after high school includes a B.A. in English and Literature, an M.A. in Organizational Communication Consultancy, an ABD in Speech Communication, and this dissertation is the final step toward an Interdisciplinary Ph.D. in Evaluation.

I have learned for and from my occupations starting with pop-cycle sales, paper boy, sandwich factory worker, burial vault construction and installation, college professor and forensics coach, property management and maintenance, glass installer, corporate human resources training roles including training design, delivery, and evaluation, consultant, team supervisor, coach, manager, tools and process development including databases and templates.

My personal and professional theory of learning is "the bump on the nose theory" – when you bump your nose into something (think of a clean glass door) you did not anticipate, it is an opportunity to figure out what happened and why and if you didn't like the bump, you can find and learn a way to avoid the next bump. One corollary of the theory is that you can learn from watching other people bump their noses. Another is that sometimes someone else will, either unintentionally or intentionally bump you on the nose (with either good or not so good intentions).

Many people have bumped me in the nose – family members, friends, co-workers, bosses, opponents – and the most important bumps before this research experience were from people who weren't "like" me, ranging from my wife who is (and I do recognize the risk at selecting these to show how different she is from me) an 1) assertive 2) woman 3) not Dutch and 4) first college graduate from a 5) southwestern 6) military family to my four (now married) children (one from south Sudan) who became pottery makes, architects, FedEx drivers, and pastors and who have married other bumpers from different countries and borned 7 grandchildren. The most important bumpers during this research were the authors of the primary

and secondary source documents and individuals participating in the member interviews.

My Philosophical Assumptions

My philosophical assumptions are aligned with Christian realist philosophy. Young (1954) provides a complete explication of that philosophy and detailed comparisons with other philosophies that include much more than what I cover in the following.

Ontology. Reality is both natural and supernatural. The natural part can be studied without reference to the supernatural, but in Christian realist assumptions, the natural is understood completely only in the context of natural as designed, created, and supported by the creator of the natural. The purpose of the natural and how it should and does work, including what humans should do and how they should do it are defined by revelation from the creator. Many of the problems we encounter and respond to through evaluation are related to the ways in which reality does not operate as designed and are explainable in the fallenness of the creation and of creatures.

Epistemology. We learn by experiencing things and by contemplating what those things mean in interactions with the things and interactions with others and our internal thought process. One of the unique characteristics of the Christian realist philosophy is the recognition that revelation is one of the transaction types we need to rely on in our learning. A couple of important ideas are the recognition of humans as creatures who have potential and drive to learn by design. However, they are flawed in their learning processes and need to test their knowledge by continued interaction to improve their knowledge making processes and their knowledge.

Axiology. The source of values is the creator of the universe. The primary values are

glorifying God and serving people. All people are valuable (and equally so) because they are created and what is good for them is described by revelation. Most of the values examined in evaluation are aligned with those revealed values, but any values should align or extend from revealed values. Evaluators whose assumptions are part of the Christian realist philosophy, do not need to only work with Christian values, but they apply those values to their work.

Methods

Overall Design

I used a six-stage sequential design to address the research questions about the working logic parameters and the philosophical assumptions of selected contemporary evaluation approaches. Each parameter and assumption is considered a feature of the approach and the combination of the parameters and assumptions make up a feature profile. In phase I, I selected the approaches to include in the study. In phase II I identified the artifacts to include in the primary document analysis. In phase III, I analyzed primary scholarly and non-scholarly artifacts (e.g., books, book chapters, journal articles, white papers) related to a selection of contemporary program evaluation approaches to create a feature profile for each approach. In phase IV, I conducted semi-structured interviews with scholars, practitioners, and advocates associated with each of the selected program evaluation approaches to inform or confirm the feature profiles from phase I. In phase V, I compared the results of the analysis of the primary documents (phase IIII) with the results of the interviews (phase IV) into a final identification of each feature in the feature profile. In phase V, I analyzed the relationship between the parameters of the working logics and the ontological, epistemological, and axiological assumptions of the selected evaluation approaches. In the following sections I expand on the details of all six phases of the

investigation.

Phase I – Approach Selection

I began with Stufflebeam and Coryn's (2014) <u>Evaluation Theory, Models, & Applications</u> to identify approaches for the study. Following that, I used a two-step reference tracing method to identify potential approaches to be included in the investigation. In the first step, I identified textbooks or documents covering multiple evaluation approaches and, in the second step, I screened identified approaches within those textbooks or documents for inclusion in the study. Throughout the approach selection process, I applied three basic considerations: the approaches must be (1) perceived in use in program evaluation practice based on expert opinion; (2) published in English; and (3) sufficiently described for meaningful analysis.

I selected textbooks or documents covering multiple evaluation approaches based on whether they named, discussed, and described more than one evaluation approach in detail. I excluded textbooks or documents if they either: (1) named and described only one approach or (2) named more than one approach, but primarily described only one approach. I excluded textbooks focusing on only one program evaluation approach to focus on sources that recognized and compared multiple approaches. I examined textbook tables of contents to identify chapters dedicated to individual evaluation approaches and, later, by carefully reading each source through to confirm the initial decision to include or exclude the textbook. I selected documents for inclusion through review to discover and to screen tables or sections describing multiple approaches. I reviewed each selected textbook or document to generate a list of the approaches they covered.

I entered the approaches listed in each textbook or document into a matrix to identify: (1)

unique approaches, (2) different naming conventions describing the same approach, and (3) duplicate entries across different textbooks. I identified 12 sources that presented and discussed multiple approaches: Alkin (2013); Fitzpatrick et al. (2011); Fournier (1993); Fournier (1995); House (1980); Linfield and Posavac (2019); Mertens and Wilson, (2019); Newcomer et al. (2015); Owen (2006); Shadish et al. (1991); Scriven (2003); and Stufflebeam and Coryn (2014). Examination of relevant textbooks and documents revealed 205 instances of evaluation approaches. Removal of duplicates either of the same approach given different names and/or inclusion in multiple sources eliminated 116 instances, resulting in 89 unique approaches.

I initially selected program evaluation approaches for inclusion based on the number of times they were included in the 12 sources identified above. The number of times an approach was included ranged in the sources from one to eight. Sixty-eight of the approaches were not included in at least four (about one-third) of the sources because that created a small enough sample to work with and I excluded them. Twenty-one approaches were included in the sources at least four times. Of these, four were identified as methods because they were identified as methods in primary source documents and /or are listed as methods in evaluation texts, so I did not include them from the sample.

I conducted a citation search on the common names of these approaches using Google Scholar for the years 2011-2020. I examined the citation data to identify the percentage of citations to the approaches over this period. Eleven of the approaches were cited 0% to 1% of the total citations and I initially eliminated them from the sample of approaches. I also examined the citation data for percentage of citations for a particular approach in 2020 to remove any distortion based on the date of the of the development of the approach. This analysis revealed one additional approach that accounted for 3% of the 2020 citations; I selected this approach for

inclusion in the study.

I excluded program evaluation approaches premised on a particular method or analytic technique (e.g., case study, randomized controlled trials, and realist (self-described by the author of primary source documents as a method). Figure 1 is a modified PRISMA flow diagram showing the numbers of approaches identified, removed, or included to generate the final sample of evaluation approaches.
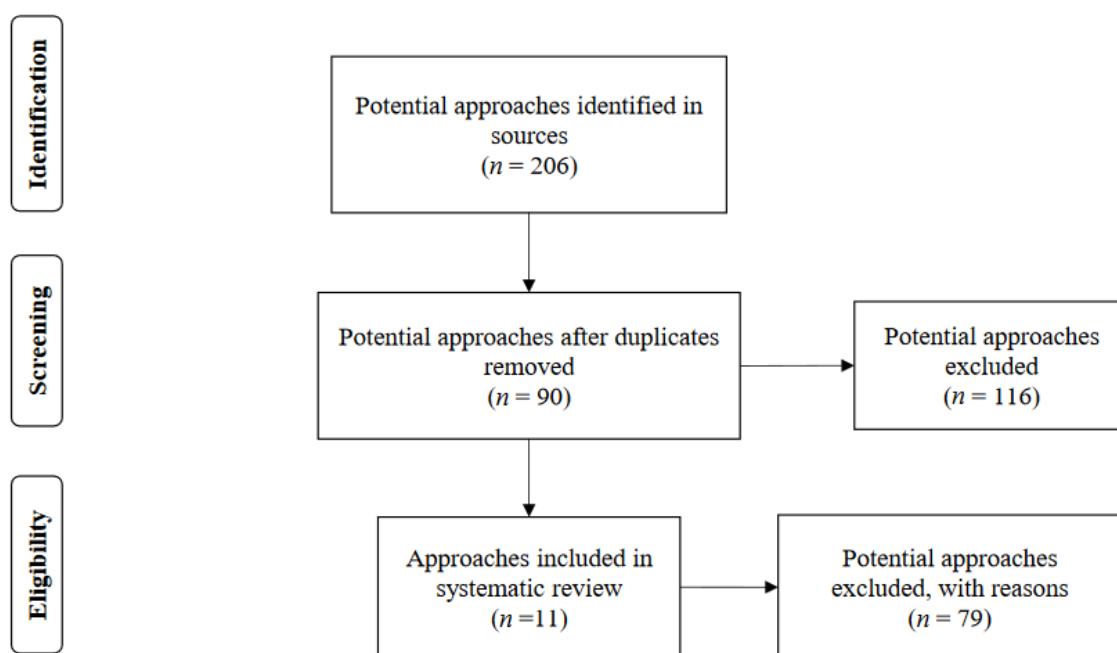
Figure 1. Modified PRISMA Flow Diagram for the Identification, Screening, Eligibility, and Inclusion of Approaches.

Reasons for the exclusion of 80 records included: approach not included in more than three textbooks or scholarly documents (n = 65); data collection methods rather than approaches (n = 4); cited 1% or less of total citations across 10 years in Google Scholar (n = 12); cited less than 1% in 2020—approach selected for inclusion after initial exclusion (n = -1). I removed two approaches (objectives-based and responsive other than CRE) because I could not identify a

primary representative to interview in phase IV member check for the phase I analysis. This initial

analysis resulted in $N = 8$.

I later extender the initial analysis based on re-consideration of excluded but well-known

recent approaches such as feminist and indigenous evaluation approaches. I conducted a re-

analysis by reconsidering excluded approaches from the initial listing based on 2020 percentages

of Google research results to weight approaches with recent histories. Feminist, and indigenous

evaluation only had two or three mentions in analyzed documents or textbooks. I re-analyzed all

approaches with two or three mentions (the original cut score). On these approaches, I did

Google searches and calculated the cites of the approaches as a percentage of the cites in 2020. I

included approaches with a percentage of over 1%. (See Appendix A). I also reviewed

documents for understanding and as a result I combined some approaches initially identified as

unique – this led to the assignment of approaches to different "columns" in the worksheet. As a

result of these extended analysis, I returned three approaches (transformative, indigenous, and

feminist) initially not included to the list of included approaches, producing the final list of the

program evaluation approaches included in the study ($N = 11$). (See Table 2).

<div style="text-align:center">Phase II – Identification of Artifacts for Selected Approaches</div>

I initially identified artifacts for each approach from citations and the reference lists in the

textbooks and documents used to identify select approaches included in the study. I also

extracted the name(s) of the primary scholar(s) contributing to each approach. I recorded the

names of the primary scholars and the citations for the artifacts on the data extraction form. I

then conducted citation searches on the artifact initial citations to identify: (1) the earliest or

seminal artifact, (2) the most frequently cited artifacts, and (3) the most recent artifact. I

Table 2

Sample: Program Evaluation Approaches Included

General Category	Closely Related Approaches	Primary Authors, Advocates, and/or Practitioners
Context, Input, Process, Product (CIPP)		Stufflebeam
Culturally-Responsive Evaluation (CRE)		Hobson, Hood, Kirkhart
Developmental Evaluation (DE)		Patton
Empowerment Evaluation (EE)		Fetterman
Feminist Evaluation		Seigart, Mertens
Goal-Free Evaluation		Scriven
Indigenous Evaluation		Cram
Practical Participatory Evaluation (PE)	Collaborative Evaluation	
Theory-Driven Evaluation	Theory-Based Evaluation (TBE)	Chen, Donaldson
Transformative Evaluation		Mertens
Utilization-Focused Evaluation (UFE)		Patton

conducted citation searches of sources and citations based on Google Scholar searches using

Harzing's Publish or Perish (Windows GUI Edition) 8.4.4041.8250. I screened the artifacts to

include only those authored or co-authored by or with the primary scholars. I included artifacts in

the study if they provided information related to the research questions.

During stage II I identified additional artifacts as a reviewed the primary source

documents through following citations. I did not code all of those documents, although many of

them were useful in understanding approaches. Appendix B contains the lists of primary coded

sources and the secondary but not coded sources for each approach.

Instrumentation

I used a data extraction form to record information about the textbooks, documents, and

approach artifacts. Information extracted included, but was not limited to, citation and other

descriptive information (e.g., author, year of publication). I also collected and recorded e-mail

addresses for the authors of the artifacts to construct a sampling frame for phase IV.

Procedures

I retrieved the scholarly and non-scholarly artifacts (e.g., books, book chapters, journal

articles, white papers) related to the selected program evaluation approaches from online, digital,

or hard-copy primary sources available in English. I stored the artifacts and text conversions on a

local hard drive, a local memory card, and in cloud storage.

Phase III – Primary Source Document Analysis

Data Processing and Analysis

I downloaded as, or converted to PDF, scholarly and non-scholarly artifacts (e.g., books,

book chapters, journal articles, white papers) related to the selected program evaluation

approaches. I imported these files into MAXQDA Plus (Release 22.7.0) for analysis. I coded

both inductively and deductively. The initial, deductive coding structure reflected the research

questions. I coded seven features for each approach: the four parameters of working logic

(phenomena type, problem type, question type, and claim type) derived from Fournier (1995);

and the three philosophical assumptions (ontology, epistemology, and axiology) derived from

Mertens and Wilson (2019). This was the initial version of the feature profile.

I expanded each of the seven primary codes to include specific sub-codes and related comments derived from Fournier (1995), from Mertens and Wilson (2019), and from other scholarly sources related to the primary codes and to subcodes. The code comments contained longer explanations of the code and/or quotes from sources that explained and/or gave examples of the code. I built the coding structure into a MAXQDA Approach Analysis Template. I used this structure as a coding guide which is presented in its final version as a coding guidebook in Appendix C.

Prior to detailed coding, I carefully read each document through completely at least once. If I found content that could be responsive to the research questions, I highlighted in yellow for later detailed analysis and coding during the following read throughs. I conducted multiple rounds of coding for each approach including coding for meaning, categorization, and for content responsive to the research questions until a final, detailed coding structure emerged at the conclusion of the coding of all approaches. I also identified and coded document segments based on MAXQDA searches of primary source documents for concepts and terms and related to the initial deductively created codes and to the later inductively created codes and sub-codes.

The term searches applied MAXQDA's lemma list, so results included not only instances of the term but also other forms of the term and other terms conceptually related. For example, the results of a search on the term "better" included instances of the terms "good," "best," and "well." I examined every search result and coded the instances on based their relevance to the research questions. For example, sometimes the terms in the search results had completely different meanings of the term, for example, the term "well" can be used in the value context or as an interjection as in "Well, that is not what I think."

As I created additional codes during the rounds of coding through the approach analyses, I added them to the coding guide along with comments containing explanations and/or quotes and also added them to the generic MAXQDA Approach Analysis Template. (See Appendix C). I kept an audit trail of updated research ideas, codes, themes, and decisions through incremental backups of the research tools and date stamps of documents added and cited though Zotero citation software (version 6.0.21).

For each approach, I analyzed the coded data to answer each of the research questions. I documented those in answers in the form of an approach analysis (See Appendix D). In some analyses there were multiple terms and concepts that could be responsive to the questions, and in those cases I determined the answer based on a comparison of the number of segments coded to the different terms and concepts. The reports include the number of segments coded to the answer to the research questions. In other analyses, only one coded segment was responsive to the question and the report presents that answer. In a few other analyses, there were no segments directly responsive to the research question, so I inferred and reported an answer based on coded segments that were responsive to other related questions. The reports include the answers to the questions and exemplar cited segments that support the answer.

As I reviewed the primary source documents, I also captured direct quotes which stated or suggested the motivation for the development of the approaches in terms of what the approach did that improved or expanded on other approaches.

Phase IV – Member Check Interviews

Overview

In phase IV, I conducted semi-structured interviews with scholars, practitioners, and

advocates associated with each of the selected program evaluation approaches.

Sample

Scholars, practitioners, and advocates associated with artifacts used in phase II for each of the selected program evaluation approaches served as the sampling frame for phase III.

Instrumentation

I used a semi-structured interview protocol to elicit reactions to my analysis of about each program evaluation approach's representation using Fournier's (1995) four parameters of the working logic of evaluation (phenomenon type, problem type, and claim type) and the philosophical orientations (e.g., ontology, epistemology, axiology). The interview questions probed for corrections and additions to the general description, the characterization in terms of Fournier's four parameters, and the characterization of the philosophical assumptions or assumptions of the approach. (See Appendix D)

Procedures

I contacted scholars, practitioners, and advocates associated with each of the selected program evaluation approaches via e-mail to solicit their participation in a semi-structured interview.

I sent a follow-up e-mail to non-respondents one week later. The e-mail message informed potential interviewees of the purpose and nature of the investigation, that the interview would last approximately 60-90 minutes, and that they would receive a copy of the results of phase I related to the program evaluation approach with which they were associated to review prior to the interview.

I scheduled the interviews through e-mail communication and conducted the interviews

virtually using Zoom using live transcription and audio/video recording. I also audio recorded

the interviews using the cell phone app Voice Recorder Pro by TapMedia. I stored the recordings

and transcripts on a password-protected, encrypted device backed up on a local memory card and

on the cloud. Upon completion of an interview, I updated the transcriptions of the interviews by

comparing the transcripts to the audio recordings. I retained the original transcripts, but I created

updated copies of the transcripts by editing to remove interjections such as "um" and "you

know" and to remove word repetitions. I used symbols to clarify the flow of the interview. For

example, I used ellipses to clarify the transcription by identifying comments split by interjections

from the interviewee or interviewer. I used hyphens to indicate breaks in thought resulting in an

incomplete statement. I indicated words that could not be transcribed with a symbolic code

"???." I sent an e-mail with the transcript to each participant for member checking so that they

could correct or further elaborate on any responses provided during their interview. I stored

transcripts and research decision logs on a password-protected, encrypted device, on a local

memory card, and backed them up to the cloud.

Data Processing and Analysis

I saved updated interview transcripts as text files. I compared the interview transcripts to

the results of the analysis of the primary source documents for each of the seven features and

captured the similarities and differences revealed in the analysis of the interview transcripts.

Phase V - Synthesis of Phase III and Phase IV Results.

Overview

To synthesize the phase III and phase IV results, I read and compared and contrasted the

approach documentation analysis based on the primary source analysis with the transcriptions of

the semi-structured interviews with scholars, practitioners, and advocates associated with each of the selected program evaluation approaches. The purpose of the interviews was to confirm or inform the identification of the features in phase III.

Sample

I included the evaluation approaches included in the sample selection process for the study and the scholars, practitioners, and/or advocates associated with each of the selected program evaluation approaches served as the sampling frame for the synthesis.

Instrumentation

I used the approach analyses documentation of the phase III primary source analyses and the updated transcripts of the interviews from phase IV as the instrumentation for the synthesis of the results.

Procedures

I read and compared and contrasted the approach analysis with the updated interview transcripts.

Data Processing and Analysis

I compared the results from the analysis of the primary resource documents from phase III and the member check interview transcripts from phase IV for each approach and identified alignments and discrepancies between them. I generated a synthesis for each of the seven features for each approach in one of three ways:

1) Where the interview transcript reflected an agreement with the approach analysis based on the source documents, I adopted that agreement as the synthesis.

2) If the interview transcript showed a discrepancy between the approach analysis of the source document, I resolved those discrepancies in favor of the scholars, practitioners, or advocates and identified the synthesized results based on statements, terms, and concepts from the interview transcripts.

3) When I identified no clear discrepancies between the results of the analysis of the primary source documents and the interview transcripts, but the interview transcripts did add significant terms or details, I updated the phase III results by including and integrating those terms and/or details and I identified those updated results as the synthesized results.

I combined the seven features into a table to present the feature profiles for each approach.

Phase VI - Analysis of Reflection from Philosophical Assumptions to Parameters

Overview

To identify reflections from philosophical assumptions to working logic parameters, I looked for patterns where similar philosophical assumptions were associated with similar parameter types across different evaluation approaches.

Sample

I included the synthesized results of the working logic parameters and of the philosophical assumptions from phase V.

Instrumentation

I created a matrix of the results of phase V (See Appendix E). The rows of the matrix are the 11 selected contemporary evaluation approaches, and the columns are the seven features of

the approaches: the four parameters of the working logics and three philosophical assumptions. The contents of the cells in the matrix contain the synthesized results from phase V for each feature for each approach.

Procedures

I initially defined parameter types by starting from Fournier's (1995) description and examples of the parameters as she applied them to four evaluation approaches. I did not expect the parameter types for the selected approaches to match Fournier's (1995) examples, in part because she proposed that evaluation approaches could be characterized by the parameter types. As a result, I expected to and did create new and unique parameter types during both phases III and IV (the analysis of the primary source documents and of the member check interviews) of the analysis, and I attempted to create simple phrasing to match the style of her examples of parameter types. I was able to do so in some instances of the analysis of the primary source documents and in the member check interview responses, but in other instances I had to define the parameters by using more detailed, nuanced, and lengthy phrasings.

I later recognized that while the detailed, nuanced, and lengthy phrasings are important to the creating a detailed and unique descriptive feature profile for each evaluation approach, the resulting parameter types and philosophical assumptions were so unique that they would prohibit an analysis of the reflection of the philosophical assumptions to answer research question 1c.

To improve the analysis of the reflection of philosophical assumptions in the parameter types, I had to create broader units of data for both the parameters and the philosophical assumptions. To create broader units of data, I identified similarities among the unique parameters and the unique philosophical assumptions that I could use to remove the nuances and to broader units of data that I named "clusters" of the synthesized parameter types. I use the term

"type" as equivalent to "cluster" throughout this document.

Data Processing and Analysis

I analyzed the results matrix by searching for patterns in the occurrence of clusters of philosophical assumptions across clusters of parameter types. I searched for patterns by filtering on each cluster of philosophical assumptions and reviewing each cluster of parameters across all the approaches with similar assumptions. I identified a pattern if a cluster of parameters of the working logics aligned with a cluster of philosophical assumptions of the evaluation approaches.

Methods Summary

In phase III through phase V, I used primary source analysis and member check interviews and synthesized the analysis results and the interview responses to answer research question 1a, "What are the characteristics of contemporary program evaluation approaches as described by Fournier's (1995) four parameters of the working logic of evaluation?" and question 1b. "What are the philosophical ontological, epistemological, and axiological assumptions of contemporary program evaluation approaches?" In phase VI I looked for patterns of connections between philosophical assumptions and parameter types to answer research question 1c., "In what ways do Fournier's (1995) four parameters of the working logic of evaluation reflect philosophical ontological, epistemological, and axiological assumptions of contemporary program evaluation approaches?"

I used the results of all the stages combined to answer the primary research question, "What are the similarities and differences between contemporary program evaluation approaches as described by Fournier's (1995) four parameters of their working logic and their philosophical ontological, epistemological, and axiological assumptions?"

Chapter IV reports how the results of the methods answer the research questions.

CHAPTER IV

RESULTS

Overview

This chapter presents the data and analysis for the primary question researched in this

study: What are the similarities and differences between contemporary program evaluation

approaches as described by Fournier's (1995) four parameters of their working logic of

evaluation and their philosophical assumptions?

The Structure of the Results Section

I first present the results for phases III through V that answer research questions 1a and

1b about the parameters of the working logic and the philosophical assumptions for each

individual evaluation approach. The combination of these two sets of features is the feature

profile for each approach.

I then present the results from phase VI that answer research question 1c about the

reflections from the philosophical assumptions to the parameters of the working logics across all

of the approaches.

Introduction to the Results from Phases I through III

In the following sections I report, compare, and synthesize the results of the analysis of

the primary sources documents and the member check interviews for each approach. Prior to the

readout of the definition of the features in the feature profile and the data informing those

definition, I provide information about the sources I used to gather the data by listing the primary source document(s) analyzed and the name of the interviewee for the member check interviews in phase IV. I use direct quotes from the primary source documents which suggest the motivations for development of the approach in the words of the representatives of the approach. While this was not a research question, it suggests an important question about why the approaches differ in their parameters and may reflect different philosophical assumptions I revisit this question briefly and suggest it as a consideration for future research in Chapter V. The summary result for each approach is its feature profile presented in table form.

Context, Input, Process, Product (CIPP) Evaluation Approach

Primary Source Document

Stufflebeam, D. L., & Zhang, G. (2017). *The CIPP evaluation model: How to evaluate for improvement and accountability*. The Guilford Press.

Member Check Interviewee and Selection Criteria

Guili Zhang, Ph.D. selected as available co-author of primary sources document.

Approach Description and Comparisons to Other Approaches

The CIPP model combines four types of evaluation that consider the evaluand's context, inputs, process, and products (the initial letters of the four types form the acronym CIPP usually used as the name of the model).

Basically, the CIPP Model provides for systematic, principled evaluation of a program's context, inputs, process, and products. Essentially, these four types of evaluation address four fundamental questions:
1. What needs to be done?
2. How should it be done?
3. Is it being done?
4. Did it succeed? (Stufflebeam & Zhang, 2017, p. 21)

The CIPP model attempted to improve on earlier models and approaches by investigating not only the evaluand, but the structural and logical environment of the evaluand.

> The model's development originally was undertaken because the existing evaluation approaches of objectives-based evaluation, standardized testing, and experimental design had proved inadequate to meet the evaluation needs of the 1960s-and 1970s-era War on Poverty projects that were aimed at reforming the United States' public schools. In that context, the objective for developing the CIPP Model was to provide educational organizations and government agencies with a credible, practical approach that would meet educators' needs for program improvement-oriented evaluation and the government funding agencies' needs for credible public account-ability reports. (Stufflebeam & Zhang, 2017, p. 20)

CIPP Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type of the working logic as "a program defined as a set of goals and outcomes associated with meeting needs related to values identified by stakeholders." This includes three of the four examples provided by Fournier (1995). I coded these three terms "outcomes," "needs," and "values;" to the largest number of segments (54) in the primary source document, of which 31 are related to the term "beneficiaries." The other occurrences of the other terms were primarily connected to needs. The following coded segment links three of the terms together in discussing the product evaluation which is one of the four types of evaluation included in a CIPP evaluation. The following segment is an example of data I coded that informed the analysis:

> The purpose of a product evaluation is to measure, interpret, and judge an enterprise's outcomes. Its main objectives are to ascertain the extent to which the evaluand met the *needs* [emphasis added] of all the rightful beneficiaries and to assess the extent to which project *goals* [emphasis added] were achieved. Feedback about *outcomes* [emphasis added] is important both during an activity cycle and at its conclusion. (Stufflebeam & Zhang, 2017, p. 50)

> These 3 terms (needs, goals, and outcomes) are also identified as present in interim

reports. The following segment is an example of data I coded that informed the analysis:

> Evaluators may submit interim reports during each program cycle. These reports should show the extent to which the intervention is addressing and meeting targeted *needs* [emphasis added] and achieving project *goals* [emphasis added]. End-of-cycle reports may sum up the results achieved. Such reports should interpret the results in light of assessed needs, costs incurred, and the extent to which the plan was successfully carried out. Evaluators may also submit follow-up reports to assess long-term *outcomes* [emphasis added]. (Stufflebeam & Zhang, 2017, p. 50)

Interview Analysis

The interviewee emphasized that the phenomena could be other than a program and the phenomenon results in a product. The following response informed the analysis:

> We are talking about … "programs." I can see that we can also think of the phenomenon type as program, projects, entities, organizations … sometimes we evaluate … the entire organization, not just the program or project for our intervention. We can evaluate a college or education. … the personnel of this organization, or … a variety of things. … Product is the word for (last 'P' in) CIPP ... so I think you need to somehow incorporate (that). (G. Zhang, personal communication, February 3, 2023)

Comparison and Synthesis

The interviewee agreed that the phenomena is "a set of goals and outcomes associated with meeting needs related to values identified by stakeholders" but added insights. The interviewee emphasized 1) that the phenomena could be other than a program and 2) that the phenomenon results in a product. I integrated those insights into a synthesized phenomenon type of "an evaluand identified with a set of products associated with meeting needs related to values identified by stakeholders."

CIPP Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type of

the working logic as "extent of performance." Although CIPP evaluates four factors of a

program, the final summative result is performance or success. The following segments are

examples of data I coded that informed the analysis:

> Basically, the CIPP Model provides for systematic, principled evaluation of a
> program's context, inputs, process, and products. Essentially, these four types of
> evaluation address four fundamental questions:
>   1. What needs to be done?
>   2. How should it be done?
>   3. Is it being done?
>   4. Did it succeed? (Stufflebeam & Zhang, 2017, p. 21)

> A summative evaluation is a comprehensive evaluation of a program after it has
> been completed. It draws together and supplements previous evaluative
> information to provide an overall judgment of the program's value. Such
> evaluations help interested audiences decide whether a program—refined through
> development and formative evaluation—achieved its goals, met targeted needs,
> made a significant contribution, is devoid of bad outcomes, and is worth what it
> cost. (Stufflebeam & Zhang, 2017, p. 24)

Interview Analysis

The interviewee agreed that the problem was that something needed to be improved. The

following response informed the analysis. "There's an identified area for improvement. There's a

deficiency or something can be included ... so there is a need" (G. Zhang, personal

communication, February 3, 2023).

Comparison and Synthesis

The interviewee agreed that the problem type is "extent of performance" which was

expressed as whether it met a need for improvement. Therefore, I adopted that as the final

synthesized version.

CIPP Evaluation Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type of

the working logic as "questions about whether the evaluand is effective or less effective in

producing desired outcomes." The following segment is an example of data I coded that

informed the analysis:

> At the program's end, product evaluations identify and assess the program's full
> range of outcomes, anticipated as well as unanticipated, positive as well as
> negative. Ultimately, a retrospective product evaluation helps the client and the
> broader group of users to gauge the effort's cost-effectiveness in achieving goals,
> meeting beneficiaries' targeted needs, and, in many cases, producing unexpected
> benefits and sometimes producing bad outcomes. The key questions addressed
> are:
>> Did the program achieve its goals?
>> Did it successfully address the targeted needs and problems?
>> What were the unexpected outcomes, both positive and negative?
>> Were the program's outcomes worth their costs?
> In summing up long-term evaluations, the product evaluation (Did it succeed?)
> component may be further divided into four subparts of assessments: reach to the
> targeted communities or groups of beneficiaries; effectiveness; sustainability; and
> transportability. (Stufflebeam & Zhang, 2017, pp. 23-24)

Interview Analysis

The interviewee agreed that the "final" question is about whether the evaluand is

effective or less effective in producing desired outcomes but emphasized that it could lead to

another cycle beginning with a context interview. The following response informed the analysis:

> Well then, CIPP model goes in cycles. Even after you finish your last step you can
> do another context evaluation to see the problem is still there. Is there still need
> for improvement? If so, we do it over again, you know, context evaluation …
> what can we do to improve it? (G. Zhang, personal communication, February 3,
> 2023)

Comparison and synthesis

The interviewee agreed that the question type is "questions about whether the evaluand is effective or less effective in producing desired outcomes." Therefore, I adopted that as the final synthesized version.

CIPP Evaluation Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as "performance value claims." The following segment is an example of data I coded that informed the analysis:

> The purpose of a product evaluation is to measure, interpret, and judge an enterprise's outcomes. Its main objectives are to ascertain the extent to which the evaluand met the needs of all the rightful beneficiaries and to assess the extent to which project goals were achieved. (Stufflebeam & Zhang, 2017, p. 50)

Interview Analysis

The interviewee agreed that the outcome is primarily the focus of the claim but suggested that other details about the outcome such as the value of the enterprise, sustainability, transportability can also be part of the claim. The following response informed the analysis:

> Well, I think the way you described that part of the outcome name so that's mainly about the outcome mainly. We also talk about the judgment about the value of the enterprise. Also included its sustainability, transportability, those kind of things that can also be part of the claim type besides the outcome. (G. Zhang, personal communication, February 3, 2023)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the

claim type of the working logic is "performance value claims" but added substantial insights. The interviewee recommended that the claim type should also include other details such as the value of the enterprise and the sustainability and transportability of the outcome. I integrated those insights into a synthesized claim type of "performance value claims including issues such as value of the enterprise and the sustainability and transportability of the outcomes."

CIPP Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as "objectivist." The objectivist assumption is presupposed by the objectivist epistemological assumption of the approach stated within the primary source. The following segment is an example of data I coded that informed the analysis: "The model calls for interpreting findings in terms of an objectivist rather than relativist epistemology. In this respect, evaluators are advised to seek conclusions that are beyond a reasonable doubt" (Stufflebeam & Zhang, 2017, p. 21).

The connection to the ontological assumption is described by Ratner (2008):

Objectivism is the notion that an objective reality exists and can be increasingly known through the accumulation of more complete information. Objectivism is thus an ontology (the world exists, is real), and an epistemology (knowledge can increasingly approximate the real nature, or quality, of its object—i.e., knowledge can become increasingly objective). Objectivist epistemology presupposes an objectivist ontology—to objectively know the world, there must be a real objective, definite world. (p. 2)

Interview Analysis

The interviewee agreed that the ontological assumption is "objectivist."

Comparison and Synthesis

The interviewee agreed that the ontological assumption is "objectivist," therefore, I adopted that as the final synthesized version.

CIPP Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as "objectivist." The following segment is an example of data I coded that informed the analysis. "The model calls for interpreting findings in terms of an objectivist rather than relativist epistemology. In this respect, evaluators are advised to seek conclusions that are beyond a reasonable doubt" (Stufflebeam & Zhang, 2017, p. 21).

Interview Analysis

The interviewee agreed that the epistemological assumption is "objectivist."

Comparison and Synthesis

The interview agreed that the epistemological assumption is "objectivist." Therefore, I adopted that as the final synthesized version.

CIPP Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological assumption as a "*framework* [emphasis added] of appropriate values" (Stufflebeam & Zhang, 2017, p. 52). This framework is created taking into account "a set of pertinent societal,

institutional, program, and professional and technical values when assessing programs or other entities" (Stufflebeam & Zhang, 2017, p. 40). The following segments are examples of data I coded that informed the analysis:

> Judging the program's success by comparing its outcomes and side effects with targeted needs and stated goals, examining its cost-effectiveness, and, as feasible, contrasting its costs and outcomes with competitive programs; also interpreting results against the effort's outlay of resources and the extent to which the operational plan was both sound and effectively executed. (Stufflebeam & Zhang, 2017, p. 28)

The axiological assumption also includes a focus on stakeholder values. "The CIPP Model calls for the evaluator and client, using appropriate inputs from stakeholders, to identify and clarify the values that will undergird particular evaluations" (Stufflebeam & Zhang, 2017, p. 39).

There is also a primary orientation toward utility based on whether or not the evaluation results are used in a way that improves the program. The following segment is an example of data I coded that informed the analysis:

> The model's primary orientation is to foster and assist program improvement through continuous, proactive, decision-oriented assessments. The model is also designed to meet a program's needs for accountability. Regarding program accountability, the final report should be compiled to help the evaluation's audience understand why and how the program was conducted, what it cost, what it accomplished, what side effects it may have produced, whether its successes are likely to be sustained, and whether it shows promise for dissemination to and effective utilization in other settings. (Stufflebeam & Zhang, 2017, p. 21)

Interview Analysis

The interviewee agreed that the axiological assumption is "a framework of appropriate values."

Comparison and Synthesis

The interviewee agreed that the axiological assumption is "a framework of appropriate values." Therefore, I adopted that as the final synthesized version.

CIPP Evaluation Approach Feature Profile

Table 3 presents the feature profile for the CIPP evaluation approach.

Table 3
CIPP Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	An evaluand identified with a set of products associated with meeting needs related to values identified by stakeholders
Problem type	Extent of performance
Question type	Questions about whether the evaluand is effective or less effective in producing desired outcomes
Claim type	Performance value claims including other issues such as value of the enterprise, sustainability, and transportability
Ontological assumption	Objectivist
Epistemological assumptions	Objectivist
Axiological assumption	A framework of appropriate values

Culturally-Responsive Evaluation (CRE) Approach

Primary Source Documents

Hood, S., Hopson, R. K., & Kirkhart, K. E. (2015). Culturally responsive evaluation. In K., Newcomer, H. Hatry, & J. Wholey, *Handbook of practical program evaluation*. John Wiley & Sons, Incorporated.

Frazier-Anderson, P., Hood, S., & Hopson, R. K. (2012). Preliminary considerations of an African American culturally responsive evaluation system. In S. D. Lapan, M. T. Quartaroli, & F. J. Riemer (Eds.), *Qualitative research: An introduction to*

methods and designs. Jossey-Bass.

Member Check Interviewee and Selection Criteria

Katrina L. Bledsoe, Ph.D. selected by recommendation of co-author of primary source document.

Approach Description and Comparisons to Other Approaches

Culture is a cumulative body of learned and shared behavior, values, customs, and beliefs common to a particular group or society. In essence, culture makes us who we are.

> In doing project evaluation, it is also important to consider the cultural context in which the project operates and be responsive to it. How can an evaluation be culturally responsive? An evaluation is culturally responsive if it fully takes into account the culture of the program that is being evaluated. In other words, the evaluation is based on an examination of impacts through lenses in which the culture of the participants is considered an important factor, thus rejecting the notion that assessments must be objective and culture free, if they are to be unbiased.
> Moreover, a culturally responsive evaluation attempts to fully describe and explain the context of the program or project being evaluated. Culturally responsive evaluators honor the cultural context in which an evaluation takes place by bringing needed, shared life experience and understandings to the evaluation tasks at hand. (Frierson et al., 2002, p. 63)

CRE Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type as "pluralistic." Clarke (1999) explains pluralist evaluation as aware of and sensitive to multiple perspectives.

> Within any programme context there will be various groups representing different institutional, professional and ideological perspectives. One approach to evaluation research that readily acknowledges this situation as a potential source of conflict, and lays considerable emphasis upon the importance of eliciting the views of programme planners, providers and participants, is 'pluralistic

evaluation' (Smith and Cantley, 1985). (p. 15)

Gunton et al. (2022) identify the 3-dimensions of pluralistic evaluation as stakeholder classes, system processes, and aspects of valuing, which are "then synthesised to draw conclusions" (p. 8).

Hood et al. (2015) view the evaluand or phenomenon as pluralistic in terms of purpose and aspirations of various stakeholders and the questions about the evaluation that reflect differences in how the evaluation is viewed. The following segment is an example of data I coded that informed the analysis:

> But appreciating the *purpose(s)* [emphasis added] of CRE goes beyond specifying the evaluand. Is this evaluation required by funders to demonstrate accountability? Is it called for by a local citizens' group? Is it part of routine oversight or is it intended to clarify and troubleshoot an apparent problem? Is continuation, expansion, or reduction of program funding contingent upon conducting this evaluation or upon the content of the results? Is it intended to stimulate change and promote social justice? Because a given evaluation may have more than one purpose and not all *purposes* [emphasis added] are overtly stated, evaluators must take time to understand different *aspirations* [emphasis added] for the evaluation and how it could benefit the program and community. CRE evaluators in particular must be attuned to how the avowed *purposes* [emphasis added] of the evaluation maintain or challenge current (im)balances of power and how social justice is served by the envisioned evaluation. (Hood et al., 2015, p. 292)

CRE concentrates on the cultural roots of the evaluation context as a primary source of the different perspective on the evaluand and the evaluation. The following segment is an example of data I coded that informed the analysis:

> Thus, "an evaluation is culturally responsive if it fully takes into account the culture of the program that is being evaluated" (Frierson et al., 2002, p. 63) as well as "the needs and cultural parameters of those who are being served relative to the implementation of a program and its outcomes" (Hood and Hall, 2004, cited in Hood, 2014, p. 114). CRE gives particular attention to groups that have been historically marginalized, seeking to bring balance and equity into the evaluation process. (Hood et al., 2015, p. 283)

The following segment specifically addresses the evaluation questions, but reflects the

focus on the culture:

> For contexts in which direct questions are *culturally* [emphasis added] inappropriate, this stage identifies what it is that stakeholders seek to learn about the program or community (LaFrance and Nichols, 2009) … CRE is particularly attentive to the perspectives of program recipients and community in framing the questions (for example, Is the program operating in ways that respect local *culture* [emphasis added]? How well is the program connecting with the values, lifestyles, and worldviews of its intended consumers? How are the burdens and benefits of the program distributed?). (Hood et al., 2015, p. 292)

Interview Analysis

The interviewee agreed that the phenomenon type is pluralistic, which really means it could depend on a lot of things. The following response informed the analysis:

> I think you're spot on. I mean … that's the biggest thing about culture … Rodney Hobson … goes a little bit further … and talks about the issues of decolonization, issues of race and trying to address the issues of race and then also issues of advocacy within that space, but that really, I think that grounds a lot of that. But I think that again, the assumption is it coalesces around culture. So, I think I think you're spot on. (K. Bledsoe, personal communication, August 16, 2023)

Comparison and Synthesis

The interviewee agreed that the phenomenon type is "pluralistic." Therefore, I adopted that as the final synthesized version.

CRE Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type as "pluralistic and could be any of Fournier's (1993) example types: extent of performance, causal efficacy, and or perception of qualities." The following segment is an example of data I coded that informed the analysis. Hood et al. (2015) state the problem type in terms of the purposes of

the evaluation:

> Appreciating the purpose(s) of CRE goes beyond specifying the evaluand. Is this evaluation required by funders to demonstrate accountability? Is it called for by a local citizens' group? Is it part of routine oversight or is it intended to clarify and troubleshoot an apparent problem? Is continuation, expansion, or reduction of program funding contingent upon conducting this evaluation or upon the content of the results? Is it intended to stimulate change and promote social justice? (p. 292)

Interview Analysis

The interviewee agreed that the problem is "pluralistic," which really means it could depend on a lot of things but emphasized that the problem being addressed is responsive to the landscape of the evaluand. The following response informed the analysis:

> I would say CRE is open to all of those. And again, I mean, it is focused – I should add this part because I think everybody talks about the culture piece, but within CRE is also the context piece. That responding to the landscape, responding to the assumptions that might be made in a particular situation. So with that response–as well as the culture, which also actually all fits together. So it makes sense that it would respond to any of those. Because it because it recognizes that every situation every culture, every landscape is unique and it's different. There may be some overlap at some point but there's the belief that every situation is a unique situation and you and you have to be, again, responsive to that culture context and all that. (K. Bledsoe, personal communication, August 16, 2023)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the problem type of the working logic is "pluralistic" but added substantial insights. The interviewee recommended that the problem type should also include the idea that the problem type is also responsive to the landscape. I integrated that insight into a synthesized problem type of "pluralistic and responsive to the landscape."

CRE Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type as "pluralistic." Depending on the perspective of the evaluator or stakeholder, the question type could be any of those given as examples by Fournier (1993). The following segment includes content in the forms of questions, but there are various purposes that would be the source of evaluative questions:

> Is this evaluation required by funders to demonstrate accountability? Is it called for by a local citizens' group? Is it part of routine oversight or is it intended to clarify and troubleshoot an apparent problem? Is continuation, expansion, or reduction of program funding contingent upon conducting this evaluation or upon the content of the results? Is it intended to stimulate change and promote social justice? (Hood et al., 2015, p. 292)

Interview Analysis

The interviewee agreed that the question type is "pluralistic" but again focused on responsiveness to the landscape. The following response informed the analysis:

> I always say culture and context because you've got culture and context. You've got culture, which are the norms and the mores, but those change over time as well. So that's not static, it's dynamic. And then you've got the context, which also changes over time. And so you're always trying to be responsive to both of those but culture like frames that responsiveness as does context. (K. Bledsoe, personal communication, August 16, 2023)

Comparison and Synthesis

The interviewee agreed with "pluralistic" but added responsiveness to the landscape. I integrated that insight into a synthesized question type of "pluralistic and responsive to the landscape."

CRE Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as "pluralistic." Depending on the perspective of the evaluator or stakeholder, the claim type could be any of those given as examples by Fournier (1993). The following segment includes content in the forms of questions to be answered by evaluative claims, but there are various purposes that would be the source of evaluative questions:

> Is this evaluation required by funders to demonstrate accountability? Is it called for by a local citizens' group? Is it part of routine oversight or is it intended to clarify and troubleshoot an apparent problem? Is continuation, expansion, or reduction of program funding contingent upon conducting this evaluation or upon the content of the results? Is it intended to stimulate change and promote social justice? (Hood et al., 2015, p. 292)

Interview Analysis

The interviewee agreed that the claim type is "pluralistic" but again focused on the responsiveness to the landscape. The following response informed the analysis:

> I always say culture and context because you've got culture and context. You've got culture, which are the norms and the mores, but those change over time as well. So that's not static, it's dynamic. And then you've got the context, which also changes over time. And so you're always trying to be responsive to both of those but culture like frames that responsiveness as does context. (K. Bledsoe, personal communication, August 16, 2023)

Comparison and Synthesis

The interviewee agreed with "pluralistic" but added substantial insights. The interviewee added focus on responsiveness to the landscape. I integrated that insight into a synthesized claim type of "pluralistic and responsive to the landscape."

CRE Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as "pragmatist." A pragmatist ontology focuses on what works for a given context. Weaver explains:

> In terms of ontology and epistemology, pragmatism is not committed to any single system of philosophy and reality. Reality is actively created as individuals act in the world, and it is thus ever changing, based on human experience, and oriented toward solving practical problems. Truth is what works at the time and not based on dualism between reality independent of the mind (as with postpositivism and critical paradigms) and within the mind (as with constructivist and deconstructivist paradigms). (Weaver, 2018, p. 3)

The following segment is an example of data I coded that informed the analysis. Frazier-Anderson et al. (2012) describe CRE in this way:

> Finally, CRE identifies "what works, for what groups and in what context" (Johnson, 2005, p. 229). Thus comprehensive contextual evaluations like those advocated by CRE lead to better identification of what programs or what components of programs are effective in improving outcomes for what groups of African Americans and under what circumstances. Therefore CRE is a tool of empowerment because it supports social justice themes: there is the potential to better define what aspects of programs and services lead to increased opportunities and benefits for African Americans as a whole as well as for subgroups within this population. (Chapter 14)

Interview Analysis

The interviewee agreed that the ontological assumption is "pragmatist." The following response informed the analysis: "I remember looking at that and … I thought pragmatism as well" (K. Bledsoe, personal communication, August 16, 2023).

Comparison and Synthesis

The interviewee agreed that the ontological assumption is "pragmatist." Therefore, I

adopted that as the final synthesized version.

CRE Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological

assumption as "subjectivist." Foley (2006) explains subjectivist epistemology:

> If an account implies that the standards one must meet if one's beliefs are to be
> rational are those that one would regard as intellectually defensible were one to be
> ideally reflective (Foley 1987, 1993), then the account is subjective. Similarly, an
> account is subjective if it implies that one's beliefs are rational if they meet the
> standards of one's community (Rorty 1979) or the standards of the recognized
> experts in one's community (Stich 1985). (p. 290)

Recognizing the cultural sources of epistemology is a core characteristic of CRE. The

following segment is an example of data I coded that informed the analysis:

> Considers culture of the project or program as well as culture of participants
> Rejects "culture free" evaluation
> Proposes evaluation strategies consonant with cultural context
> Racial/ethnic congruence of evaluators with setting does not equate to cultural
> congruence or competence
> Addresses the epistemology of what will be accepted as evidence. (Hood et al.,
> 2015, p. 292)

Interview Analysis

The interviewee agreed that the epistemological assumption is "subjectivist." The

following response informed the analysis:

> Subjective … is true most. I think people who are in this or certainly in the CRE
> equity-focused approach don't believe that there's one objective space. I would
> say I believe there's perspective you can give. And if people resonate with that
> perspective, well, then you move forward with that. … if you're in an evaluation
> people are looking for a particular perspective that they want to coalesce around
> for the most part. And then they move forward with questions and measurement
> based on that particular perspective, which in another situation in another time
> frame might very well change. (K. Bledsoe, personal communication, August 16,

2023)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the epistemology assumption is "subjectivist." Therefore, I adopted that as the final synthesized version.

CRE Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological assumption as "pluralistic" in that it supports the idea the values are different based on the different contexts and perspectives encountered in the evaluation. The following segments are examples of data I coded that informed the analysis: "Evaluation questions represent *a range of perspectives, values and interest*" [emphasis added]. (Hood, et al., p. 304).

> CRE is a holistic framework for centering evaluation in culture (Frierson et al., 2010). It rejects culture-free evaluation (Hood et al., p. 282). recognizes that *culturally defined values and beliefs lie at the heart of any evaluative effort* [emphasis added]. Evaluation must be designed and carried out in a way that is culturally responsive to these values and beliefs, many of which may be *context-specific* [emphasis added]. (Hood et al., 2015, pp. 282-283)

CRE's axiological foundations are also focused on social justice, specifically for people of color. This core characteristic is noted as coming from Hood as a core characteristic of CRE: "Challenges knowledge claims that delegitimize the lives, values and abilities of people of color" (Hood et al., 2015, p. 289).

Interview Analysis

The interviewee agreed that the axiological assumption is "pluralistic." The following

response informed the analysis: "If you go with one size fits all, … that's usually not gonna work. You might get pieces of something that might work but ... it depends" (K. Bledsoe, personal communication, August 16, 2023).

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the axiological assumption is "pluralistic." Therefore, I adopted that as the final synthesized version.

CRE Feature Profile

Table 4 presents the feature profile for the CRE approach.

Table 4
CRE Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	Pluralistic
Problem type	Pluralistic and responsive to the landscape.
Question type	Pluralistic and responsive to the landscape.
Claim type	Pluralistic and responsive to the landscape.
Ontological assumption	Pragmatist
Epistemological assumption	Subjectivist
Axiological assumption	Pluralistic

Developmental Evaluation Approach

Primary Source Documents

Gamble, J. A. A., McKegg, K., & Cabaj, M. (2021). *A developmental evaluation companion*. The J.W. McConnell Family Foundation.

Patton, M. Q. (2001). *Qualitative research & evaluation methods* (3rd edition). SAGE Publications, Inc.

Patton, M. Q. (2021). Emergent developmental evaluation developments. *Journal of MultiDisciplinary Evaluation*, *17*(41), Article 41.

Patton, M. Q. (2022b, February 10). *The niche and purpose of developmental evaluation* [Video]. YouTube.

Patton, M. Q., McKegg, K., & Wehipeihana, N. (2015*). Developmental evaluation exemplars: Principles in practice.* Guilford Publications.

Member Check Interviewee and Selection Criteria

Michael Q. Patton, Ph.D. selected as author of several primary source documents.

Approach Description and comparisons to Other Approaches

Developmental Evaluation provides evaluative information and feedback to social innovators, and their funders and supporters, to inform adaptive development of change initiatives in complex dynamic environments. (Patton, 2021, p. 24)

DE does not look to replace supporting problem solving or rendering judgments about the merits of a program, rather, it serves a different niche, that of adaptation and innovation in the face of complexity. Complex problems are difficult to define. They are not bounded, they do not have optimal solutions, and they do not occur within stable parameters. The very techniques that enable evaluation excellence in more static situations – standardization of inputs, consistency of treatment, uniformity of outcomes and clarity of cause and effect – are unhelpful, even harmful, to situations where there is a lot of uncertainty. Efficient goal attainment, and replicability and clarity of causal links works for a well-defined technology or intervention. With dynamic and unpredictable phenomena, however, these same criteria can actually so narrowly define and structure the evaluative questions as to interfere with learning and adaptability. (Gamble et al., 2021, p. 11)

Developmental Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type

of the working logic as "a program defined as *emerging* sets of values identified by stakeholders,

means of meeting needs, and/or as treatment related outcomes." The term "emerging" is the

critical term in distinguishing developmental evaluation from some other approaches. Other

approaches tend to establish the values, needs, or outcomes once in the initial stages of the

evaluation, while these features of the phenomena emerge and change during the cycles of a

developmental evaluation. Patton (2022a) explained this:

> And so, instead of simply pursuing a plan without regard to what's going on, ongoing learning, developmental learning in the course of change conditions leads us to examine forks in the road, decisions along the way, and each of those small decisions that get make about should we do more of this or less of this, should we go this way or that way, end up accumulating to become major different kinds of interventions and that is what developmental evaluations focus on. (Video transcript)

> The following segments are examples of data I coded that informed the analysis:

> Developmental evaluation is interactive—engaging social innovators, funders, supporters, and other core stakeholders to tailor and align the dynamics of innovation, development, adaptation, and evaluation." (Patton, 2015a, p. 307) Timely feedback principle: Time feedback to inform ongoing adaptation as needs, findings, and insights emerge, rather than only at predetermined times (e.g., quarterly, or at midterm and end of project). (Patton, 2015a, p. 309)

> Developmental evaluators track, document, and help interpret the nature and implications of innovations and adaptations as they unfold, both the processes and outcomes of innovation, and help extract lessons and insights to inform the ongoing adaptive innovation process. (Patton, 2021, p. 24)

Interview Analysis

The interviewee disagreed with the phenomena type of the working logic as a "a program

defined as emerging sets of values identified by stakeholders, means of meeting needs, and/or as

treatment related outcomes." The interviewee preferred the term "niche" to the term

"phenomena" and identified the phenomena as innovation and adaptation. The following

response informed the analysis:

> I would argue is the phenomenon of developmental evaluation is innovation and

adaptation, so let's if not, if not, first and foremost, the values of the stakeholders in general, it is specifically at people who are trying to change things through innovation, and adaptation. It's change-makers, people who are wanting to innovate. And that that the niche, then, and I prefer niche to the phenomena, but to stay with her language, that it's not so much emerging sets of values the values are already present they're for their people who want to change the world, who are trying to innovate and adapt the way, things are and it's not it's not limited to programs in fact, much of developmental evaluation is about initiatives aimed at systems change rather than programs. But the key piece is innovation and adaptation. (M. Patton, personal communication, December 22, 2022)

Comparison and Synthesis

The interviewee disagreed with the results of the primary source document analysis of the phenomena type of the working logic as "a program defined as emerging sets of values identified by stakeholders, means of meeting needs, and/or as treatment related outcomes." Instead, the interviewee identified the phenomena type as "innovation and adaptation." Based on that input, I deferred to the interviewee and identified the synthesized phenomena type as "innovation and adaptation."

Developmental Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type as "extent of performance," but the specific type of problem is dependent on the activity occurring at the particular iteration of the innovation and the accompanying evaluation process. Each iteration creates a different form of strategy. The following segment is an example of data I coded that informed the analysis:

> This requires the evaluator to embrace more participatory modes of assessment so that the innovators have a richer, 360-degree understanding of how different stakeholders experience and judge the intervention, insight that they can use in the next iteration of the strategy. (Gamble et al., 2021, p. 61)

Interview Analysis

The interviewee disagreed that the problem type is "extent of performance." The following response informed the analysis:

> The problem type then is where the complexity and systems come in, is the definition of the problem is how to do innovation and adaptation in complex systems. So the difference, the niche again of developmental evaluation (and it's in the title of the book) is complex systems, dealing with complexity and with systems rather than with programs. (M. Patton, personal communication, December 22, 2022)

Comparison and Synthesis

The interviewee disagreed with the results of the primary source document analysis that the problem type of the working logic is "extent of performance, where the specific type of problem is dependent on the activity occurring at the particular iteration of the innovation and the accompanying evaluation process." Instead, the interviewee defined the problem type as "how to do innovation and adaptation in complex systems." Based on that input, I deferred to the interviewee and identified the synthesized problem type as "how to do innovation and adaptation in complex systems."

Developmental Evaluation Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified that the question type "changes during the cycles of the evaluation and could include all three examples: questions about the qualities that make the evaluand good or less than good, questions about whether the evaluation is good of less good than others, and/or questions about whether the evaluand is

effective or less effective in producing desired outcomes (and perhaps others)."

Interview Analysis

The interviewee disagreed that the question type is "changes during the cycles of the evaluation and could include all three examples provided. He defined it as "whether or not what is being done true to the principles laid out":

> For a change? the direction of change; that's right. So an example, I just completed a Developmental evaluation for the World Truth Program and their mission is to feed people and what they're having to do is to develop how they feed people in the face of the Pandemic, when their supply chains are broken up, when the staffing patterns and their ways of delivering food, and then the Ukraine war – as all those contextual changes happen, they've had to adapt and innovate in order to meet their mission. But the principles are what guide their adaptation. Are they adapting and innovating to better feed people? (M. Patton, personal communication, December 22, 2022)

Comparison and Synthesis

The interview disagreed with the results of the primary source document analysis of the question type of the working logic that 'the question type changes during the cycles of the evaluation and could include all three examples: questions about the qualities that make the evaluand good or less than good, questions about whether the evaluation is good of less good than others, and/or questions about whether the evaluand is effective or less effective in producing desired outcomes (and perhaps others)." Instead, the interviewee identified that the question type is "is what being done true to the principles that are laid out." Based on that input, I deferred to the interviewee and identified the synthesized question type as "is what being done true to the principles that are laid out"?

Developmental Evaluation Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as "a performance value claim based on the type of question encountered during the particular iteration of the innovation." Again, each iteration creates a different form of strategy. The following segment is an example of data I coded that informed the analysis:

> This requires the evaluator to embrace more participatory modes of assessment so that the innovators have a richer, 360-degree understanding of how different stakeholders experience and judge the intervention, insight that they can use in the next iteration of the strategy. (Gamble et al., 2021, p. 61)

Interview Analysis

The interviewee defined the claim type differently. He defined the claim type as "did the developments match the nature of the changed circumstances that people are faced with in a program." The following response informed the analysis:

> The first is the claim that they're following the principles and that the changes that are getting made are appropriate given the changes in the larger context, so it's really a matching claim: did the developments match the nature of the changed circumstances that people are faced with in a program. So you're evaluating the adaptation and the innovation as appropriate to the change circumstances. (M. Patton, personal communication, December 22, 2022)

Comparison and Synthesis

The interviewee disagreed with the results of the primary source document analysis that the claim type of the working logic is a "performance value claim based on the type of question encountered during the particular iteration of the innovation." The interviewee identified of the claim type as "align with the principles and "did the developments match the nature of the changed circumstances that people are faced with in a program." Based on that input, I deferred

to the interviewee and identified the synthesized claim type as "did the developments align with the principles and match the nature of the changed circumstances that people are faced with in a program."

Developmental Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as not specific because the approach is based on the pragmatist paradigm:

> *In terms of ontology and epistemology, pragmatism is not committed to any single system of philosophy and reality* [emphasis added]. Reality is actively created as individuals act in the world, and it is thus ever changing, based on human experience, and oriented toward solving practical problems. Truth is what works at the time and not based on dualism between reality independent of the mind (as with postpositivism and critical paradigms) and within the mind (as with constructivist and deconstructivist paradigms). (Weaver, 2018, p. 3)

Patton (2001), the developer of the Developmental Evaluation approach, operates from the Pragmatist paradigm:

> As a pragmatist, … (M)y pragmatic stance aims to supersede one-sided paradigm allegiance by increasing the concrete and practical methodological options available to researchers and evaluators. Such pragmatism means judging the quality of a study by its intended purposes, available resources, procedures followed, and results obtained, all within a particular context. (p. 71)

Interview Analysis

The interviewee disagreed that the ontological assumption is "pragmatism." The interviewee agreed that his *personal* ontological assumption is pragmatism, the interviewee identified the ontological assumption of *the developmental evaluation approach as* "complexity theory in complex dynamic systems." The following response informed the analysis:

> But what guides developmental evaluation is complexity theory – complexity

theory and systems theory – so and that again is in the title. Complexity is about dealing with situations where you're not in control. Virtually all evaluation planning is a command-and-control approach, is based upon control. Well, plan your work, work your plan. Developmental evaluation is guided by complexity where you can't be in control, where the world is dynamic and changing. And so what you have to do is adapt to it, so it's very much informed by complexity theory in complex dynamic systems. (M. Patton, personal communication, December 22, 2022)

Comparison and Synthesis

The interviewee disagreed with the results of the primary source document analysis that ontological assumption is not specific because the approach is based on the pragmatist paradigm. of the working logic. The interviewee identified the ontological assumption of the developmental evaluation approach as "complexity theory and systems theory." Based on that input, I deferred to the interviewee and identified the synthesized ontological assumption as "complexity theory in complex dynamic systems."

Developmental Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as not specific because the approach is based on the pragmatist paradigm:

In terms of ontology and epistemology, pragmatism is not committed to any single system of philosophy and reality [emphasis added]. Reality is actively created as individuals act in the world, and it is thus ever changing, based on human experience, and oriented toward solving practical problems. Truth is what works at the time and not based on dualism between reality independent of the mind (as with postpositivism and critical paradigms) and within the mind (as with constructivist and deconstructivist paradigms). (Weaver, 2018, p. 3)

Patton (2001), the developer of the Developmental Evaluation approach, operates from the pragmatist paradigm:

> As a pragmatist, … my pragmatic stance aims to supersede one-sided paradigm allegiance by increasing the concrete and practical methodological options available to researchers and evaluators. Such pragmatism means judging the quality of a study by its intended purposes, available resources, procedures followed, and results obtained, all within a particular context. (p. 71)

Interview Analysis

The interviewee disagreed that the epistemological assumption is not specific because the approach is based on the pragmatist paradigm. The following response informed the analysis:

> But what guides developmental evaluation is complexity theory – complexity theory and systems theory – so and that again is in the title. Complexity is about dealing with situations where you're not in control. Virtually all evaluations planning is a command-and-control approach, based upon control. Well, plan your work, work your plan. Developmental evaluation is guided by complexity where you can't be in control, where the world is dynamic and changing. And so what you have to do is adapt to it, so it's very much informed by complexity theory in complex dynamic systems. (M. Patton, personal communication, December 22, 2022)

Comparison and Synthesis

The interviewee disagreed with the source document analysis of the epistemological assumption that that the epistemological assumption is not specific because the approach is based on the pragmatist paradigm. He clarified that he is personally a pragmatist, but that the epistemological assumption of the approach is complexity theory and system theory. For the synthesized epistemological assumption, I identified complexity theory and systems theory.

Developmental Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological assumption as "descriptive valuing of stakeholder values." The following segments are examples

of data I coded that informed the analysis:

> Descriptive valuing is simple description of stakeholder values, it is better suited
> to the political context of evaluation, since decision making depends more on
> coping with values held by legislators, managers, voters, and lobbyists than on a
> prescriptive ethic. (Shadish et al., 1995, p. 456)

Developmental evaluators work with innovators to determine the overall valuing

process:

> This requires the evaluator to embrace more participatory modes of assessment so
> that the innovators have a richer, 360-degree understanding of how different
> stakeholders experience and judge the intervention, insight that they can use in the
> next iteration of the strategy. (Gamble et al., 2021, p. 61)

> Gamble et al. (2021) use two statements to reflect the implications of the values context

for Development Evaluation:

> Values and beliefs influence what stakeholders find important and how they judge
> the results of their efforts.
> Evaluators' values shape their approach, and the kinds of initiatives they will
> engage in. (Table 1.5, p. 61)

Interview Analysis

The interviewee disagreed as "descriptive valuing of stakeholder values" but suggested

that the axiological assumption is "what affects whether or not a program is effective is the

systems of which it's a part." The following response informed the analysis:

> Here it's about complexity theory, systems thinking, and the axiological piece is
> really about systems, is that what affects whether or not a program is effective is
> the systems of which it's a part, that what you're dealing with even at a project and
> program level is projects and programs are embedded in systems. And innovation
> and adaptation take place within systems: the Health System, the Climate system,
> and so axiologically, it's about looking at the relationship between the intervention
> and the systems of which it's a part, and which is trying to change. (M. Patton,
> personal communication, December 22, 2022)

Comparison and Synthesis

The interviewee disagreed with the results of the analysis of primary documents that the

axiological assumption is "descriptive valuing of stakeholder values;" instead, the axiological assumption is "what affects whether or not a program is effective is the systems of which it's a part." Based on that input, I deferred to the interviewee and identified the synthesized axiological assumption as "what affects whether or not a program is effective is the systems of which it's a part."

Developmental Evaluation Approach Feature Profile

Table 5 presents the feature profile for the developmental evaluation approach.

Table 5
Developmental Evaluation Approach Feature Profile

Feature	Synthesized Result
Phenomenon Type	Innovation and Adaptation
Problem type	How to do innovation and adaptation in complex systems
Question type	Is what being done in what is done true to the principles that are laid out
Claim type	Did the developments align with the principles and match the nature of the changed circumstances that people are faced with in a program
Ontological assumption	Complexity theory – complexity theory and systems theory
Epistemological assumption	Complexity theory – complexity theory and systems theory
Axiological assumption	Looking at the relationship between the intervention and the systems of which it's a part, and which is trying to change

Empowerment Evaluation Approach

Primary Source Documents

Fetterman, D. M. (2014, January 29). Empowerment evaluation. *Better evaluation.*

Fetterman, D. M. (2015). Empowerment evaluation. In *International encyclopedia of the social & behavioral sciences* (2nd ed.), (pp. 577–583). Elsevier.

Member Check Interviewee and Selection Criteria

David M. Fetterman, Ph.D. selected as author of primary source documents.

Approach Description and Comparisons to Other Approaches.

Empowerment evaluation is the use of evaluation concepts, techniques, and findings to

foster improvement and self-determination (Fetterman, 1994). An expanded definition is:

> Empowerment evaluation is an evaluation approach that "aims to increase the probability of achieving program success by (1) providing program stakeholders with the tools for assessing the planning, implementation, and self-evaluation of their program, and (2) mainstreaming evaluation as part of the planning and management of the program/organization" (Wandersman et al., 2005). (Fetterman, 2015, p. 577)

> The focus in transformative empowerment evaluation is on liberation from pre-determined, conventional roles and organizational structures or "ways of doing things." In addition, empowerment is a more explicit and apparent goal. (Fetterman, 2017, p. 113)

Empowerment Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type

as programs defined as "a set of treatment related outcomes: practical empowerment outcomes

and transformative empowerment outcomes." The outcomes in the empowerment evaluation

approach are two different types. One type, transformative empowerment outcomes are the

outcomes related to whether the group is empowered. While transformative empowerment

outcomes are important effects of empowerment evaluations, the evaluations themselves

examine the second type of outcomes (practical empowerment outcomes), are the outcomes of

the programs being evaluated. In the primary sources I discovered the practical empowerment

outcomes by searching for the term "goals" as representing the desired outcomes of the program.

One empowerment outcome of self-determination is the ability to set goals and check progress

against meeting them. The following segments are examples of data I coded that informed the

analysis:

> Self-determination consists of numerous interconnected capabilities, such as the ability to identify and express needs; establish goals or expectations and a plan of action to achieve them; identify resources; make rational choices from various alternative courses of action; take appropriate steps to pursue objectives; evaluate short- and long-term results, including reassessing plans and expectations and taking necessary detours; and persist in the pursuit of those goals. (Fetterman, 2014, p. 5)

> Fetterman (2015) emphasizes the significance of program goals in the opening
statement:

> Empowerment evaluation is a stakeholder involvement approach designed to provide groups with the tools and knowledge they need to monitor and evaluate their own performance and accomplish their goals. It is also used to help groups accomplish their goals). (p. 1)

> Twenty-five segments of the primary sources emphasize the goals of the group involved

with the program. The following segment is an example of data I coded that informed the

analysis:

> Empowerment evaluation is an evaluation approach designed to help communities monitor and evaluate their own performance. It is also used to help groups accomplish their goals. Empowerment evaluation focuses on fostering self-determination and sustainability. (Fetterman, 2015, p. 1)

Interview Analysis

The interviewee agreed with the phenomenon type identified in the results of the primary

source analysis but emphasized the two streams of empowerment evaluation: practical

empowerment evaluation and transformative empowerment evaluation. The following response

informed the analysis:

> I think you're on the right track ... But I try to highlight… two streams. You have a practical form of empowerment evaluation and a transformative approach to empowerment evaluation. So when you keep in mind it can – it's in general you're still aimed at seeing people become more in control of their life, more self-determined, empowered, empowered, yes. Then, in a practical sense, you see, problems solved, things conducted, but by people themselves, rather than people from the outside people, actually in the community, but then you have the whole issue of not just practical problems but transforming roles. (D. Fetterman, personal communication, November 15, 2022.)

Comparison and Synthesis

The interviewee agreed with the result of the analysis of the primary source documents that the phenomena type is "a set of treatment related outcomes: empowerment outcomes and program outcomes." The interviewee did not recommend significant additions or changes. For the synthesized phenomenon type, I adopted the results of the primary source document analysis that the synthesized phenomenon type is "a set of treatment related transformative empowerment outcomes and practical empowerment outcomes."

Empowerment Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type of the working logic for the empowerment evaluation approach as "extent of performance." In the approach, performance is related to the achievement of goals identified by stakeholders. In the primary sources the segments coded to the problem type parameter included the terms "accomplish" (13 instances) and "performance" (five instances). The following segment is an example of data I coded that informed the analysis:

> An example of the process of empowerment evaluation concludes with

determination of the extent of performance:

> For example, a minority tobacco prevention program empowerment evaluation in Arkansas has established:
> 1. Baselines (the number of people using tobacco in their community)
> 2. Goals (the number of people they plan to help stop using tobacco by the end of the year)
> 3. Benchmarks or Milestones (the number of people they expect to help stop using tobacco each month)
> 4. Actual Performance (they record the number of people they help to stop using tobacco and compare their figures with their goals and benchmarks to determine if they are making progress or need assistance). (Fetterman, 2014, p. 11)

Interview Analysis

The interviewee agreed with the primary source analysis that the problem type is "extent of performance" and is reflected in the use of dashboards and milestones to structure the way the problem is both structured and tracked. The following response informed the analysis:

> I use dashboards a lot so that people can show what their goal is for the year. What are their milestones each quarter, and then I ask them if they've agreed on that – only to put in their actual performance, and they can always every quarter compare their actual performance with their milestone, with their goal. … And keep in mind the difference with, (un)like traditional forms of evaluation, if you don't meet your milestone, you're not slapped on the wrist in this approach, its then oh, you obviously need help so I will jump in and see if anyone knows how to do this better, bring them in. … I still believe in one of our key principles, which is accountability. Did you do it? So yeah. Extent of performance is definitely good. (D. Fetterman, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee agreed with the source document analysis that the problem type is "extent of performance Therefore, I adopted that as the final synthesized version.

Empowerment Evaluation Approach Question Type-

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type of

the working logic as "questions about whether the evaluand is effective or less effective in

producing desired transformative and practical empowerment outcomes." The following

segments are examples of data I coded that informed the analysis:

> Empowerment evaluation is focused on outcomes and accountability;
> empowerment evaluation functions within the context of existing policies,
> standards, and measures of accountability; empowerment evaluations ask: *did the*
> *program accomplish its objectives* [emphasis added]*?* (Fetterman, 2015, p. 579)
> However, the bottom line remains: did you accomplish the desired results?
> (Fetterman, 2014, p. 13)

Interview Analysis

The interviewee agreed with the results of the primary source documents analysis. The

following responses informed the analysis:

> But you still question: did you do it? The bottom line is bottom line … and the
> difference is how we get there is usually much more palatable, if not enjoyable,
> because it's something that people have dealt with a problem all their life, and
> they just need this broken thing to go away – how do we deal with it? (D.
> Fetterman, personal communication, November 15, 2022)

> So, the idea behind all of this is to build the evaluation capacity, so they are
> capable of it, well beyond us. That's exactly right. (D. Fetterman, personal
> communication, November 15, 2022)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the

question type is "questions about whether the evaluand is effective or less effective in producing

transformative and practical desired outcomes." Therefore, I adopted that as the final synthesized

version.

Empowerment Evaluation Approach Claim Type

Source Document Analysis

The claim type of the working logic would be expected to be "performance value claims because of the question type parameter." The claim type should be responsive to the question type. However, the coding process did not reveal any content in the primary sources that I coded specifically claim type. Based on my analysis of the primary source documents and the identity of the question type, I identified the claim type as "performance value claims."

Interview Analysis

The interviewee agreed that the claim type is "whether the evaluand is effective or less effective in producing transformative and practical desired outcomes." The following response informed the analysis: "You have the claim type of working logic, would be expected performance value claims because of the … question type parameter" (D. Fetterman, personal communication, November 15, 2022).

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the claim type is "performance value claims." Therefore, I adopted that as the final synthesized version.

Empowerment Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as pragmatist. I coded large segments to pragmatism in the primary sources based on the way the community defines its own mission and selects its own goals based on the idea that explanation and causation are possible even if not true or absolute. Pragmatists understand

> that there is no absolute "truth" concerning reality … that there are multiple explanations of reality and that at any given time there is one explanation that makes the most sense. In other words, at one point in time, a single explanation of reality may be considered "truer" than another. Furthermore, pragmatists … believe that causes may be linked to effects. However, they temper this thinking with the caveat that absolute certainty of causation is impossible. (Alkin, 2013, p. 18)

Fetterman (2014) lays the foundation for the entire document which I coded for pragmatist ontology based on Alkin's definition. The following segment is an expanded definition and an example of data I coded that informed the analysis:

> Empowerment evaluation is an evaluation approach that "aims to increase the probability of achieving program success by (1) providing program stakeholders with the tools for assessing the planning, implementation, and self-evaluation of their program, and (2) mainstreaming evaluation as part of the planning and management of the program/organization" (Wandersman, Snell-Johns, Lentz, Fetterman, Keener, Livet, Imm, and Flaspohler, 2005). (Fetterman, 2014, p. 2)

Interview Analysis

The interviewee agreed that pragmatism is the primary ontological assumption. The following response informed the analysis: "Our stuff is very down to earth, and very pragmatic in that regard. I try to think of any other way you could define it as far as the assumptions. … I think fundamentally yes, you've got it" (D. Fetterman, personal communication, November 15, 2022).

However, the interviewee suggested there is a secondary ontological assumption about the transformable potential of human beings. The following response informed the analysis:

> Secondary, however, in the background there is an assumption that really speaks to the dignity of human beings and respecting them. To the extent of wanting them to reach their potential – actualize the potential and all the other things that we you know, learn about, and are committed to and just in general and education that are also fundamental ontological assumptions about what we're trying to do here and what we're about, and what we consider truth at the end of the game. (D. Fetterman, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the ontological assumption is pragmatist. The interviewee suggested a secondary assumption about transformable potential of human beings and respecting them. For the synthesized ontological assumption, I adopted the suggestion and into the synthesized ontological assumption of "pragmatist informed by a secondary assumption about the transformable potential of human beings and respecting them."

Empowerment Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as 'pragmatist." The segments I coded to the epistemological assumption relate to two aspects of the pragmatist epistemology, causality and values:

> Pragmatists … believe that causes may be linked to effects. However, they temper this thinking with the caveat that absolute certainty of causation is impossible. Pragmatists … do not believe inquiry is value-free; rather, they consider their values important to the inquiry process. (Alkin, 2013, p. 18)

Twelve coded segments of the primary sources referred to planning of the program to

model and evaluate whether the program causes the expected or desired outcomes. The following

segments are examples of data I coded that informed the analysis:

> Empowerment evaluation is an evaluation approach that "aims to increase the probability of achieving program success by (1) providing program stakeholders with the tools for assessing the planning, implementation, and self-evaluation of their program, and (2) mainstreaming evaluation as part of the planning and management of the program/organization." (Fetterman, 2015, p. 577)

> The goals are directly related to the activities selected in the taking stock step. For example, if communication was selected, rated, and discussed, then communication (or improving communication) should be one of the goals. The strategies emerge from the taking stock discussion, as well, as noted earlier. For example, if communication received a low rating and one of the reasons was because the group never had agendas for their meetings, then preparing agendas might become a recommended strategy in the planning for the future exercise. (Fetterman, 2014, p. 11)

> A consensus about the mission statement helps the group think clearly about their self-assessment and plans for the future. It anchors the group in common values. After coming to a consensus about the mission, the group evaluates their efforts (within the context of a set of shared values). (Fetterman, 2014, pp. 9-10)

Interview Analysis

The interviewee agreed that the epistemological assumption is "pragmatic." However, the

interviewee also expanded on the idea that empowerment evaluation is part of the emancipatory

tradition that helps people to learn how to get beyond the status quo. The following response

explains this additional idea:

> The powerful role of having individuals work these issues out themselves with us as coaches and critical friends, but dealing with the actual problems as the basis for learning to get beyond the status quo, to get through … beyond, once again, the roles they're placed in and the way in which they're thinking to bring them to evaluative thinking, but also thinking about their role in society and sort of what their next steps are to lift themselves up, to move forward, to not only transform and change specific outcomes, but sort of who they are and the process by which they do it versus us being the ones who give anything to them this is them helping themselves. (D. Fetterman, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the epistemological assumption is "pragmatist." Therefore, I adopted that as the final synthesized version.

Empowerment Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological assumption as stakeholder values. The five segments coded in the primary sources to axiological assumptions directly speak to steps in the evaluation process where the stakeholders define their mission or values. The following segments are examples of data I coded that informed the analysis:

> The group comes to a consensus concerning their mission or values. This gives them a shared vision of what's important to them and where they want to go. (Fetterman, 2014, p. 9)

> A consensus about the mission statement helps the group think clearly about their self-assessment and plans for the future. It anchors the group in common values. (Fetterman, 2015, p. 580)

Interview Analysis

The interviewee agreed that the axiological assumption is stakeholder values for practical empowerment but also emphasized the significance of larger values such as social justice because they are within the stakeholder's values and within the values of the transformative empowerment evaluation approach. The following response explains a connection between social justice and two empowerment approaches:

> There are the principles guiding with the approaches. … the fifth one, I think, is

social justice. If you're not aimed at trying to improve the world in some fashion
in that regard, then, you're probably not on the right track. (D. Fetterman,
personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the

axiological assumption is "stakeholder values." Therefore, I adopted that as the final synthesized

version.

Empowerment Evaluation Approach Feature Profile

Table 6 presents the feature profile for the empowerment evaluation approach.

Table 6

Empowerment Evaluation Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	Programs defined as a set of treatment related transformative empowerment and practical empowerment outcomes
Problem type	Extent of performance
Question type	Questions about whether the evaluand is effective or less effective in producing transformative and practical desired empowerment outcomes
Claim type	Performance value claims
Ontological assumption	Pragmatist informed by a secondary assumption about the transformable potential of human beings and respecting them
Epistemological assumption	Pragmatist
Axiological assumption	Stakeholder

Feminist Evaluation Approach

Primary Source Documents

Brisolara, S. (2014). Feminist theory: Its domains and applications. In S. Brisolara, D. Seigart, & S. SenGupta (Eds.), *Feminist evaluation and research: Theory and practice* (pp. 3–41). Guilford Publications.

Brisolara, S., Seigart, D., & SenGupta, S. (Eds.). (2014). *Feminist evaluation and research: Theory and practice.* The Guilford Press.

Mertens, D. (2005). Feminism. In S. Mathison (Ed.), *Encyclopedia of evaluation.* Thousand Oaks, CA: Sage.

Mertens, D. (2010). *Research and Evaluation in Education and Psychology: Integrating Diversity with Quantitative, Qualitative, and Mixed Methods*. SAGE.

Podems, D. (2014). Feminist evaluation for nonfeminists. In S. Brisolara, D. M. Seigart, & S. SenGupta (Eds.), *Feminist Evaluation and Research: Theory and Practice*, (pp. 113–142). Guilford Press.

Seigart, D. (2004). Feminist Evaluation. In S. Mathison (Ed.), *Encyclopedia of Evaluation*. SAGE Publications, Inc.

Sielbeck-Bowen, K. A., Brisolara, S., Seigart, D., Tischler, C., & Whitmore, E. (2002). Exploring feminist evaluation: The ground from which we rise. *New Directions for Evaluation*, *2002*(96), 3–8.

Member Check Interviewee and Selection Criteria

Donna Podems, Ph.D. author of one of the primary source documents.

Approach Description and Comparisons to Other Approaches

Most often the core elements of feminist evaluation are those summarized in Sielbeck-

Bowen et al. (2002):

> Feminist evaluation has as a central focus the gender inequities that lead to social injustice.
> Discrimination or inequality based on gender is systemic and structural.
> Evaluation is a political activity; the contexts in which evaluation operates are politicized; and the personal experiences, perspectives, and characteristics evaluators bring to evaluations (and with which we interact) lead to a particular political stance.
> Knowledge is a powerful resource that serves an explicit or implicit purpose.
> Knowledge should be a resource of and for the people who create, hold, and share it. Consequently, the evaluation or research process can lead to significant negative or positive effects on the people involved in the evaluation/research.
> Knowledge and values are culturally, socially, and temporally contingent.
> Knowledge is also filtered through the knower.
> There are multiple ways of knowing; some ways are privileged over others. (pp. 3–4)

Feminist Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type

of the working logic as "programs defined as a set of treatment related outcomes, specifically

equitable outcomes." I coded 38 segments of the primary source documents as treatment related

outcomes, and 14 of those include the idea of equitable outcomes. The following segments are examples of data I coded that informed the analysis:

> Feminist evaluation … aims to analyze the impact of programs on gender structures and inequities, to provide a voice for women and the most vulnerable groups who are often not heard in the development process, and to integrate these new perspectives in development programs with the aim of increasing the equity of development outcomes (Bamberger & Podems, 2002). (Galie, 2014, p. 289)

> The feminist evaluator would keep gender equity issues front and center, informing the program design (the initial [and often unacknowledged] philosophical assumptions, what content and skills get included, what gets left out), the process of implementation, emphasizing gender relations …. Outcome measures could include a variety of instruments and activities to gauge the learning (content), attitudes, and behavioral changes around gender equity. A number of issues emerge from this discussion. (Whitmore, 2014, p. 81)

Interview Analysis

The interviewee disagreed that the phenomena type of the working logic is "programs defined as a set of treatment related outcomes, specifically equitable outcomes." The interviewee recommended two modifications.

First, the interviewee recommended that the term "specifically equitable outcomes" is not true of all feminist evaluations. The following response informed the analysis: "The process itself is about making sure that things are equitable, bringing in voices that haven't been heard. *What it's assessing doesn't need to be equitable* [emphasis added]" (D. Podems, personal communication, August 16, 2023).

Second, the interviewee recommended that the term "programs" is too narrow and should reflect that other activist evaluands could also be evaluated using feminist evaluation. The following response informed the analysis: "Feminist evaluation is useful for *any kind* of program, intervention, policy, movement *that aims to use a process for change. Activism*, [emphasis added] that's the big difference with feminist evaluation" (D. Podems, personal

communication, August 16, 2023).

Comparison Synthesis

The interviewee disagreed with the results of the primary source document analysis that the phenomena type of the working logic are programs defined as a set of treatment related outcomes, specifically equitable outcomes. The interviewee recommended dropping the phrase specifically equitable outcomes and changing the term "programs" to represent other types of evaluands that aim to use a process for change. Based on the interviewees input, I amended the synthesized phenomena type to "an evaluand aiming to use an activist process for change producing related, equitable outcomes within systems that have embedded oppression."

Feminist Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type of the working logic as "inequitable outcomes reflected in gender inequities especially from androcentrism." Sixty-four segments of the primary source documents mentioned "outcomes," 84 mentioned some form of the term "inequity", and 39 segments mentioned some form of the term "androcentric." The following segments are examples of data I coded that informed the analysis: "Feminist evaluation has as a central focus the gender inequities that lead to social injustice" (Mathison, 2014, p. 55).

Sielbeck-Bowen et al. (2002) describe the purpose of feminist evaluation as reversing gender equities to reduce social injustices:

> Inequality based on gender not only exists, it exists in every level of society and culture in some form. It is both evident and quantifiable (in the gap in women's and men's earnings for comparable work) and subtle (such as the scheduling,

placement, or staffing of women's studies or homosexual literature classes). Feminist evaluation begins with a critical examination of formal and informal (stated and unstated) practices, policies, and activities embedded in a program context in order to explore and make explicit the working of these inequities. The values and assumptions that drive our programs—and the policies that are implemented through them—determine how girls and women will be educated, receive healthcare, raise their families, experience the world, and grow into old age. Many of us believe that, if it accomplishes nothing else, feminist evaluation must address the gender inequities that lead to social injustice and that, to be a committed feminist evaluator, you must examine every evaluation opportunity for the possibility of reversing gender inequities. (p. 4)

Interview Analysis

The interviewee agreed that the problem type is "inequitable outcomes reflected in gender inequities" but also emphasized a focus on systems. The following response informed the analysis:

I think a feminist approach, would look at the different systems within society that create oppression … which systems are influencing what you're looking at – at the cause. And then once you understand that it's about understanding what research design is going to answer those questions. (D. Podems, personal communication, August 16, 2023)

Comparison Synthesis

The interviewee recommended a substantial change to the results of the primary source document analysis that the problem type of the working logic is "inequitable outcomes reflected in gender inequities especially from androcentrism." The interviewee suggested a stronger focus on examining systems that create oppression and cause gender inequities. The synthesized problem type is "inequitable outcomes reflected in gender inequities influenced by systems that create oppression."

Feminist Evaluation Approach Question Type

Source Document Analysis

Based on analysis of the primary source documents, I identified the question type of the

working logic as "questions about whether the evaluand is effective or less effective in producing

desired outcomes. The focus on outcomes is narrowed to equity as experienced by women." The

following segments are examples of data I coded that informed the analysis:

> Brisolara and Seigart (2007) suggest some key questions that a feminist evaluator
> might ask: "In what ways are women (men, bisexual and transgender people, etc.)
> treated differently within the program, and how do their experiences and
> outcomes differ? In what ways do class, race, and gender combine to expand or
> contract possibilities for participants?" (p. 280). (Whitmore, 2014, p. 67)

> The questions asked in feminist evaluation can be "new and unexpected questions …"

because they are the result of … "applying a feminist lens. (Brisolara, 2014, p. 35).

> Feminist standpoint theory can be thought of as having three main claims: that
> knowledge is socially situated; that the ways in which marginalized groups are
> socially situated allows people in these groups to be aware of dynamics *and ask
> questions unavailable to others* [emphasis added]; and that research should begin
> with the lives of those marginalized for this reason in order to better understand
> power dynamics (Internet Encyclopedia of Philosophy, 2012). (Brisolara, 2014, p.
> 7)

> Go beyond the traditional questions, reframe them to be gender-responsive, and
> add new ones to ensure that evidence of change (or no change) in women's lives
> is gathered. Add questions about transformations in gender power relations and
> specific female concerns and interests, but also include questions that unearth
> women's contributions to "general development issues" (e.g., effective climate
> change strategies) and promote gender analysis in topics frequently. (Mulder &
> Amariles, 2014, p. 241)

> Brisolara (2014) suggests specific questions associated with concepts and positions of

feminist evaluation:

> • In what ways are women (men, bisexual, transgendered people, etc.) treated
> differently within the program and how do their experiences and outcomes differ?
> • How does viewing participants/stakeholders from the perspective of class

illuminate program dynamics?
• In what ways do class, race, and gender combine to expand or contract
possibilities for participants?
• What structural and gender inequities exist within this context?
• What are the personal, social, and political consequences of these inequities?
• What are the consequences of bringing systemic and structural inequities to
light?
• What is the appropriate role of the evaluator given the circumstances and
potential
consequences of advocacy?
• What are evaluation participants' most pressing needs for action, according to
them?
• What is gained and lost by acting? By not acting? (p. 32)

Interview Analysis

The interviewee did not directly agree or disagree with the question type but mentioned

"interrogating" the evaluation question with another set of questions. The following response

informed the analysis:

> The (evaluation) questions would come from whoever hired your or said they
> want you to do the evaluation … as a feminist evaluator I would be asking
> questions around … Who's benefiting? Who's not benefiting? Who's being hurt?
> What can come out of this process that would support activism? (D. Podems,
> personal communication, August 16, 2023)

These questions are similar to Brisolara's questions associated with concepts and

positions of feminist evaluation (2014).

Comparison Synthesis

The interview did not directly agree or disagree that the question type is "questions about

whether the evaluand is effective or less effective in producing desired outcomes … narrowed to

equity as experienced by women," the statement of the results of the primary source document

analysis. The interviewee recommended "interrogating" the evaluation question with another set

of questions. "I deferred to the interviewee's position and adopted the synthesized question type

as "Who's benefiting or not benefiting? Who's being hurt? What can come out of this process that would support activism?"

Feminist Evaluation Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type of the working logic as "performance value claims" since that matches the question type identified in the analysis of the primary source documents. Although claim types are not explicitly discussed in the primary source documents, claim type can be inferred from the other parameters.

Interview Analysis

The interviewee disagreed with the statement that the claim type is "performance value claims" although the following response to the interview question about claim type added perspective: "I think it can make any kind of claim. Depends what the question was to begin with" (D. Podems, personal communication, August 16, 2023).

Comparison and Synthesis

The interviewee disagreed that the claim type of the working logic is "performance value claim" (the statement of the results of the analysis of the primary source documents). The interviewee gave a response about claim type that is almost a definition of a pluralistic type of claim, so I deferred to the interviewee and adopted as the synthesized claim type "pluralistic."

Feminist Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological

assumption as "transformative feminist." The transformative assumption focuses on the power

relationships that mold views of reality. The following segments are examples of data I coded

that informed the analysis.

Mertens and Wilson (2019) expanded on it this way:

Reality from a transformative perspective is multifaceted. Human beings often
believe that they know what is real; however, there are many different opinions
about what that reality is. Differences in perspectives on what is real are
determined by diverse values and life experiences. In turn, these values and life
experiences are often associated with differences in access to privilege, based on
such characteristics as disability, gender, sexual identity, religion, race/ethnicity,
national origins, political party, income level, age, language, and immigration or
refugee status. (Kindle Locations 4977-4981)

The ontological assumptions of feminist evaluations are informed by the impact of bias

on perspectives of reality.

In defining feminist evaluation, I use the term "feminism" with the following
understanding: "A common belief that guides feminism is that gender bias exists
systematically and is manifest in the major institutions in society. ... Feminism
examines the intersection of gender, race, class, and sexuality in the context of
power." (Mertens, 2005, p. 154)

Mulder and Amariles (2014) agree that the transformative perspective aligns with

feminist evaluations.

The transformative paradigm's philosophical assumptions are commensurate with
evaluating programs that address the needs of women in their full diversity. These
include … 2. Ontological beliefs that call for the recognition of power in the
identification and privileging of various versions of reality with a conscious effort
to identify those versions of reality that either support or hinder the pursuit of
social justice. (p. 241)

Sielbeck-Bowen et al. (2002) contrast relativist assumptions about *whether* something

can be known with the feminist assumptions about *what representations of reality effect* what be

known:

> Feminist evaluators are not relativists. We do not think that nothing can be known.
> However, we contend that in order to know something we are obliged to
> recognize and explore the unique conditions and characteristics of the issue under
> study. "[N]o opinion, belief or other construction of events and persons, no matter
> from whom this derives, should be taken as representative of reality but rather
> treated as a motivated construction or version to be subject to critical feminist
> analytic inquiry" (Stanley and Wise, 1989, p. 200). (p. 7)

Mertens (2010) contrasts transformative assumptions with constructivist assumptions on

the equality of versions of reality with the transformative assumptions that different versions are

privileged over others.

> Like the constructivist paradigm, multiple versions of what is perceived to be real
> are recognized in the transformative paradigm. However, the transformative
> paradigm stresses that acceptance of such differences of perceptions as equally
> legitimate ignores the damage done by ignoring the factors that give privilege to
> one version of reality over another, such as the influence of social, political,
> cultural, economic, ethnic, gender, and disability lenses in the construction of
> reality. In addition, the transformative ontological belief emphasizes that that
> which seems "real" may instead be reified structures that are taken to be real
> because of historical situations. (Mertens, 2010, p. 32)

Interview Analysis

  The interviewee agreed that the ontological assumption is "transformative feminist."

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the

ontological assumption is "transformative feminist." Therefore, I adopted that as the final

synthesized version.

Feminist Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological

assumption as feminist epistemology. Feminist epistemology addresses the gaps in knowledge

resulting from non-feminist epistemologies.

> Feminist epistemology can be regarded as the branch of social epistemology that
> investigates the influence of socially constructed conceptions and norms of gender
> and gender-specific interests and experiences on the production of knowledge. It
> asks how the historical exclusion of women from theoretical inquiry has affected
> the direction and content of research in fields such as anthropology, philosophy,
> and psychology; how the use of gender metaphors in biology has made some
> phenomena more salient than others; how history, economics, and medicine
> would change if we viewed phenomena from the standpoint of women's rather
> than men's lives; how the feminist movement has changed our data, our ways of
> describing the data, and our theories about differences between men and women.
> (Anderson, 1995, pp. 53-54)

While the core assumptions of feminist epistemology may be expressed in related sub-

types of epistemological traditions including feminist empiricism, standpoint, critical,

postmodern/post-structural, global/postcolonial, queer and lesbian, and black feminist, Chicana,

indigenous, and race-focused theories, Podems (2014), notes the importance of knowledge in the

core beliefs behind feminist evaluation and suggest ways in which they can be applied to

knowing behind evaluation:

> The concept of knowledge is mentioned in three of the six core beliefs, suggesting
> that an evaluator who develops or draws from feminist evaluation would place a
> heavy emphasis on exploring knowledge. This can be interpreted and applied in
> slightly different yet similar ways. Elizabeth Minnich (1990) and Michael Patton
> (2002) explain that feminist approaches recognize and give voice to multiple
> ways of knowing, including integrating reason, emotion, and experience…. In a
> slightly different light, an evaluator would seek to identify and differentiate social,
> political, and cultural contexts that privilege some ways of knowing over others
> (Sielbeck-Bowen et al., 2002; Stanley & Wise, 1993). …. Finally, an evaluator
> would analyze the data and attempt to identify alternative explanations to men's
> (or those in power) understanding of reality and way of knowing (Gilligan, 1982;

Stanley & Wise, 1993). (p. 122)

Interview Analysis

The interviewee agreed that the epistemological assumption is "feminist epistemology."

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the

epistemological assumption is "feminist epistemology." Therefore, I adopted that as the final

synthesized version.

Feminist Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological

assumption as social justice. Eighty-five segments of the primary sources included the term

"social justice."

> Feminist evaluation approaches are specifically interested in promoting social
> justice, particularly for women, but not only for women. Attention is also paid to
> race, class, and sexual orientation. (Seigart, 2004, p. 154)

> Feminist evaluation focuses on gender inequities and social justice (Sielbeck-
> Bowen, Brisolara, Seigart, Tischler, & Whitmore, 2002). Social justice captures
> the aspiration to create a just society or institutions and to remove clearly
> identifiable injustices (Sen, 2010). Social justice is defined as "fairness and equity
> as right for all in the outcomes of development, through processes of social
> transformation" (Reeves & Baden, 2000, p. 31). Gender equality is intrinsic to
> social justice because it argues for the right of both women and men to equally
> enjoy the outcomes of development based on their diverse needs and aspirations.
> To achieve equality of development outcomes women and men might need
> different means and treatment because they might have distinct needs,
> preferences, and also entitlement to resources and opportunities (Reeves & Baden,
> 2000). (Galie, 2014, p. 289)

Interview Analysis

The interviewee agreed that the axiological assumption is social justice but emphasized that feminist evaluation involves activism. The following response informs the analysis: "We take more of that role on ourselves and from this, of course, we take on activism more so than advocacy, right? That's the push for feminist evaluation. That's what makes this different" (D. Podems, personal communication, August 16, 2023).

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the axiological assumption is "social justice." Therefore, I adopted that as the final synthesized version.

Feminist Evaluation Approach Feature Profile

Table 7 presents the feature profile for the feminist evaluation approach.

Table 7

Feminist Evaluation Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	An evaluand aiming to use a process for change producing related outcomes
Problem type	Inequitable outcomes reflected in gender inequities influenced by systems that create oppression
Question type	Who's benefiting or not benefiting? Who's being hurt? What can come out of this process that would support activism?
Claim type	Pluralistic
Ontological assumption	Transformative feminist
Epistemological assumption	Feminist
Axiological assumption	Social justice

Goal-Free Evaluation Approach

Primary Source Documents

> Scriven, M. (1971). General strategies in evaluation. *Curriculum Theory Network*, *8/9*, 182–192.

> Scriven, M. (1979). Michael Scriven: Viewpoints on education evaluation. *Educational Evaluation and Policy Analysis*, *1*(2), 66–72.

> Scriven, M. (1991b). Prose and cons about goal-free evaluation. *Evaluation Practice*, *12*(1), 55–62.

Member Check Interviewee and Selection Criteria

Bradley W. Youker, Ph.D. selected as available author of secondary source documents

and collaborator with author of primary source documents.

Approach Description and Comparisons to Other Approaches.

"Goal-free evaluation serves as a counter to evaluating solely according to goal achievement" (Youker & Ingraham, 2014, p. 52). Scriven (1971) suggests the side-effects of the program are also proper criteria:

> Evaluation, finally, is not just an evaluation of goals, of progress made toward them, and of the relative merits of different routes. It must also catch that most elusive creature, the Unintended Side Effect. Spotting these.–.and the most significant side effects are often the absence of certain things.–.is where the outsider's eye and the widest possible range of experience are most valuable. (pp. 191- 192)

Goal-Free Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type of the working logic is "programs defined as a means of meeting needs." The approach contrasts the goals of program owners to the needs of those affected by the program. I coded seven segments in the primary sources coded to this phenomenon type, three of which refer to needs assessment.

> But most of the good evaluators no longer say that that is the only way to go. In fact, they will mention goal-free as an alternative. The more significant effect lies in the way that evaluators have seen that they must also be critical of goals, hence must get interested in the needs-assessment game; that they must give equal rights to side effects; that knowing about the goals and knowing project staff personally has a powerful biasing tendency. Goal-free could be called "needs-based" or an attempt at the analog of "double-blind" studies. It is also much more consumer-oriented and less management-oriented than goal-based. (Scriven, 1979, p. 69)

> The staff get out and start talking to clients and get clients' reactions to programs, not by asking them questions tied to the program's goals but by asking them straightforward questions about how their needs are being met, not being met, etc. That sort of impact seems to be good. (Scriven, 1979, p. 70)

> It seemed to me, in short, that consideration and evaluation of goals was an unnecessary but also a possibly contaminating step. I began to work on an alternative approach-simply, the evaluation of actual effects against (typically) a

profile of demonstrated needs in this region of education. (Scriven, 1991b, p. 56)

Interview Analysis

The interviewee agreed that the phenomena type is "programs defined as a means of meeting needs." However, the interviewee emphasized that there could be less emphasis on a needs assessment to determine the needs. Scriven's focus on needs is prescriptive and unnecessary in the model itself or in the approach itself. The following response informs the analysis: "I narrow it down to – what I would say is that you can do a goal-free evaluation without having to do a needs assessment" (B. Youker, personal communication, August 27, 2023).

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the phenomenon type is "programs defined as a means of meeting needs." The interviewee did not recommend significant additions or changes although disagreed with the requirement of a formalized needs assessment. For the synthesized phenomenon type, I adopted the results of the primary source document analysis that the synthesized phenomenon type is "programs defined as a means of meeting needs."

Goal-Free Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type of the working logic as "extent of performance." The specific term "performance" appeared in only two of the eight segments coded to this parameter, but the other six described the problem as

whether or not the program did things better.

> So I have now developed and will, during the next few months, refine, through a series of revision cycles, a set of completely detailed procedures for scoring individual faculty members on research, service, and teaching dimensions, according to the particular type of product or performance that they turn in. (Scriven, 1979, p. 72)

> Similarly, where he inferred failure (e.g., at teaching the inquiry approach) he could just as well have made no comment, or noted lack of performance in this desirable dimension, from which the evaluand can conclude failure. (Scriven, 1991b, p. 62)

> Scriven (1991b) suggests that performance is not only what the expected outcomes were

but also those outcomes that were unexpected, either positive or negative.

> Naturally, these had also to be rated, and in one case a product finished up in the Top Ten in spite of zero results with respect to its intended outcomes because it did so well on an unanticipated effect. (p. 56)

Interview Analysis

The interviewee agreed that the problem type is "extent of performance."

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the problem type is "extent of performance." Therefore, I adopted that as the final synthesized version.

Goal-Free Evaluation Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type as "questions about whether the evaluand is effective or less effective in producing desired outcomes." Four of the five segments coded to this parameter mentioned not only effectiveness,

but also cost-effectiveness.

> It seemed to me, in short, that consideration and evaluation of goals was an unnecessary but also a possibly contaminating step. I began to work on an alternative approach-simply, the evaluation of actual effects against (typically) a profile of demonstrated needs in this region of education. I call this Goal-Free Evaluation (GFE). (Scriven, 1991b, p. 56)

> What qualifications does an evaluator need? … It is also clear that some expertise in the field of accountancy helps a great deal in almost every case; whether you like the phrase or not, and whether you conceal the fact or make it explicit, you are in the cost-effectiveness business, and some knowledge of cost accounting is necessary. (Scriven, 1971, pp. 182 - 183)

> It seems to me there are no cases where an evaluation is not directly affected by information about the greater effectiveness and/or lower cost of alternatives. (Scriven, 1971, p. 191)

Interview Analysis

The interviewee disagreed that the question type is "questions about whether the evaluand is effective or less effective in producing desired outcomes" and recommended "What are the outcomes without looking at the goals?" (B. Youker, personal communication, August 27, 2023)

Comparison and Synthesis

The interviewee disagreed with analysis of the primary source documents that the question type of the working logic is "questions about whether the evaluand is effective or less effective in producing desired outcomes" and recommended the question "what are the outcomes without looking at the goals?" Based on that input, I deferred to the interviewee and identified the synthesized question type as "what are the outcomes without looking at the goals?"

Goal-Free Evaluation Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as

"performance value claims." Again, the focus is effectiveness, especially cost-effectiveness and

the focus in NOT on goals, but on effects.

> It is tempting to cheer up a group of hardworking educators by telling them that
> their project was tremendously successful in that it achieved its (desirable) goals
> with 98 percent of the students enrolled. But if the evidence suggests there are
> faster and cheaper ways to achieve the goals, with desirable affective side effects,
> can you really say it was a worthwhile project, a good one, a meritorious one?
> (Scriven, 1971, p. 191)

> It seemed to me, in short, that consideration and evaluation of goals was an
> unnecessary but also a possibly contaminating step. I began to work on an
> alternative approach-simply, the evaluation of actual effects against (typically) a
> profile of demonstrated needs in this region of education. (Scriven, 1991b, p. 56)

Interview Analysis

The interviewee agreed that the claim type is "performance value claims."

Comparison and Synthesis

The interviewee agreed with the results of the analysis of primary source documents that

the claim type is "performance value claims." Therefore, I adopted that as the final synthesized

version.

Goal-Free Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological

assumption as "pragmatism." Scriven (1991b) emphasizes consequences as opposed to intent.

A tremendous tension has long existed in philosophical ethics between those who believe that the morality of acts is principally determined by their motivation ("He meant well") and those who would assess acts in terms of their consequences alone ("Write that on his gravestone; first, he should be shot"). Current pop ethics is on the conscience trip- the "pragmatist" is seen as the opposition. (p. 61)

Interview Analysis

The interviewee did not agree that the ontological assumption is "pragmatism" but could not come up with an alternative term. The interviewee recommended including in the ontological assumptions a skepticism about the appropriateness of using as evaluative criteria the goals of projects as defined by project managers or others in power over the project.

Comparison and Synthesis

The interviewee did not agree that the ontological assumption is "pragmatism" (the conclusion based on the results of the analysis of the primary source documents) but could not come up with an alternative term. This may be because pragmatism does not commit to specific ontological assumptions.

In terms of ontology and epistemology, pragmatism *is not committed to any single system of philosophy and reality* [emphasis added]. Reality is actively created as individuals act in the world, and it is thus ever changing, based on human experience, and oriented toward solving practical problems. Truth is what works at the time. (Weaver, 2018, p. 3)

For the synthesized ontological assumption, since the interviewee could not provide an option that differed from the primary source documents, I adopted the results of the primary source document analysis that the synthesized ontological assumption type is "pragmatism."

Goal-Free Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological

assumption as pragmatism.

> Cost-free evaluation still appears to be a very good approach, and, indeed, I think
> it is the only way in which we can consistently demonstrate the value and the
> practical utility of evaluation. (Scriven, 1979, p. 71)

Interview Analysis

Comparison and Synthesis

The interviewee did not agree that the ontological assumption is "pragmatism" (the

conclusion based on the results of the analysis of the primary source documents) but could not

come up with an alternative term. This may be because pragmatism does not commit to specific

ontological assumptions. For the synthesized ontological assumption, I adopted the results of the

primary source document analysis that the synthesized epistemological assumption is

"pragmatism."

Goal-Free Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological

assumption as cost-effectiveness and cost-benefit analysis. I coded five segments of the primary

sources to this assumption.

> Thus an evaluator should have a good knowledge of the educational scene, of the
> alternative routes to specified goals, and of their costs and effectiveness. (Scriven,
> 1971, p. 191)

Cost-effectiveness is not only a concern for the evaluand, but also in meta-evaluation, the evaluation of an evaluation.

> The second feature that continues to fascinate me is the self-referent nature of evaluation, not just in the sense that an evaluation can itself be evaluated, e.g., for cost effectiveness, but also in the sense that it is an obligation of the evaluator to do this. Evaluation begins at home! (Scriven, 1979, p. 68)

Interview Analysis

The interviewee did not agree that the axiological assumption is cost effectiveness and cost-benefit analysis but could not come up with an alternative assumption.

Comparison and Synthesis

The interviewee did not agree that the axiological assumption is "cost effectiveness and cost-benefit analysis" (the conclusion based on the results of the analysis of the primary source documents) but could not come up with an alternative assumption. The interviewee mentioned in the interview that the author of the primary sources would not agree with some of the responses. Because of this and that he did not offer an alternative, for the synthesized axiological assumption, I adopted the results of the primary source document analysis that the synthesized epistemological assumption is "cost effectiveness and cost-benefit analysis."

Goal-Free Evaluation Approach Feature Profile

Table 8 presents the feature profile for the Goal-Free evaluation approach.

Table 8
Goal-Free Evaluation Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	Programs defined as a means of meeting needs
Problem type	Extent of performance
Question type	What are the outcomes without looking at the goals?
Claim type	Performance value claims
Ontological assumption	Pragmatism
Epistemological assumption	Pragmatism
Axiological assumption	Cost effectiveness and cost-benefit analysis.

Indigenous Evaluation Approach

Primary Source Documents

Cram, F. (2018). Conclusion: Lessons about indigenous evaluation. *New Directions for Evaluation*, *2018*(159), 121–133

Cram, F., & Mertens, D. (2016). Negotiating solidarity between indigenous and transformative paradigms in evaluation. *Evaluation Matters—He Take Tō Te Aromatawai*, *2*, 161–189.

Kawakami, A., Aton, K., Cram, F., Lai, M., & Porima, L. (2007). Improving the practice of evaluation through Indigenous values and methods: Decolonizing evaluation practice—Returning the gaze from Hawai'i and Aotearoa. In P. Brandon & P. Smith (Eds.), *Fundamental issues in evaluation.* (pp. 219–242). Guilford Press.

Member Check Interviewee and Selection Criteria

Fiona Cram, Ph.D. author of two primary source documents.

Approach Description and Comparisons to Other Approaches

There are several different indigenous evaluation approaches representing evaluation work in different indigenous populations. The following quote explains how the different indigenous approaches use different terms to explain their perspective but shared a common theme:

> Some indigenous evaluators eschew the term paradigm in favour of evaluation methodologies (Smith, 2012; Weber-Pillwax, 1999), while others describe their evaluation work as having an indigenous theoretical lens, framework, approach, or perspective (LaFrance & Nicols, 2010). The way indigenous evaluation is described probably reflects the many distinct indigenous populations. Regardless of the terminology used*, a common theme is that indigenous evaluation is done by, with and for indigenous people and informs decolonisation* [emphasis added] (Kawakami, Aton, Cram, Lai, & Porima, 2007; Weber-Pillwax, 1999). Māori evaluator Cavino (2013), for example, writes that evaluation from an indigenous perspective is "a performance of power within which lies the potential for the realization of indigenous sovereignty" (p. 340). (Cram & Mertens, 2016, p. 166)

The following quote (from an article about one indigenous approach, American Indian) provides an explanation of how experience with indigenous evaluation compares to negative experiences with non-indigenous evaluation approaches:

> When tribal communities hear the word "evaluation," it often invokes a reactive fear and a sense of disempowerment. This dynamic is based on the historical trauma experienced in tribal communities, as well as their continuing experience of deficit-based evaluations. In addressing questions that are important for a western scientific audience, evaluators invariably overlook more relevant and valid areas of cultural learning and development. Such deficit-based evaluation practices must be replaced by more culturally responsive evaluation practice that engages fully with tribal communities, and where all involved have a commitment to cultural ways of knowing and learning. Evaluation must embark upon the process of engaging with cultural strengths in a manner that empowers Indigenous communities and builds Indigenous knowledge. This allows for both the generation and honoring of Indigenous knowledge development. (Martinez et al., 2018, p. 1)

Indigenous Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type as "a program defined as a means of meeting needs." Sixteen segments of the core documents referenced needs or needs assessments. Frequently the term "need" is combined with "Indigenous" or "community."

> While not always a comfortable fit, this article reveals possibilities for evaluators to improve their responsiveness to marginalised communities' needs in their full diversity and to respect the multiple cultural positions that rest therein while working for positive transformation. (Cram & Mertens, 2016, p. 161)

> Indigenous evaluation seeks to identify the value added by community-based projects in terms that are relevant to that specific cultural community. (Kawakami et al., 2007, p. 330)

> Indigenous evaluations focus on needs that are unique to an Indigenous people because of their unique historical and geographical situations. Regardless of socioeconomic status, indigenous people have needs alongside ambitions, aspirations and dreams for themselves and future generations. Kawakami and colleagues (2007) advocate that indigenous evaluation must "promote and practice an indigenous worldview" (p. 319). (Cram & Mertens, 2016, p. 179)

Interview Analysis

The interviewee agreed that the phenomenon type is "a program defined as a means of meeting needs" but responses during the discussion suggested significant additions to the phenomenon type. First, the need has to be met in a way that works in that culture through "a cultural fit" (F. Cram, personal communication, November 2, 2022). Second, the needs should be understood through the perspective that includes an awareness of colonization and marginalization:

> The evaluation may be a colonizing force in itself … It's got to be almost packaged within a broader context of a lot of Indigenous people living in

colonized societies, or the very least marginalized within the society they're living in and seeking kind of a way, out of that marginalization, but not a way out of nationalization. (F. Cram, personal communication, November 2, 2022)

Third, the phenomenon needs to recognize indigenous differences in the ideas of causality and decision-making:

There are different ways of seeing the world apart from that the same causative model. And they're different decision-making models … (a) democratic model that we try and apply, whereas actually if you go into indigenous communities … it's an elder-based decision-making model. You bump up against kind of trying to impose a democratic model on what is actually a status hierarchical decision-making model for the good of the people. (F. Cram, personal communication, November 2, 2022)

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the phenomenon type of the working logic is "a program defined as a means of meeting needs" but added substantial insights. The interviewee recommended that the phenomenon type should also include emphasis on cultural fit, indigenous causality and decision making, and colonization and marginalization. I integrated those ideas into synthesized phenomenon type that is "a program meeting needs in a way that considers cultural fit, indigenous causality and decision making, and colonization and marginalization."

Indigenous Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type as "extent of performance, specifically program performance in meeting of community needs." Community needs are frequently described in terms of "impact." The term occurs in 18 segments of the primary sources. The problem type directly informs the kinds of information required to

solve the problem which Kawakami (2007) defines as the impact on the life of the community.

> Multiple measures and sources of data must be used to capture the impact on the life of the community. In an indigenous perspective, data include information that extends into many facets of the lived experience. Spiritual, cultural, historical, social, emotional, cognitive, theoretical, and situated information all contribute to that understanding. (Kawakami et al., 2007, p. 335)

The desired impact should be defined by the community which requires intentionally applying indigenous and diverse perspectives:

> Indigenous evaluation requires what Cram, Pipi, and Paipa (Chapter 4) call "thinking outside of the western evaluation 'square'" to reimagine an evaluation space that works for Indigenous peoples. Gaotlhobogwe, Major, Koloi-Keaikitse, and Chilisa (Chapter 3) advocate for the removal of a Western evaluation lens and its accompanying ignorance of context and culture, and the indigenization of evaluation theory and practice so that it serves community and not just sponsor or funder needs. At the same time, these authors remind us that Indigenous contexts are diverse, so one-size will only fit one Indigenous context and then only if it is developed in partnership with the people in that context (Anderson et al., 2012). (Cram, 2018, pp. 126-127)

Interview Analysis

The interviewee agreed conceptually that the problem type is "extent of performance, specifically program performance in meeting of community needs" but discussed important changes in terminology and in perspective. First, the interviewee recommended changing from the term "problem" to the term "potential."

> We often spend a lot of time talking about what is the problem, and then people have difficulty with the word "problem." And that's often being tuned around their conversations with communities about *what's the potential that we're missing* [emphasis added]. (F. Cram, personal communication, November 2, 2022)

> Second, the interview recommended recognizing that the potential we're missing is not because of the people but because the program or society has a problem. They say they failure in the school system is not because they're dumb, it's the failure of the system to support their achievement. (F. Cram, personal communication, November 2, 2022)

Comparison and Synthesis

The interviewee agreed substantially that the problem type of the working logic is "extent of performance, specifically program performance in meeting of community needs" but added substantial insights. The interviewee recommended that the problem type should consider "potential" rather than "problem" and focus on program and society rather than on people. I integrated these insights to identify the problem type as "extent of achieving community potential by solving program and societal problems rather than people problems."

Indigenous Evaluation Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type as "questions about whether the evaluand is effective or less effective in producing desired outcomes."

> Many times projects are imposed on communities by external funding agencies intent on providing services that will "fix" community "needs." True community priorities are essential to promote sustainable benefits over time. The question that evaluations must address is, "Has the community been affected in a positive way as a result of the program/project/initiative?" (Kawakami et al., 2007, p. 330)

Interview Analysis

The interviewee agreed that the question type is "questions about whether the evaluand is effective or less effective in producing desired outcomes."

Comparison and Synthesis

The interviewee agreed with that the question type is "questions about whether the evaluand is effective or less effective in producing desired outcomes." Therefore, I adopted that

as the final synthesized version.

Indigenous Evaluation Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as "performance value claims, specifically answering the question 'Has the community been affected in a positive way as a result of the program/project/initiative?'" (Kawakami et al., 2007, p. 330).

> From an indigenous perspective, who we are, where we are, and how we work together are of utmost importance in promoting the values of the community (Porima, 2005). Evaluation from the community perspective is about value added to the quality of life that the community cares about. (Kawakami et al., 2007, p. 332)

Interview Analysis

The interviewee agreed that the claim type is "performance value claims, specifically answering the question 'Has the community been affected in a positive way as a result of the program/project/initiative?'"

Comparison and Synthesis

The interviewee agreed that the claim type is "performance value claims, specifically answering the question 'Has the community been affected in a positive way as a result of the program/project/initiative?'" Therefore, I adopted that as the final synthesized version.

Indigenous Evaluation Ontological Approach Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as "constructivist." "Constructivists hold that there are multiple, socially constructed realities" (Guba & Lincoln, 2005). This assumption reflects a relativist view of reality, in which reality is constructed by individuals through reflection upon their experiences and in interaction with others" (Mertens & Wilson, 2019, p. 132). The indigenous evaluation approach specifically emphasizes how indigenous peoples' reality are de-constructed by colonizers and replaced by the social reality constructed by colonizers:

> Indigenous people are often very well aware of the existence of multiple realities as they live in at least two worlds, with their own world being marginalised by colonisers who have privileged their own reality (Reid & Cram, 2004; Smith, 2012). (Cram & Mertens, 2016, p. 172)

One important feature of the Maori and other indigenous groups constructions is "kinship relationships—whanaungatanga—that include genealogical or whakapapa connections with the natural environment and the spirit world" (Cram & Mertens, 2016, p. 173). These connections are foundational to evaluating phenomena.

Interview Analysis

The interviewee partially agreed that the ontological assumption is "constructivist" but suggested "social constructivist" as a better phrase. The following response informed the analysis:

> The construction of reality (is) through talk. And I think that fits really well with the Maori world. We've a saying that the food of our elders is the talk … that we often overlook the importance of the talk that constructs the agenda that brings us together. (F. Cram, personal communication, November 2, 2022)

Comparison and Synthesis

The interview added detail to the source document analysis of the ontological assumption. The synthesized ontological assumption type is "social constructivist."

Indigenous Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as "constructivist." "The constructivist epistemological assumption is that researchers and participants interact through meaningful dialogue and reflection to create knowledge (Guba & Lincoln, 2005)" (Mertens & Wilson, 2019, Kindle Location 4087).

I coded 38 segments of the primary sources to the constructivist epistemological assumptions based on a search for the term "knowledge" and then filtered for content reflecting on the importance and recognizing and integrating indigenous knowledge and indigenous ways of knowing.

> (T)he knowledge held by indigenous peoples is rightfully theirs; they alone can decide how much to share and with whom. Empirical knowledge is that which is usually considered in the conduct of evaluations and should be co-constructed with indigenous peoples. Revealed knowledge is a unique indigenous contribution to transformative thinking about epistemology and thus presents fertile ground for conversations between transformative and indigenous evaluators. Indigenous epistemologies can be further understood through a Māori view of the world as one of connectedness and relationships between Māori, the natural environment, and the universe. (Cram & Mertens, 2016, pp. 174-175)

> Indigenous evaluators present ideas that are not easily accepted by the political powers in terms of issues related to land and identity. Their contribution to divergent understandings of ethics, reality, and knowledge in terms of spirituality and dreams are not commensurate with thinking that holds that evaluation should be based on empirical data, defined as that which can be observed and measured. (Cram & Mertens, 2016, p. 183)

Interview Analysis

The interviewee agreed that the epistemological assumption is "constructivist."

Comparison and Synthesis

The interviewee agreed that the epistemological assumption is "constructivist."

Therefore, I adopted that as the final synthesized version.

Indigenous Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological

assumption as is the theory of justice informed by key concepts of indigenous existence. The

theory of justice axiological assumption is "that programs should be evaluated on their capacity

to meet the material needs of the disadvantaged that, if not met, cause unacceptable harm.

Scriven leans toward this approach, with his concept of needs-based evaluations" (Shadish et al.,

1995, p. 456). Indigenous evaluation identifies indigenous peoples as disadvantaged because of

colonization suppressing core indigenous values. Cram and Mertens (2016) identify five things

required as extensions to axiological assumptions in indigenous evaluation:

> The extensions to the transformative paradigm that are needed to accommodate
> indigenous peoples are the *acknowledgement of indigenous sovereignty*,
> [emphasis added] a broadening of understanding about who our relations are (to
> encompass *the genealogical connectedness indigenous people have with their
> world)*, [emphasis added] and an embracing *of a collective notion of ethics,
> wellbeing, and respect for all living and non-living things*; [emphasis added] as
> well as the *embracing of decolonization* [emphasis added] within the meaning of
> transformation. (p. 172, emphases mine) … the transformation desired by
> indigenous peoples includes decolonization, sovereignty, and *the return of stolen
> resources* [emphasis added] (Cram & Mertens, 2015; Tuck & Yang, 2012). (Cram
> & Mertens, 2016, p. 170)

Interview Analysis

The interviewee agreed that the axiological assumption is "theory of justice informed by key concepts of indigenous existence."

Comparison and Synthesis

The interviewee agreed that the axiological assumption is "theory of justice informed by key concepts of indigenous existence." Therefore, I adopted that as the final synthesized version.

Indigenous Evaluation Approach Feature Profile

Table 9 presents the feature profile for the indigenous evaluation approach.

Table 9
Indigenous Evaluation Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	A program meeting needs in a way that considers cultural fit, indigenous causality and decision making, and colonization and marginalization
Problem type	Extent of achieving community potential by solving program and societal problems rather than people problems
Question type	Questions about whether the evaluand is effective or less effective in producing desired outcomes
Claim type	Performance value claims, specifically answering the question 'Has the community been affected in a positive way as a result of the program/project/initiative
Ontological assumption	Social constructivist
Epistemological assumption	Constructivism
Axiological assumption	Theory of justice informed by key concepts of indigenous existence

Practical Participatory Evaluation (P-PE) Approach

Primary Source Documents

>Cousins, J. B., & Earl, L. M. (2004). The case for participatory evaluation: Theory, research, practice. In J. B. Cousins & L. M. Earl, *Participatory evaluation in education* (pp. 15–32). Routledge.

>Cousins, J. B., & Whitmore, E. (1998). Framing participatory evaluation. *New Directions for Evaluation*, *1998*(80), 5–23.

>Mertens, D. M., Berkeley, T. R., & Lopez, S. D. (1995). Using participatory evaluation in an international context. In J. B. Cousins & L. M. Earl, *Participatory evaluation in education* (pp. 145–163). Routledge.

Member Check Interviewee and Selection Criteria

J. Bradley Cousins, Ph.D. author of 2 primary source documents.

Approach Description and Comparisons to Other Approaches

The current study investigated practical participatory evaluation, which is one of two versions of participatory evaluation. Transformative participatory evaluation is not included in the current study because it did not meet the inclusion criteria.

Participatory evaluation is distinguished from other evaluation approaches in the involvement of the stakeholders in the planning, execution, and/or reporting of the evaluation. "Participatory evaluation implies that, when doing an evaluation, researchers, facilitators, or professional evaluators collaborate in some way with individuals, groups, or communities who have a decided stake in the program, development project, or other entity being evaluated" (Cousins & Whitmore, 1998, p. 5).

Utilization of the evaluation results is a significant objective for using the practical participatory evaluation (P-PE) approach:

>The core premise of P-PE is that stakeholder participation in evaluation will enhance evaluation relevance, ownership, and thus utilization. The utilization

construct has been traditionally conceptualized in terms of three types of effects or uses of evaluation findings: (1) instrumental, the provision of support for discrete decisions; (2) conceptual, as in an educative or learning function; and (3) symbolic, the persuasive or political use of evaluation to reaffirm decisions already made or to further a particular agenda (Leviton and Hughes, 1981; King, 1988; Weiss, 1972, 1979). Typically, impact is conceptualized in terms of effects on an undifferentiated group of "users" or "decision makers." (Cousins & Whitmore, 1998, p. 6)

P-PE Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type of the working logic as "programs defined as a set of treatment related outcomes." The outcomes are seen as being mediated through implementation of the program, so some of the sample segments focused on both implementation and outcomes.

Participatory evaluation is best suited to formative evaluation projects that seek to understand innovations (programs) with the expressed intention of informing and improving their implementation. (Cousins & Earl, 2004, p. 9)

Participatory evaluation … is a strategy or intervention that will produce adaptive knowledge to the extent that it monitors and provides an opportunity for the interpretation of program outcomes and generative knowledge such that interpretations lead to enlightenment or the development of new insights into program operations or effects, or especially organizational processes and consequences. (Cousins & Earl, 2004, p. 11)

Interview Analysis

The interviewee agreed that the phenomenon type is "programs defined as a set of treatment related outcomes." The following response informed the analysis: "It's improvement oriented – you're trying to solve problems or enhance evaluation utilization" (B. Cousins, personal communication, November 15, 2022). Another response critiques the use of the term "treatment" and suggested other terms:

> I'm not sure I would call it a treatment. … the way that I think about interventions or evaluands as you call them is that their response is to identified social, educational, health, community problems, so a program is put in place to ameliorate the situation, the problem that's presenting. (B. Cousins, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee partially agreed with the results of the initial source document analysis that the phenomenon type of the working logic is "programs defined as a set of treatment related outcomes" but suggested that the phenomenon type should avoid the term "treatment" which sounds experimental. The interviewee also focused on the use of the practical participatory approach in formative evaluations which if applied could lead to improvements in the program. I integrated that suggestion into a synthesized phenomenon type of "programs defined as efforts to improve related outcomes."

P-PE Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type as "extent of performance." Again, this is expressed in terms of improving implementation.

> Participatory evaluation is best suited to formative evaluation projects that seek to understand innovations (programs) with the expressed intention of informing and improving their implementation. (Cousins & Earl, 2004, p. 9)

Interview Analysis

The interviewee partially agreed that the problem type is "extent of performance" but emphasized "improvement of the program." The following response informs the analysis:

> The problem is it's trying to render the program more effective… So, is the program meeting its objectives; if not, why not, how can we improve it? What are

its strengths, weaknesses? What kind of changes can we make to the program to make sure it's reaching who it needs to reach, make sure it's providing the appropriate effects that we're looking for. (B. Cousins, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee partially agreed with the results of the primary source document analysis that the problem type of the working logic is "extent of performance" but added that the problem type should emphasize improvement of performance of the program. I integrated that input into a synthesized problem type of "extent of improvement of the performance of the program."

P-PE Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type as "questions about whether the evaluand is effective or less effective in producing desired outcomes." Since the claim is a direct statement answering the question, the same coded segment is presented here as an example of the question type and below as an example of the claim type.

The purpose of the needs assessment was to determine who the training participants would be (i.e., the characteristics of the group to be trained), what training topics should be included in the training, and what training strategies could be used most effectively in Egypt. (Mertens et al., 1995, p. 148)

Interview Analysis

The interviewee partially agreed that the question type is "questions about whether the evaluation is effective or less effective in producing desired outcomes." However, in the following response, the interviewee recommends a focus on program improvement and on different ways it could be improved in addition to outcomes:

It's about the effectiveness of the program, but (you) can improve the programs in other ways – it's all about program improvement. So the questions could be about the reach of the program. Is it reaching the intended, the beneficiaries or are we serving somebody else? It's also about efficiency; could this be done in a different way, in a more cost-effective way? (B. Cousins, personal communication, November 15, 2022)

Comparison Synthesis

The interviewee partially agreed that the question type is "questions about whether the evaluation is effective or less effective in producing desired outcomes" but suggested an emphasis on improvements to the program and on different kinds of improvements such as reach or efficiency. I integrated those suggestion into a synthesized question type as "questions about whether the program is improving in producing desired outcomes, in reach, and in efficiency."

P-PE Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as "performance value claims."

The purpose of the needs assessment was to determine who the training participants would be (i.e., the characteristics of the group to be trained), what training topics should be included in the training, and what training strategies could be used most effectively in Egypt. (Mertens et al., 1995, p. 148)

Interview Analysis

The interviewee partially agreed that the claim type is "performance value claims" but in the following response recommended expanding it to possibly include claims that changes to the program are necessary:

> The program is either operating as intended, and then having the effects that it's having, or it's not and if it's not, you're gonna be claiming that you know changes are required and you know the program can be improved in the following ways, so those would be the kinds of claims you would make coming out of a practical participatory evaluation. (B. Cousins, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee partially agreed that the results of the primary document analysis that claim type is "performance value claims" but suggested it could possibly include claims that changes to the program are necessary. I integrated that suggestion into a synthesized claim type of "performance value claims possibly including claims about changing the program to improve it."

P-PE Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as "constructivist." "Constructivists hold that there are multiple, socially constructed realities" (Guba & Lincoln, 2005). This assumption reflects a relativist view of reality, in which reality is constructed by individuals through reflection upon their experiences and in interaction with others" (Mertens & Wilson, 2019, Kindle Location 4080). The participatory evaluation approach relies heavily on the experiences and interactions between the experienced evaluator and key organizational members in the development and execution of the evaluation.

One segment coded to support this analysis comes from an example of an evaluation following the participatory evaluation approach.

> In part, our approach was grounded in the constructivist paradigm by Guba and Lincoln (1989). Three of the underlying assumptions of the paradigm were

particularly relevant for us in the choice of the participatory approach. First, in the constructivist paradigm, the ontological assumption is made that reality is a social construction. (Mertens et al., 1995, p. 147)

Interview Analysis

The interviewee agreed that the ontological assumption is "constructivist."

Comparison and Synthesis

The interviewee agreed that the ontological assumption is "constructivist." Therefore, I adopted that as the final synthesized version.

P-PE Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as "transactional." This follows logically from the ontological assumption. Again, the segment example comes from an example of an evaluation applying the participatory evaluation approach.

The epistemological assumption in the constructivist paradigm holds that the evaluator and the primary users are engaged in an interlocking process with each affecting the other. (Mertens et al., 1995, p. 147)

Interview Analysis

The interviewee agreed that the epistemological assumption is "transactional."

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the epistemological assumption is "transactional." Therefore, I adopted that as the final synthesized

version.

P-PE Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological

assumption as "stakeholder values." Although the evaluator facilitates the establishment of

criteria for program effective, the actual establishment of the criteria is done by the key members

of the organization as part of their planning and execution of the evaluation:

> Cousins and Earl (1992, 1995) outlined an approach they labeled participatory
> evaluation, which built on the conventional stakeholder model by advocating joint
> ownership and control of technical evaluation decision making, a more
> penetrating role for stakeholders, and restriction of participation to stakeholders
> most closely connected with the program. (Cousins & Whitmore, 1998, p. 7)

Interview Analysis

During the interview I decided, based on early interviewee responses, to update the

primary source document analysis to "the evaluator facilitates the development of the criteria,

but the actual establishment of criteria is done by the stakeholders." The interviewee liked that

update but in the following comment added detail about who the stakeholders or stakeholder

groups might be:

> We're kind of putting all stakeholders into one bucket and talking about
> stakeholder values. In fact, that bucket is quite diverse. Maybe it's a set of buckets
> … there're some people that have more access to power than others, some can
> affect change in the program more so than others and I think if you've got
> intended beneficiaries of the program as part of the stakeholder group working on
> this. They're not as well positioned to make changes, so they have different
> interests, and their values are probably different too. Maybe program managers
> are all about to improve the program, make it more efficient, more cost effective
> and intended program benefits. Beneficiaries could care less about that; they
> would like their circumstances to improve by virtue of engaging with this
> program. So I think we need to be careful about just lumping everybody together.

There's yes, I agree, stakeholder values, but it can be quite diverse across stakeholder groups. (B. Cousins, personal communication, November 15, 2022)

Comparison and Synthesis

The interviewee agreed with the results of the initial source document analysis that the axiological assumption is "stakeholder values" but added substantial insights into the diversity of the stakeholders or stakeholder groups. I integrated those insights into a synthesized claim type of "values of diverse stakeholders or stakeholder groups."

P-PE Approach Feature Profile

Table 10 presents the feature profile for the practical participatory evaluation approach.

Table 10
Practical Participatory Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	Programs defined as efforts to improve related outcomes
Problem type	Extent of improvement of the performance of the program
Question type	Questions about whether the program is improving in producing desired outcomes, in reach, and in efficiency
Claim type	Performance value claims possibly including claims about changing the program to improve it
Ontological assumption	Constructivist
Epistemological assumption	Transactional
Axiological assumption	Values of diverse stakeholders or stakeholder groups

Theory-Driven Evaluation Approach

Primary Source Document

> Donaldson, S. (2022*). Introduction to theory-driven program evaluation: Culturally responsive and strengths-focused applications* (2nd ed.). Taylor & Francis Group.

Member Check Interviewee and Selection Criteria

> Steward Donaldson, Ph.D. selected as author of primary source document.

Approach Description and Comparisons to Other Approaches

The theory driven evaluation approach is a three-step model with a unique first step of developing a program impact theory. This first step is the primary feature that differentiates it from other evaluation approaches:

> The following simple three-step model is proposed for understanding the basic activities of Program Theory-Driven Evaluation Science:
> developing program impact theory;
> formulating and prioritizing evaluation questions; and
> answering evaluation questions.
> Simply stated, evaluators typically work with stakeholders to develop a common understanding of how a program is presumed to solve a problem or problems of interest. This common understanding or program theory helps evaluators and stakeholders identify and prioritize evaluation questions. Evaluation questions of most interest are then answered using the most rigorous scientific methods possible given the practical constraints of the evaluation context. (Donaldson, 2022, p. 10)

> Program Theory–Driven Evaluation Science is the systematic use of substantive knowledge about the phenomena under investigation and scientific methods to improve, to produce knowledge and feedback about, and to determine the merit, worth, and significance of evaluands such as social, educational, health, community, and organizational programs.
> Program theory-driven evaluation science is often used to (a) develop and improve programs and organizations focused on preventing and solving a wide range of pressing human concerns and problems, (b) to aid decision making, (c) to facilitate organizational learning and the development of new knowledge, and (d) to meet transparency and accountability needs. (Donaldson, 2022, p. 9)

Theory-Driven Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type of the working logic as "programs defined as a set of treatment related outcomes." I coded 23 segments of the source documents to this phenomena type.

However, the relationship between program and outcomes is not simply an input to output model, but can include multiple layers of outcomes, mediators, and moderators. The theory-driven evaluation approach utilizes models of how the program is supposed to work (program process theory) and of how it is implemented (program impact theory):

> In summary, the variable-oriented approach has been the most commonly used approach in program theory-driven evaluation science to represent program theories. The foundation of the variable approach consists of three basic relationships (direct, mediator, and moderator relationships). A variety of more complex program impact theories are possible using the basic building-block relationships as a foundation (i.e., direct, indirect, and moderator). For example, multiple mediation links may be posited for linking a program with its outcomes. (Donaldson, 2022, p. 35)

Interview Analysis

The interviewee agreed that the phenomenon type is 'programs defined as a set of treatment related outcomes" but mentioned that evaluands other than programs such as personnel, organizational, and change initiatives are evaluated using the theory-driven approach.

Comparison and Synthesis

The interviewee agreed with the results of the primary source document analysis that the phenomenon type is "programs defined as a set of treatment related outcomes" but suggested that evaluands other than programs such as personnel, organizations, and change initiatives are

evaluated using the theory-driven approach. I integrated the suggestion into a synthesized phenomenon type of "evaluands including programs, personnel, organizations, and change initiatives defined as a set of treatment related outcomes."

Theory-Driven Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type of the working logic as "extent of performance or effectiveness evaluation." Evaluations are built around program impact theories which specify the expected cause-effect relationships. "Program impact theory … describes the cause-and-effect sequences that link the program services and activities to proximal and distal outcomes" (Donaldson, 2022, p. 28).

Programs can also be evaluated for causal efficacy using the Theory-Driven approach, although Donaldson (2022) suggests they frequently are not. "Programs very often bypass efficacy evaluation and are developed, implemented, and evaluated in the field. In fact, one might argue that the bulk of contemporary evaluation practice now involves program effectiveness evaluation" (p. 26).

Interview Analysis

The interviewee agreed that the problem type is "extent of performance or effectiveness evaluation" but suggested that the problem investigated may only focus on a few parts of the entire theory of change:

> Oftentimes they don't have the time, the budget, the will to evaluate, everything in that theory of change, they ask us to home in on certain features and a lot of times, we're not doing causal analysis, although the theory of change is causal …. We may be looking at is the program being implemented as intended, are we seeing initial outcomes, not long-term effects. (S. Donaldson, personal

communication, December 26, 2022)

Comparison and Synthesis

The interviewee agreed that the problem type of the working logics is "extent of performance or effectiveness evaluation" but suggested that the problem may only focus some of the theory of change: I integrated that suggestion into a synthesized problem type of "extent of performance, effectiveness evaluation, or some features of the theory of change."

Theory-Driven Evaluation Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type of the working logic as "questions about whether the evaluand is effective or less effective in producing desired outcomes." Donaldson (2022) provides a chapter on writing evaluation questions which includes this example list:

> Are the intended curricula being delivered with high fidelity to the intended students?
> Are there students or families with needs that the program is not reaching?
> Are the desired short-term outcomes (mediators) being achieved?
> Are the desired longer term or ultimate outcomes of concern being achieved?
> Does the program have any adverse side effects?
> Are some recipients affected more by the program than others (moderator effects)? Does the program work better under some conditions than others (moderator effects)? Are the resources being used efficiently?
> Is the cost reasonable in relation to the benefits?
> Would alternative educational approaches yield equivalent or more benefits at less cost? (p. 47-48)

Interview Analysis

The interviewee agreed that sometimes the question type is "questions about whether the evaluand is effective or less effective in producing desired outcomes" but added that in many

instances they use a participatory approach which includes having stakeholders select the questions they want answered: The following response informed the analysis:

> We do all the upfront work, so that we get a common understanding of what it is they're trying to achieve and accomplish. … Then we go through a process where, "what are all the kind of questions we could ask about this thing", and we try to lay these out comprehensively as possible, and then, we say … given the time we have and the budget we have, let's, really home in on priorities. And what questions would be the most helpful (at) this point in time? … very few of our stakeholders say … the long-term outcome. They often are much more focused on implementation and immediate short-term effects. (S. Donaldson, personal communication, December 26, 2022)

Comparison and Synthesis

The interviewee agreed that sometimes the question type of the working logic is "questions about whether the evaluand is effective or less effective in producing desired outcomes" (the result of the analysis of the primary sources document) but added that in many instances stakeholders select the questions they want answered. I integrated that input into a synthesized question type of "questions selected by stakeholders about various features of the program theory of change including implementation, short term effects, and whether the evaluand is effective or less effective in producing desired outcomes."

Theory-Driven Evaluation Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type of the working logic is "causal value claims." Fournier describes a causal/value type as "(the claim) that answers questions such as Is A more effective than B in producing X? Does program A cause more of X than program B? (the question) (Cook, 1991; Cook and Campbell, 1979)" (Fournier, 1995, p. 20). Theory-driven effectiveness evaluations do not necessarily compare the programs

to other programs, but rather to the expected outcomes.

I coded the term "expected" 15 times in the primary source document in contexts related to outcomes. Donaldson (2022) suggests that the results may not necessarily be as expected, nor not necessarily linear:

> Lipsey (1990) provided some useful figures for thinking about the relationships between a program and its expected outcomes. Figure 2.9 illustrates four possible program-effect decay functions. (p. 39)

Interview Analysis

The interviewee agreed that the claim type is sometimes "causal value claims" but added that the claim type may be defined by client expectations. The following response informs the analysis:

> And as you have causal claims, but we're often the group that's funding us, the client, they're the ones that quote "are asking us to are paying for certain types of claims", and so we sort of are guided by what they want or what they need. (S. Donaldson, personal communication, December 26, 2022)

Comparison and Synthesis

The interviewee agreed that the claim type is sometimes "causal value claims" (the results of the analysis of the primary source documents) but added that the claims may be informed by the client's expectations. I integrated that addition into the synthesized claim type of "claims prioritized by client expectations (including causal value claims)."

Theory-Driven Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as realist because of its focus on causality. "Program impact theory … describes the

cause-and-effect sequences that link the program services and activities to proximal and distal outcomes" (Donaldson, 2022, p. 28). This analysis is based on Bhaskar's thoughts as reflected by Brousselle and Burgeya (2018).

> Ontological realism considers the objects of knowledge to be: a) real structures and causal processes that "operate independently of our knowledge, our experience, and the conditions which allow us access to them" (Bhaskar, 2008; p. 15) and b) categorical distinctness between the transitive and intransitive domains of science. The transitive domain refers to lasting social structures as well as to causal pathways that might change over time, while the intransitive domain refers to our deeper construction of that reality. (p. 158)

Interview Analysis

The interviewee agreed that the ontological assumption is "realist" but added the comment that in practice it is important to align to the ontological assumption of the client about what counts as evidence. The following response illustrates this addition:

> What I'm saying is what you believe is credible and actionable evidence is often driven by the client, by the stakeholders, and so if a stakeholder says I only believe in causal-experimental evidence, it's not a good idea to do qualitative work cause they'll never accept it; on the other hand, if they say I don't believe in quant or experimental, and I need to hear all these different realities, these – there's no one reality, there are multiple realities. Then we know how to collect data to do that even, though that may not be sort of what we normally do. (S. Donaldson, personal communication, December 26, 2022)

Comparison and Synthesis

The interviewee agreed that the ontological assumption is "realist" but added in practice it is important to align to the ontological assumption of the client about what counts as evidence. I integrated that insight into a synthesized ontological assumption of "realist unless what counts as evidence requires adaption to the client's ontological assumptions."

Theory-Driven Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological

assumption as "pragmatist:"

> Pragmatists argue that there are multiple explanations of reality and that at any
> given time there is one explanation that makes the most sense. In other words, at
> one point in time, a single explanation of reality may be considered "truer" than
> another. Furthermore, pragmatists ... believe that causes may be linked to effects.
> However, they temper this thinking with the caveat that absolute certainty of
> causation is impossible. (Alkin, 2013, p. 14)

> This analysis is based on the focus on causes and effects in Theory-Driven
> evaluation. Program impact theory … describes the cause-and-effect sequences
> that link the program services and activities to proximal and distal outcomes.
> (Donaldson, 2022, p. 28).

Interview Analysis

The interviewee agreed that epistemological assumption is "pragmatist."

Comparison and Synthesis

The interviewee agreed that the epistemological assumption is "pragmatist.' Therefore, I

adopted that as the final synthesized version.

Theory-Driven Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological

assumption as "stakeholder values." Stakeholders are heavily involved in creating the logic

models diagramming the program action model, which would include the expected outcomes.

Simply stated, evaluators typically work with stakeholders to develop a common understanding of how a program is presumed to solve a problem or problems of interest… This common understanding or program theory helps evaluators and stakeholders identify and prioritize evaluation questions. Evaluation questions of most interest are then answered using the most rigorous scientific methods possible given the practical constraints of the evaluation context. (Donaldson, 2022, p. 10)

Interview Analysis

The interviewee agreed that the axiological assumption is "stakeholder values."

Comparison and Synthesis

The interviewee agreed that the axiological assumption is "stakeholder values."

Therefore, I adopted that as the final synthesized version.

Theory-Driven Evaluation Approach Feature Profile

Table 11 presents the feature profile for the theory-driven evaluation approach.

Table 11

Theory-Driven Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	Evaluands including programs, personnel, organizations, or change initiatives defined as a set of treatment related outcomes
Problem type	Extent of performance, effectiveness evaluation, or some features of the theory of change
Question type	Questions selected by stakeholders about various features of the program theory of change including implementation, short term effects, and whether the evaluand is effective or less effective in producing desired outcomes
Claim type	Claims informed by client expectations (including causal value claims)
Ontological assumption	Realist unless what counts as evidence requires adaption to the client's ontological assumptions
Epistemological assumption	Pragmatist
Axiological assumption	Stakeholder values

Transformative Evaluation Approach

Primary Source Document

Mertens, D. (2007). Transformative paradigm: Mixed methods and social justice. *Journal of Mixed Methods Research*, *1*(3), 212–225.

Member Check Interviewee and Selection Criteria

Donna Mertens, Ph.D. selected as author of primary source document.

Approach Description and Comparisons to Other Approaches

Transformative mixed methods research is needed because research does not necessarily serve the needs of those who have traditionally been excluded from positions of power in the research world, and therefore the potential to further human rights through a research agenda has not been fully realized. The transformative paradigm provides such a framework for examining assumptions that explicitly address power issues, social justice, and cultural complexity throughout the research process (Mertens, 2007, pp. 212-213).

Transformative Evaluation Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type as "a program defined as a means of meeting needs." Nine segments of the primary source document included the terms "need" or "needs" of the individuals or groups that would be impacted by the program under evaluation. For example, "A central element is the revisiting of program processes and outcomes so that modifications can be made and implemented to better match the community's needs" (Mertens, 2007, p. 220). Some statements critiqued evaluation planning if it did NOT adequately identify needs.

The following quote is an example of data I coded that supports the analysis:

She used quantitative demographic and epidemiological data to describe the audience most in need of the intervention, and she used qualitative data from focus groups to obtain information regarding the meaning of HIV/AIDS in the Botswana culture. Thus, her mixed methods revealed not only that the intervention *targeted the wrong group* [emphasis added] (English-speaking and English-reading individuals) but that it was *not conceptually relevant to the most vulnerable people's understandings of the disease* [emphasis added]. (Mertens, 2007, p. 217)

Interview Analysis

The interviewee agreed that the phenomenon type is "a program defined as a means of meeting needs" but suggested that the phenomena include not only the program itself, but also the broader context and systems in which the program operates. The following response informed the analysis:

> I think saying a program defined as a means of meeting needs might be a little too narrow for how I conceptualize what's being evaluated because I put it in the larger context. And so it would also include that kind of contextual analysis of what are the variables here that have led to the situation that we're in right now, and that requires data collection and critical reflection on the meaning of that so that we get a better picture of for example why these inequities exist? … there's a program but it sits inside a system. (D. Mertens, personal communication, October 19, 2022)

Comparison and Synthesis

The interviewee confirmed the source document analysis of the phenomena type but added detail. The synthesized phenomena type is "a program situated in a context and system as a means of meeting needs."

Transformative Evaluation Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the problem type as "the extent of need fulfillment and transformation." I inferred this from the focus on needs determination in several segments of the primary source document. One segment suggests that mixed methods research reveals the needs to be served within some populations:

> Transformative mixed methods research is needed because research does not necessarily serve the needs of those who have traditionally been excluded from positions of power in the research world, and therefore the potential to further human rights through a research agenda has not been fully realized. (Mertens,

2007, p. 212)

Another segment critiques methods of treatment assignment that do not recognize differences in needs among different people. "Given the individual nature of such a person's needs, how can his or her 'treatment' be determined by random assignment?" (Mertens, 2007, p. 221).

Interview Analysis

The interviewee agreed with the problem type as "the extent of need fulfillment and transformation" but extended the idea of transformation to explicitly include concepts of power, structure, and systems to clarify the need for transformation. The following response informed the analysis:

> I think it's fair to say that there's a need to understand what the power structure is, and to challenge that power structure in ways that bring the voices of people who aren't in positions, traditional positions of power. (D. Mertens, personal communication, October 19, 2022)

> Trying to identify those parts of the system that are sustaining an oppressive or inequitable status quo cause that's what has to change. And if we don't change that, then it's just a Band-aid. It's just a window dressing, you know. (D. Mertens, personal communication, October 19, 2022)

> Understanding the problem from the perspective of the person who's experiencing it. And what the parameters are around that, that continue to support the status quo, and what we need to change in order to see transformation. (D. Mertens, personal communication, October 19, 2022)

Comparison and Synthesis

The interview confirmed the source document analysis of the problem type but added detail to the problem type. The synthesized problem type is "the extent of need fulfillment and transformation required to change power structures and systems to include voices of people not

in traditional positions of power."

Transformative Evaluation Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the question type as "questions about justly meeting needs across all power levels." "Social justice" is part of title of Mertens's 2007 article, and 17 coded segments mentioned or discussed social justice. The questions not only are about needs, but also about the needs defined by those across the power levels represented in the evaluation. The impact of the focus on power levels in the question type is illustrated in a discussion of research Mertens (2007) conducted and her concerns about who frames the questions. The following quote is an example of data I coded that supports the analysis:

> However, allowing those with power to frame the questions and methods would have resulted in a continuation of an overall context that had permitted many young deaf people to be seriously psychologically and physically hurt. (p. 214)

Interview Analysis

The interviewee has expanded the types of justice beyond social justice to include other types. The following response informed the analysis:

> We definitely ask questions – how does this contribute to – and I know in my more recent writings, I'm including social, economic, and environmental justice rather than just the social justice that I initially focused on. (D. Mertens, personal communication, October 19, 2022)

Mertens also added questions about evidence for transformation in power relationships and structures actually occurring and being sustainable:

> Included in that would be what kind of relationships are necessary, because you want to value that knowledge that's being brought from the community base and

how can relationships be structured so that they are given the respect that they deserve and their knowledge is valued, and it's used as a part of the process for the evaluation itself and having that in place in the right way gives you the hope of sustainability. (D. Mertens, personal communication, October 19, 2022)

Comparison and Synthesis

The interviewee confirmed the source document analysis of the question type but added breadth to the types of justice. The synthesized question type is "questions about 1) justly meeting needs across all power levels, 2) including social, economic, and environmental justice, and 3) seeking evidence of transformation in power relationships and structures both actually occurring and being sustainable."

Transformative Evaluation Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the claim type as "a claim that the program justly meets needs across all power levels." This claim type is inductively identified from the question type, not directly coded in the primary source document. However, a segment from Mertens (1999) supports this analysis by focusing on the need to have the report include groups with lower power. The following quote is an example of data I coded that supports the analysis:

> And truth is defined as being inclusive of the perspectives of those with the lived experience with the problem, whatever it might be - spousal abuse, sexual abuse, poor educational service, or lack of equal access to the justice system.
> A good evaluator would want to provide as accurate a picture as possible. When significant voices are missing, the picture is not complete and may actually be a distorted representation of reality … Can a report be balanced when the voices of important constituencies are missing or inaccurately represented, or lost in the aggregation of data across groups? (Mertens, 1999, p. 6)

This informs the following segment from Mertens (2007) that I then also coded with this

claim type of "a claim that the program justly meets needs across all power levels." "A central element is the revisiting of program processes and outcomes so that modifications can be made and implemented to better match the community's needs" (Mertens, 2007, p. 220). This refers to modifications of the outcomes based on inclusion of insights from groups with lower power levels.

Interview Analysis

The interviewee agreed with the claim type as a claim that the program justly meets needs across all power levels and with my suggestion based on earlier discussion in the interview that the claim should also include sustainability and other kinds of economic and environmental issues as well. The interviewee added a clarifying focus on respectful relationships across those power levels. The following response informed the analysis:

> If I wanted to make a claim, I'd wanna say that there were culturally respectful relationships. I'd wanna say that the value of the knowledge of community members was valued and used in the process; that capabilities across the board have been raised because that contributes to sustainability. If you have people who learn how to interact with the powers in ways to do bring their real needs to attention and results in them getting services that are more appropriate, then wow! What a claim we could make. (D. Mertens, personal communication, October 19, 2022)

Comparison and Synthesis

The interviewee confirmed the source document analysis of the claim type but added detail focusing on respectful relationships as core to the sustainability of the results. The synthesized claim type is "a claim that the program justly meets needs across all power levels, includes economic and environmental concerns, and produces sustainable results based on respectful relationships."

Transformative Evaluation Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as "constructivist." "Constructivists hold that there are multiple, socially constructed realities" (Guba & Lincoln, 2005). This assumption reflects a relativist view of reality, in which reality is constructed by individuals through reflection upon their experiences and in interaction with others" (Mertens & Wilson, 2019, p. 132). I coded three segments of the primary source for ontology and all reference multiple realities. The following quote is data I coded to support the analysis and provides a complete explanation from Mertens (2007):

> There are multiple realities that are socially constructed, but it is necessary to be explicit about the social, political, cultural, economic, ethnic, racial, gender, age, and disability values that define realities. Different realities can emerge because different levels of unearned privilege are associated with characteristics of participants and researchers. Transformative researchers need to be aware of societal values and privileges in determining the reality that holds potential for social transformation and increased social justice. (p. 216)

Interview Analysis

The interviewee partially agreed that the ontological assumption is somewhat constructivist but argued that we need to focus on the underlying reason that people in different realities live in different realities. The following response informed the analysis:

> Yeah, I think this is something where I felt like I just had to create something new. Because you know, thinking there's an objective reality out there that you can go measure, or that reality is socially constructed without putting these other bits on it, ignores that people in different social positionalities live with different realities. (D. Mertens, personal communication, October 19, 2022)

Recognizing that different versions of reality are based on social positionalities and sustain social injustice gives the evaluator the perspective that they need to reveal and support

transformation of the social positionalities. The following response informed the analysis:

> Well, just to go back to ontology, because I think it has methodological implications what assumption you accept. And if I accept that there are multiple realities, and they come from different social positionalities, and some of those versions of reality are going to sustain oppression and other versions of those realities are going to lead to transformation then my job is to make visible those versions of reality, and where they came from, and what their consequences are, and so to me it just goes to methodology, it informs methodology. (D. Mertens, personal communication, October 19, 2022)

Comparison and Synthesis

The interview partially supported the source document analysis of the ontological assumption but added important emphasis around the social positionalities that can reveal and be used to transform social relationships. The synthesized ontological assumption is "transformative." "The transformative ontological assumption holds that there are different versions of reality and that these versions of reality are created from different social positionalities and degrees of power" (Mertens, 2016, p. 104).

Transformative Evaluation Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as "transactional" because of its focus on interaction between the evaluators and participants to create knowledge. The following quote is an example of data I coded that informed the analysis:

> Morrow (2007) explains that the epistemology is transactional in the sense that evaluators and participants interact with each other in order to come to a shared understanding of what is known. It is subjectivist in that evaluators are cognizant of their and the participants' values, and they expect that their commitment to social justice and human rights will influence the evaluation process and findings. (Mertens & Wilson, 2019, Kindle Locations 5031-5044)

Mertens and Wilson (2019) define transactional epistemology in a way that both

describes it and links it explicitly to transformative evaluation:

> The transformative epistemological assumption holds that knowledge is neither
> absolute nor relative. Rather, it is constructed within a context of power and
> privilege with consequences attached to which version of knowledge is given
> privilege. In order to know a community's realities, the evaluators need to have an
> interactive link with the community members. The transformative epistemological
> assumption holds that knowledge is socially and historically located within a
> complex cultural context (Mertens, 2015). (Mertens & Wilson, 2019, Kindle
> Locations 5000-5004)

This is reflected in one of the three segments coded in the core document in Mertens's

(2007) explanation of the epistemological assumptions of transformative evaluation:

> The transformative paradigm's epistemological assumption leads to a cyclical
> model of research that includes the establishment of partnerships between
> researchers and community members, including the recognition of power
> differences and building trust through the use of culturally competent practices.
> (p. 218)

Interview Analysis

The interviewee agreed with the source document analysis and focused on two parts of

the epistemological assumptions, knowledge and trust. The following response informed the

analysis:

> I think the epistemological has two parts, and I think you have them both reflected
> there. The nature of knowledge, and then the relationship between the evaluator
> and the stakeholders. … We need to be able to value the knowledge that comes
> from experience in the community and not just like the academic knowledge, or
> the people who created the program knowledge but people who are living in that
> community and experiencing the problem or wanting to make their communities
> better. What's their knowledge? … And that brings you to the second part of
> epistemology, where you have to figure out how to have those relationships. So
> that the power is shared, and I'm glad to see you also included the bit about
> building trust cause that's huge. (D. Mertens, personal communication, October
> 19, 2022)

Comparison and Synthesis

The interview agreed that the epistemological assumption is "transactional." Therefore, I adopted that as the final synthesized version.

Transformative Evaluation Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological assumption as "theory of justice." The theory of justice axiological assumption is that "programs should be evaluated on their capacity to meet the material needs of the disadvantaged that, if not met, cause unacceptable harm. Scriven leans toward this approach, with his concept of needs-based evaluations" (Shadish et al., 1995, p. 456).

One of two segments coded to this assumption in the core document (Mertens, 2007) supports this analysis:

> The transformative axiological assumption holds that ethical research needs to be designed so that it promotes social justice and furthers human rights. The starting point for ethical research is to understand the meaning of being culturally respectful in the communities in which we work, consciously addressing inequities, recognizing a community's strengths and resilience, and providing for reciprocity to the community members. (p. 222)

Interview Analysis

The interviewee agreed with the source document analysis but added economic and environmental justice. The following response informed the analysis:

> It's I know is to promote justice, and like I said, I would just integrate the social, economic, and environmental justice at this point, and furthering human rights. And I do think it involves showing respect at a cultural level, and that we, if we don't consciously address inequities, then we're not gonna reduce them. (D. Mertens, personal communication, October 19, 2022)

Comparison and Synthesis

The interview agreed that the axiological assumption is "social justice" but added economic and environmental justice and human rights. I integrated those additional ideas into a synthesized axiological assumption as "social, economic, and environmental justice and human rights."

Transformative Evaluation Approach Feature Profile

Table 12 presents the feature profile for the transformative evaluation approach.

Table 12

Transformative Evaluation Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	A program situated in a context and system as a means of meeting needs
Problem type	The extent of need fulfillment and transformation required to change power structures and systems to include voices of people not in traditions positions of power
Question type	Questions about 1) justly meeting needs across all power levels, 2) including social, economic, and environmental justice, and 3) seeking evidence of transformation in power relationships and structures both actually occurring and being sustainable
Claim type	A claim that the program justly meets needs across all power levels, includes economic and environmental concerns, and produces sustainable results based on respectful relationships
Ontological assumption	There are different versions of reality and that these versions of reality are created from different social positionalities and degrees of power
Epistemological assumption	Transactional
Axiological assumption	Social, economic, and environmental justice and human rights

Utilization-Focused Evaluation (UFE) Approach

Primary Source Documents

> Patton, M. Q. (2004). Utilization-focused evaluation. In S. Mathison (Ed.), *Encyclopedia of evaluation*. SAGE Publications, Incorporated.

> Patton, M. Q. (2015). The sociological roots of utilization-focused evaluation. *The American Sociologist*, *46*.

> Patton, M.Q. (2022a, February 3). *Minimum specifications for utilization-focused evaluation* [Video]. YouTube. https://www.youtube.com/watch?v=c3wbO1UGyIo

Member Check Interviewee and Selection Criteria

Michael Q. Patton, Ph.D. selected as author primary source documents and video.

Approach Description and Comparisons to Other Approaches

Utilization-Focused Evaluation responds to concerns that evaluations are not always utilized.

> UFE begins with the premise that evaluations should be judged by their utility and actual use; therefore, evaluators should facilitate the evaluation process and design any evaluation with careful consideration of how everything that is done, from beginning to end, will affect use. Use concerns how real people in the real world apply evaluation findings and experience the evaluation process. Therefore, the focus in utilization-focused evaluation is on intended use by intended users. Since no evaluation can be value-free, utilization-focused evaluation answers the question of whose values will frame the evaluation by working with clearly identified, primary intended users who have the responsibility to apply evaluation findings and implement recommendations. (Patton, 2015b, p. 458)

The following response during the interview with the theorist behind UFE clarifies that it is a broad approach that is the source of and selection tool for the theorist's other evaluation approaches:

> Everything – developmental, blue marble, principles-focused – they all come from Utilization-Focused and so I treat utilization-focused evaluation as a way of making decisions about what approach to use. (M. Patton, personal communication, December 12, 2022)

UFE Approach Phenomenon Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified the phenomena type as "programs defined as a set of values identified by stakeholders." Utilization-focused evaluation aligns with pluralistic evaluation's "emphasis upon the importance of eliciting the views of programme planners, providers and participants" (Clarke, 1999, p. 19).

> Utilization-focused evaluation requires moving from the passive notion of informing an audience to the active concept of working with intended users to meet their evaluative information needs. This means identifying specific primary intended users and their explicit commitments to concrete, specific uses. The evaluator facilitates judgment and decision making by intended users rather than acting solely as a distant, independent judge. (Patton, 2004, p. 429)

> A constructionist evaluator expects that different stakeholders involved in a program (e.g., staff, clients, families of clients, administrators, funders) will have different experiences and perceptions of the program, all of which deserve attention and all of which are experienced as real. The constructionist evaluator captures these different perspectives through open-ended interviews and observations, and then examines the implications of different perceptions (or multiple "realities"). … The sociology of knowledge classic, *The Social Construction of Reality*, by Berger and Luckmann (1967), is the foundation for valuing the diverse perspectives of multiple stakeholders in program evaluation generally and U-FE specifically. (Patton, 2015b, pp. 459-460)

Interview Analysis

The interviewee disagreed that the phenomenon type is limited to "programs defined as a set of values identified by stakeholders" and suggested broadening the phenomenon type in two ways. First, the interviewee commented that the evaluand is not just a program. The following response supports the analysis:

> And therefore it is not defined by a –from my point of view … by a particular evaluand – the evaluand is evaluation, and under utilization-focused evaluation, anything can be the evaluand. It's not limited to programs or projects. And it's any kind of an intervention or initiative". (M. Patton, personal communication,

December 12, 2022)

The second suggestion is about broadening the source of the values and is supported by the following interview response: "It's not defined only by the values identified by stakeholders. It includes the context, what the evaluator brings to it … the evaluator's role and values" (M. Patton, personal communication, December 12, 2022).

Comparison and Synthesis

The interviewee disagreed with the results of the primary source document analysis that the phenomenon type is limited to "programs defined as a set of values identified by stakeholders" and suggested broadening the phenomenon type in terms of evaluand and source of values. Integrated those additions into a synthesized phenomenon type of "any initiative defined by values identified by stakeholders, the context, and the evaluator's roles and values."

UFE Approach Problem Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified that the problem type could be "either extent of performance or causal efficacy." Since the stakeholders establish the framework of the evaluation, either problem type could be relevant.

> Utilization-focused evaluation is a process for making decisions about an evaluation's priority purpose and design in collaboration with an identified group of primary users focusing on their intended uses of the evaluation. (Patton, 2015b, p. 458)

> Utilization-focused evaluation, in particular, brings together multiple stakeholders with diverse perspectives to ensure the relevance, credibility, and utility of the results, including making judgments about program effectiveness, learning key lessons, accountability to funders and the public, and illuminating the future development of new interventions. (Patton, 2015b, p. 460)

Interview Analysis

The interviewee disagreed that the problem type is limited to "either extent of performance or causal efficacy" but suggested that "it can deal with any kind of problem" (M. Patton, personal communication, December 12, 2022) and also that the problem is "doing something that is useful and actually used" (M. Patton, personal communication, December 12, 2022).

Comparison and Synthesis

The interviewee disagreed that the problem type is limited to "either extent of performance or causal efficacy" (the results of the analysis of the primary source documents) but suggested that "it can deal with any kind of problem while doing something that is useful and actually used." I integrated those suggestions into a synthesized problem type of "any kind of problem while doing something that is useful and actually used."

UFE Approach Question Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified that the question type "could be any of the three example types" provided by Fournier (1993), questions about the qualities that make the evaluand good or less than good, about whether the evaluation is good or less good than others, or questions about whether the evaluand is effective or less effective in producing desired outcomes. Since the stakeholders establish the framework of the evaluation, any of these question types could be relevant. The questions come from the evaluator's interactions with the stakeholders and inform the methods of research needed to inform those

questions:

> Indeed, qualitative evaluation and in-depth case studies were utilization-focused
> methodological responses to the kinds of evaluation questions stakeholders were
> asking and the criteria they applied to judge quality of findings: contextual
> understanding, in-depth analysis, and cross-case comparisons. (Patton, 2015b, p.
> 461)

Interview Analysis

The interviewee disagreed that the question type is limited to "any of the three example types" but suggested in the following response expanding the question type: "could ask any questions; it's not limited, but the underlying question is, what will be useful, what questions are worth answering because they'll lead to action" (M. Patton, personal communication, December 12, 2022).

Comparison and Synthesis

The interviewee disagreed that the question type of the working logic is limited to "any of the three example types" (the results of the analysis of the primary source documents) but suggested expanding the question type to any questions with the underlying question "what will be useful, are worth answering because they'll lead to action?" I integrated those ideas into a synthesized question type of "question with an underlying question 'what will be useful, and will it lead to action?'"

UFE Approach Claim Type

Source Document Analysis

Based on my analysis of the primary source documents, I identified that the claim type "could be either performance value claims or causal value claims." Since the stakeholders

establish the framework of the evaluation, either claim type could be relevant.

> Utilization-focused evaluation, in particular, brings together multiple stakeholders with diverse perspectives to ensure the relevance, credibility, and utility of the results, including making judgments about program effectiveness, learning key lessons, accountability to funders and the public, and illuminating the future development of new interventions. (Patton, 2015b, p. 460)

Interview Analysis

The interviewee disagreed that the claim type "could be either performance value claims or causal value claims" but said that the claim type is "is it useful?" (M. Patton, personal communication, December 12, 2022).

Comparison and Synthesis

The interviewee disagreed with results of the analysis of the primary source documents "that the claim type could be either performance value claims or causal value claims" but said that the claim type is "is it useful?" I deferred to the interviewee and defined the synthesized claim type as "it is or is not useful?"

UFE Approach Ontological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the ontological assumption as "constructivist." There are multiple realities which can be known by different stakeholders.

> A constructionist evaluator expects that different stakeholders involved in a program (e.g., staff, clients, families of clients, administrators, funders) will have different experiences and perceptions of the program, all of which deserve attention and all of which are experienced as real. … The sociology of knowledge classic, *The Social Construction of Reality*, by Berger and Luckmann (1967), is the foundation for valuing the diverse perspectives of multiple stakeholders in

program evaluation generally and U-FE specifically. (Patton, 2015b, pp. 459-460)

Interview Analysis

The interviewee disagreed that the ontological assumption of the approach is the same as the interviewee's personal assumption of "constructivism", but that "the evaluation approach for both ontology and epistemology I would say, is pragmatism, that what is useful, is true because that's the essence of this is guided by what's useful" (M. Patton, personal communication, December 12, 2022).

Comparison and Synthesis

The interviewee disagreed that the ontological assumption of the approach is "constructivism' but stated that it is "pragmatism." For the synthesized ontological assumption, I deferred to the interviewee and define it as "pragmatism."

UFE Approach Epistemological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the epistemological assumption as "constructivist." "The constructivist epistemological assumption is that researchers and participants interact through meaningful dialogue and reflection to create knowledge (Guba & Lincoln, 2005)." (Mertens & Wilson, 2019, Kindle Location 4087).

> Utilization-focused evaluation, in particular, brings together multiple stakeholders with diverse perspectives to ensure the relevance, credibility, and utility of the results, including making judgments about program effectiveness, learning key lessons, accountability to funders and the public, and illuminating the future development of new interventions. (Patton, 2015b, p. 460)

Interview Analysis

The interviewee disagreed that the epistemological assumption of the approach is the same as the interviewee's personal assumption of "constructivism", but that "the evaluation approach for both ontology and epistemology I would say, is pragmatism, that what is useful, is true because that's the essence of this is guided by what's useful" (M. Patton, personal communication, December 12, 2022).

Comparison and Synthesis

The interviewee disagreed that the epistemological assumption of the approach is "constructivism' but stated that it is "pragmatism." For the synthesized epistemological assumption, I defer to the interviewee and define it as "pragmatism."

UFE Approach Axiological Assumption

Source Document Analysis

Based on my analysis of the primary source documents, I identified the axiological assumption as "stakeholder values."

> Since no evaluation can be value-free, utilization-focused evaluation answers the question of whose values will frame the evaluation by working with clearly identified, primary intended users who have the responsibility to apply evaluation findings and implement recommendations. (Patton, 2015b, p. 458)

Interview Analysis

The interview disagreed with the results of the primary source documents analysis that the axiological assumption is "stakeholder values." The following response explains and suggests a different axiological assumption:

And the axiological piece is also pragmatism, in the sense that the basis of

pragmatism was really to take action. … And so the actions that flow from utilization-focused evaluation are pragmatic in that utility guides action. What is again, what is useful is true, so it's pretty consistently pragmatic. My own view is certainly constructivist, but the approach I would say is more pragmatic." (M. Patton, personal communication, December 12, 2022)

Comparison and Synthesis

The interview disagreed that the axiological assumption is "stakeholder values." The interviewee stated that the axiological assumption is "pragmatism," therefore I adopted that as the final synthesized version.

UFE Approach Feature Profile

Table 13 presents the feature profile for the utilization-focused evaluation approach.

Table 13
Utilization-Focused Approach Feature Profile

Feature	Synthesized Result
Phenomenon type	Any kind of initiative defined by values identified by stakeholders, the context, and the evaluator's roles and values
Problem type	Any kind of problem while doing something that is useful and actually used
Question type	Question with an underlying question 'what will be useful, and will it lead to action?'
Claim type	It is or is not useful
Ontological assumption	Pragmatism
Epistemological assumption	Pragmatism
Axiological assumption	Pragmatism

Summary of the Results from Phases I Through III

I produced feature profiles for all 11 selected contemporary evaluation approaches (see Appendix E). These results answer research questions 1a and 1b about the parameters of working logics and the philosophical assumptions of the approaches I studied.

Parameter Type Differences Between Approaches

Fournier (1995) suggests that approaches can be characterized by the parameters of their working logics. "Each evaluation approach has its own working logic. Working logic guides and informs evaluators about how to reason to justify conclusions using a specific evaluation approach" (Fournier, 1995, p. 18). In this study, the combination of the four working parameter types identified in phases III I-IV was unique for each approach.

Parameter Type Cluster Differences Between Approaches

In this section I recast the results of the definitions of the parameters in terms of clusters. I created clusters because my initial scan of the results revealed that many of the defined parameter types and many of the defined philosophical assumptions were phrased uniquely. The parameter types and the philosophical assumptions are uniquely phrased in many cases, so there is a low likelihood of patterns of more than one parameter type being aligned with a philosophical assumption across all approaches. To increase the likelihood of more that more than one parameter type would be aligned with a philosophical assumption, I created clusters of parameter types and of philosophical assumptions by identifying features that had common core concepts and/or contained similar phrases. For example, there were four approaches with these phenomenon types:

- An evaluand identified with a set of products associated with *meeting needs* related to values identified by stakeholders

- Programs defined as a means of *meeting needs*
- A program *meeting needs* in a way that considers cultural fit, indigenous causality and decision making, and colonization and marginalization
- A program situated in a context and system as a means of *meeting needs*

I've highlighted the phrase "meeting needs" in the phenomena type in the list above to highlight the similarities I used to create the clusters. I named this cluster "meeting needs." Not all clusters contained identical terms or phrases, but even without identical terms or phrases I could identify similarities by reviewing the primary source segments or interview responses I used to identify the parameter type or philosophical assumption. I describe and present the parameter type clusters and the philosophical assumption clusters as tables are in Appendix F. In this recast of the results, I analyzed whether each approach has a unique set of parameters by comparing the four parameter <u>clusters</u> across all approaches (see Table 18). While as expected, six of the approaches do have unique parameter clusters, five do not. Two approaches, CIPP and goal-free, have a common set of parameter clusters and three other approaches, empowerment, PP-E, and theory-driven, have a different common set of parameter clusters across the four parameter types. I discuss how we can understand these results might mean and how to account for and/or adapt our work on feature profiles in the suggestions for future research in Chapter V. The following section presents the results from phase IV, the examination of the reflection on the parameters of the working logics from the philosophical assumptions.

<center>Introduction to the Results from Phase IV</center>

In the following section I present the results from phase IV that answer research question 1c about the reflections from the philosophical assumptions to the parameters of the working logics across all approaches. I looked for evidence of reflections by looking for cases where an assumption was matched either uniquely with a parameter type in only one approach or for cases

Table 18

Alignment of Parameter Type Clusters to Approaches

Approach	Phenomena Type Cluster	Problem Type Cluster	Question Type Cluster	Claim Type Cluster
CIPP	Meeting needs	Performance	Outcomes	Performance
Goal-Free				
Transformative	Meeting needs	Systems	Action	Systems
Indigenous	Meeting needs	Systems	Outcomes	Performance
Empowerment	Performance	Performance	Outcomes	Performance
P-PE				
Theory-Driven				
Feminist	Performance	Systems	Outcomes	Pragmatic
Developmental	Performance	Systems	Systems	Systems
CRE	Pluralistic	Pluralistic	Systems	Pragmatic
Utilization-Focused	Pluralistic	Utilization	Action	Pragmatic

where that same specific assumption to parameter match occurred across more than one approach. If a parameter reflects a philosophical assumption, that parameter would always be matched with that assumption and only that assumption for any or all evaluation approaches. For example, a particular phenomenon type (for example, a program meeting needs) would only be matched to one ontological assumption (for example, empiricism) and no other phenomenon type would be matched to that ontological assumption. As I explained above, I developed clusters of assumptions to clarify the results. Using these clusters, I examined the feature profiles of all approaches for evidence of reflection of the philosophical assumptions on the parameters of the working logics by searching for patterns in the occurrence of clusters of philosophical assumptions across clusters of parameter types.

Reflection of Assumptions to Parameters

Background

If philosophical assumptions are aligned with working parameters, we might be able to start with a known philosophical assumption for an evaluation and use its alignment with the parameter to project the related working parameter cluster and also suggest an appropriate approach to use for an evaluation if the alignment is unique to an approach. If philosophical assumptions are not aligned with specific parameter types, we might not be able to project the parameters or recommend an approach without identifying the parameters.

Patterns of reflections to the parameters from the philosophical assumptions are revealed in the alignment of the clusters of assumptions to the parameters of the working logic. The patterns answer the question: "How are philosophical assumptions of evaluation approaches reflected in the parameters of their working logics?" The following sections describe the

alignment of the philosophical assumption clusters with the parameter clusters. At the end of each section, I report on whether or not there are clear unique alignments between the philosophical assumption cluster and the phenomena type clusters.

Ontological Assumption Cluster Alignments to Parameter Clusters

The following paragraphs describe the patterns of alignment of ontological assumptions clusters with each of the four parameter clusters. I present the alignment of ontological assumption clusters with the four phenomena type clusters and the approach(es) where that alignment appears in Table 19.

Ontological Assumption Cluster Alignments with Phenomena Type Clusters

There are seven ontological assumption clusters. The constructivist ontological assumption cluster aligns with two phenomena type clusters, meeting needs (two approaches) and outcomes (one approach). Those two phenomena type clusters are also aligned to other ontological assumption clusters: the meeting needs cluster with two and the outcomes cluster with four other ontological assumption clusters.

The pragmatism ontological assumption cluster aligns with three different phenomena type clusters: outcomes, meeting needs, and pluralistic (each with one approach) Those three phenomena type clusters were also aligned to other ontological assumption clusters: the outcomes cluster with four, the meeting needs cluster with two, and the pluralistic cluster with one.

The feminist, objectivist, realist, subjectivist, and systems ontological assumption clusters each align with only one phenomena type cluster. However, those phenomena type clusters are also aligned with at least one other ontological assumption cluster.

Table 19

Ontological Assumption Clusters Aligned to Parameters Clusters

Ontological Assumption Cluster	Phenomena Type Cluster	Problem Type Cluster	Question Type Cluster	Claim Type Cluster	Approach
Constructivist	Meeting Needs	Systems	Outcomes	Performance	Indigenous
	Outcomes	Performance	Outcomes	Performance	P-PE
	Meeting Needs	Systems	Action	Systems	Transformative
Feminist	Outcomes	Systems	Outcomes	Pragmatic	Feminist
Objectivist	Meeting Needs	Performance	Outcomes	Performance	CIPP
Pragmatism	Outcomes	Performance	Outcomes	Performance	Empowerment
	Meeting Needs	Performance	Outcomes	Performance	Goal-Free
	Pluralistic	Utilization	Action	Pragmatic	Utilization-Focused
Realist	Outcomes	Performance	Outcomes	Performance	Theory-Driven
Subjectivist	Pluralistic	Pluralistic	Systems	Systems	CRE
Systems	Outcomes	Systems	Systems	Systems	Developmental

There is no clear unique alignment between the ontological assumption cluster and the phenomena type clusters.

Ontological Assumption Cluster Alignments with Problem Type Clusters

The constructivist ontological assumption cluster aligns with two problem type clusters, systems (two approaches) and performance (one approach). Those two problem type clusters are also aligned to other ontological assumption clusters: the systems cluster with two and the performance cluster with three.

The pragmatist ontological assumption cluster aligns with two problem type clusters, performance (two approaches) and action (one approach). Those two problem type clusters are also aligned to other ontological assumption clusters: the performance cluster with three and the action cluster with one other ontological assumption cluster.

The feminist, objectivist, realist, subjectivist, and systems ontological assumption clusters each align with only one problem type cluster. However, those problem type clusters are also aligned with at least one other ontological assumption cluster. The subjectivist ontological assumption cluster (one approach) is uniquely aligned with the pluralistic problem type cluster.

With that one exception, there is no clear unique alignment between the ontological assumption clusters and the problem type parameter clusters.

Ontological Assumption Cluster Alignments with Question Type Clusters

The constructivist ontological assumption cluster aligns with two question type clusters, outcomes (two approaches) and action (one approach). Those two question type clusters are also aligned to other ontological assumption clusters: the outcome cluster with four and the action cluster with one.

The pragmatist ontological assumption cluster aligns with two question type clusters, outcomes (two approaches) and actions (one approach). Those two question type clusters are also aligned to other ontological assumption clusters: the outcome cluster with three and the action cluster with one.

The feminist, objectivist, realist, subjectivist, and systems ontological assumption clusters each align with only one question type cluster. However, those question type clusters are also aligned with at least one other ontological assumption cluster.

There is no clear unique alignment between the ontological assumption clusters and the problem type clusters.

Ontological Assumption Cluster Alignments with Claim Type Clusters

The constructivist ontological assumption cluster aligns with two claim type clusters, performance (two approaches) and systems (one approach). Those two claim type clusters are also aligned to other ontological assumption clusters: the performance cluster with three and the systems cluster with two.

The feminist, objectivist, realist, subjectivist, and systems ontological assumption clusters each align with only one claim type cluster. However, those claim type clusters are also aligned with at least one other ontological assumption cluster.

There is no clear unique alignment between the ontological assumption clusters and the claim type clusters.

Epistemological Assumption Cluster Alignments to Parameter Clusters

There are five epistemological assumptions clusters (see Table 20). The following paragraphs describe the patterns of alignment of epistemological assumptions clusters with

Table 20

Epistemological Assumption Clusters Aligned to Parameters Clusters

Epistemological Assumption Cluster	Phenomena Type Cluster	Problem Type Cluster	Question Type Cluster	Claim Type Cluster	Approach
Constructivist	Outcomes	Systems	Outcomes	Pragmatic	Feminist
	Meeting Needs	Systems	Outcomes	Performance	Indigenous
	Outcomes	Performance	Outcomes	Performance	P-PE
	Meeting Needs	Systems	Action	Systems	Transformative
Objectivist	Meeting Needs	Performance	Outcomes	Performance	CIPP
Pragmatist	Outcomes	Performance	Outcomes	Performance	Empowerment
	Meeting Needs	Performance	Outcomes	Performance	Goal-Free
	Outcomes	Performance	Outcomes	Performance	Theory-Driven
	Pluralistic	Utilization	Action	Pragmatic	Utilization-Focused
Subjectivist	Pluralistic	Pluralistic	Systems	Systems	CRE
Systems	Outcomes	Systems	Systems	Systems	Developmental

parameter clusters.

Epistemology Assumption Cluster Alignments with Phenomena Type Clusters

The constructivist epistemological assumption cluster aligns with two phenomena type clusters, meeting needs (two approaches) and outcomes (two approaches). Those two phenomena type clusters are also aligned to other epistemological assumption clusters: the meeting needs cluster with two and the outcomes cluster with two. The pragmatist epistemological assumption cluster aligns with three phenomena type clusters, outcomes (two approaches), meeting needs (one approach) and pluralistic (one approach). Two of those three phenomena type clusters are also aligned to other epistemological assumption clusters: the outcomes cluster with two and the meeting needs cluster with one, but the pluralistic phenomenon type is uniquely aligned with the utilization-focused approach in the pragmatist epistemological assumptions cluster.

The objectivist, subjectivist, and systems epistemological assumption clusters each align with only one phenomenon type cluster. However, the phenomena type clusters aligned with the objectivist and systems epistemological assumptions clusters are also aligned with at least one other epistemological assumption cluster, while the pluralistic phenomena type is uniquely aligned with the CRE approach in the subjectivist epistemological assumption cluster.

With two exceptions in epistemological assumptions clusters aligned with only one evaluation approach, there is limited alignment between the epistemological assumption clusters and the phenomena type clusters.

Epistemology Assumption Cluster Alignments with Problem Type Clusters

The constructivist epistemological assumption cluster aligns with four problem type clusters, systems (three approaches) and performance (one approach). Those two problem type

clusters are also aligned to other epistemological assumption clusters: the systems cluster with one and the performance cluster with two.

The pragmatist epistemological assumption cluster aligns with two problem type clusters, performance (three approaches) and utilization (one approach). The performance problem type cluster was also aligned to two other epistemological assumption clusters, but the utilization problem cluster was uniquely aligned with the utilization-focused approach in the pragmatist parameter epistemological cluster.

The objectivist, subjectivist, and systems epistemological assumption clusters each align with only one problem type cluster. However, the problem type clusters in the objectivist and systems epistemological type clusters are also aligned with at least one other epistemological assumption cluster, while the subjectivist epistemological cluster is uniquely aligned with the CRE approach in the pluralistic problem type cluster.

With two exceptions where the problem type is aligned with only one evaluation approach, there is limited alignment between the epistemological assumption clusters and the problem type parameter clusters.

Epistemology Assumption Cluster Alignments with Question Type Clusters

The constructivist epistemological assumption cluster aligns with two question type clusters, outcomes (two approaches) and action (one approach). Those two question type clusters are also aligned to two other epistemological assumption clusters: the outcomes cluster with two and the action cluster with one.

The pragmatist epistemological assumption cluster aligns with two question type clusters: outcomes (three approaches) and action (one approach). Both of those question type clusters are also aligned to other epistemological assumption clusters: the outcomes cluster with two and the

action cluster with one.

The objectivist, subjectivist, and systems epistemological assumption clusters each align with only one question type cluster. However, the question type clusters aligned with those epistemological assumption clusters are also aligned with at least one other epistemological assumption cluster.

There is no clear unique alignment between the epistemological assumption clusters and the question type clusters.

Epistemology Assumption Cluster Alignments with Claim Type Parameter Clusters

The constructivist epistemological assumption cluster aligns with three claim type clusters, performance (two approaches), pragmatic (one approach), and systems (one approach). Those three claim type clusters are also aligned to other epistemological assumption clusters: the performance cluster with two, the pragmatic with one, and the systems cluster with two.

The pragmatist epistemological assumption cluster aligns with two claim type clusters, performance (three approaches) and pragmatic (one approach). Both of those claim type clusters are also aligned to other epistemological assumption clusters: the performance cluster with two and the pragmatic cluster with one.

The objectivist, subjectivist, and systems epistemological assumption clusters each align with only one phenomenon type cluster. However, the claim type clusters aligned with those epistemological assumptions clusters are also aligned with at least one other epistemological assumption cluster.

There is no clear unique alignment between the epistemological assumption clusters and the claim type clusters.

Axiological Assumption Cluster Alignments to Parameter Clusters

There are five axiological assumptions clusters (see Table 21). The following paragraphs describe the patterns of alignment of axiological assumptions with parameter clusters.

Axiological Assumption Cluster Alignments with Phenomena Type Parameter Clusters

The justice axiological assumption cluster aligns with two phenomena type clusters, meeting needs (two approaches) and outcomes (one approach). Those two phenomena type clusters are also both aligned to other axiological assumption clusters. The pluralistic axiological assumption cluster aligns with two phenomena type clusters, meeting needs and pluralist, both with one approach. Both of those phenomena type clusters are also aligned to at least one to other axiological assumption cluster.

The pragmatism axiological assumption cluster aligns with two phenomena type clusters, meeting needs and pluralistic, both with one approach. Both of those phenomena type clusters are also aligned to at least one other axiological assumption cluster.

The stakeholder axiological assumption cluster aligns with one phenomena type cluster (3 approaches). That phenomena type cluster is also aligned to two other axiological assumption clusters.

There is no clear unique alignment between the axiological assumption clusters and the phenomena type parameter clusters.

Axiological Assumption Cluster Alignments with Problem Type Parameter Clusters

The justice axiological assumption cluster aligns with the systems problem type cluster (three approaches). That problem type cluster is also aligned to one other axiological assumption cluster.

The pluralistic axiological assumption cluster aligns with two problem type clusters,

Table 21

Axiological Assumption Clusters Aligned to Parameters Clusters

Axiological Assumption Cluster	Phenomena Type Cluster	Problem Type Cluster	Question Type Cluster	Claim Type Cluster	Approach
Justice	Outcomes	Systems	Outcomes	Pragmatic	Feminist
	Meeting Needs	Systems	Outcomes	Performance	Indigenous
	Meeting Needs	Systems	Action	Systems	Transformative
Pluralistic	Meeting Needs	Performance	Outcomes	Performance	CIPP
	Pluralistic	Pluralistic	Systems	Systems	CRE
Pragmatism	Meeting Needs	Performance	Outcomes	Performance	Goal-Free
	Pluralistic	Utilization	Action	Pragmatic	Utilization-Focused
Stakeholder	Outcomes	Performance	Outcomes	Performance	Empowerment
	Outcomes	Performance	Outcomes	Performance	P-PE
	Outcomes	Performance	Outcomes	Performance	Theory-Driven
Systems	Outcomes	Systems	Systems	Systems	Developmental

performance and pluralistic (one approach each). Both of those problem type clusters are also aligned to at least one other axiological assumption cluster.

The pragmatism axiological assumption cluster aligns with two problem type clusters, performance and utilization both with one approach. The performance problem type cluster is also aligned to at least one other axiological assumption cluster, while the pragmatism axiological cluster is uniquely aligned with the utilization-focused approach in the utilization problem type cluster.

The stakeholder axiological assumption cluster aligns with one problem type cluster (3 approaches). The problem type cluster is also aligned with at least one other axiological assumption cluster.

The systems axiological cluster is aligned with the developmental evaluation approach in the systems problem type cluster. That problem type cluster is aligned with at least one other axiological assumption cluster.

With one exception where the problem type is aligned with only one evaluation approach, there is limited alignment between the axiological assumption clusters and the problem type parameter clusters.

Axiological Assumption Cluster Alignments with Question Type Parameter Clusters

The justice axiological assumption cluster aligns with two question type clusters, outcomes (two approaches) and action (one approach). Both of those question type clusters are also aligned to at least one other axiological assumption cluster.

The pluralistic axiological assumption cluster aligns with two question type clusters, outcomes and systems (one approach each). Both of those question type clusters are also aligned to at least one other axiological assumption cluster.

The pragmatism axiological assumption cluster aligns with two question type clusters, outcomes and action, both with one approach. Both of those question type clusters are also aligned to at least one other axiological assumption cluster.

The stakeholder axiological assumption cluster aligns with one question type cluster (3 approaches). That question type cluster is also aligned with at least one other axiological assumption cluster.

The systems axiological cluster is aligned with the developmental evaluation approach in the systems question type cluster. That question type cluster is aligned with at least one other axiological assumption cluster.

There is no clear unique alignment between the axiological assumption clusters and the question type parameter clusters.

Axiological Assumption Cluster Alignments with Claim Type Parameter Clusters

The justice axiological assumption cluster aligns with three claim type clusters, pragmatic, performance, and systems, each with one approach). Each of those problem type clusters are also aligned to at least one other axiological assumption cluster.

The pluralistic axiological assumption cluster aligns with two claim type clusters, performance and systems (one approach each). Both of those claim type clusters are also aligned to at least one other axiological assumption cluster.

The pragmatism axiological assumption cluster aligns with two claim type clusters, performance and pragmatic, both with one approach. Both of those claim type clusters are also aligned to at least one other axiological assumption cluster.

The stakeholder axiological assumption cluster aligns with one claim type cluster (3 approaches). That claim type cluster is also aligned with at least one other axiological

assumption cluster.

The systems axiological cluster is aligned with the developmental evaluation approach in the systems claim type cluster. That claim type cluster is aligned with at least one other axiological assumption cluster.

There is no clear unique alignment between the axiological assumption clusters and the claim type parameter clusters. However, the axiological assumption clusters are aligned across all of the parameter cluster types creating sets of approaches in an interesting way (refer back to Table 21) that should be examined in future studies. The stakeholder axiological cluster is aligned with the same set of working logic parameters for 3 approaches, empowerment, P-PE, and theory-driven. The problem type and question type parameter clusters align very similarly across the approaches within the axiological clusters. On the surface it is not surprising that axiology assumption is a strong organizing assumption across approaches as values (whether acknowledged or not) are embedded in the logic and process of evaluation.

Summary

I searched for patterns of influence by looking for similar alignments of working logic parameter clusters with philosophical assumptions clusters. There are three clusters of phenomenon types, four clusters of problem types, three clusters of question types, and three clusters of claim types for a total of 13 parameter clusters. There are seven clusters of ontological assumptions, five clusters of epistemological assumptions, and five clusters of axiological assumptions for a total of 17 philosophical assumption clusters. Across those 221 potential alignments, there are only five instances of unique alignments where an assumption cluster was aligned to only one parameter cluster from the perspective of working logic parameters reflecting philosophical assumptions. That indicates for 216 possible alignments philosophical assumptions

clusters are aligned to more than one parameter clusters and there is no pattern. The small

number of alignments suggest that the reflection of assumptions to parameters will not be a

useful tool to project parameters or to recommend approaches.

In Chapter V I discuss the results including the study objective, the answers to the

research questions, and the applications, implications, and limitations of the current research.

CHAPTER V

DISCUSSION

Chapter Structure

In this chapter I discuss the following topics: my success in achieving the study objective; how the results of the research answer the research questions; the possible application and implications of the results for the evaluation field though the use of these results by evaluation, practitioners, teachers, and students; the contributions of the study to the field of evaluation; and the implications for future research about evaluation approaches; and how the research results might have been and/or were limited and/or enabled by the procedures, tools, samples, the perspectives of the researcher, and the perspectives of the interviewees. I conclude with closing thoughts about the study.

Achieving the Study Objective

I planned the study with the objective of developing a new descriptive and explanatory structure for evaluation approaches named a "feature profile." The descriptive aspect of the feature profile would combine Fournier's (1995) working logic four parameter types with the ontological, epistemological, and axiological philosophical assumptions of the evaluation approaches. The explanatory aspect of the objective would explain how the parameter types might reflect the philosophical assumptions of the evaluation approaches.

I achieved the descriptive aspect of the objective by creating feature profiles for the 11 evaluation approaches included in the study. The details of the individual descriptive feature

profiles are reported in Chapter IV and discussed under the answers to questions 1a and 1b in following sections.

I also analyzed how the philosophical assumptions are reflected in the parameter types across the approaches, however the results show that there are very few direct unique reflections. Most parameter types were aligned with more than one philosophical assumption, so it is not possible to project from the philosophical assumptions to the parameters of an evaluation approach. This lack of unique reflections is discussed under the answer to question 1c below.

I could only describe the reflection of the parameters from the assumptions if specific parameters of the working logics of evaluation approaches do directly reflect the philosophical assumptions of the selected approaches. Before I completed the study, I did not know (and no other published research reported) whether and/or how the parameters of working logics of program evaluation approaches reflect the philosophical assumptions of program evaluation approaches. Although the study does not confirm that the parameters of working logics of program evaluation approaches uniquely reflect the philosophical assumptions of program evaluation approaches, I did achieve both descriptive and explanatory aspects of the objective. I discuss this finding and its implications and applications in the discussion of the answer research question 1. I will answer the research questions and discuss what I learned about answering them in the next section.

Answers to and Implications of the Answers to the Research Questions

In this section I provide overviews of the answers to the research questions and describe and discuss other things learned about finding the answers to the questions and how the answers can impact how, research, teach, learn, and practice program evaluation. The results of the current study describe selected contemporary evaluation approaches using Fournier's (1995) four

parameters of working logics and three underlying philosophical assumptions. These descriptions can help evaluation practitioners, teachers, and students of evaluation to understand, distinguish between, select, and apply evaluation approaches.

Research Question 1

The primary research question investigated in the current study is:

What are the similarities and differences between contemporary program evaluation approaches as described by Fournier's (1995) four parameters of their working logic and their philosophical ontological, epistemological, and axiological assumptions?

We now know the similarities and differences between contemporary program evaluation approaches as described by Fournier's (1995) four parameters of their working logic and their philosophical ontological, epistemological, and axiological assumptions. I answer the primary question in more detail and consider the implications of the answer by answering and discussing the answers to the three secondary questions in the following sections.

Research Question 1a

What are the characteristics of contemporary program evaluation approaches as described by Fournier's (1995) four parameters of the working logic of evaluation?

Overview

I answer research question 1a in Chapter IV by describing all four of the parameters of the working logics for the individual selected contemporary program evaluation approaches. In the following sections I discuss several contributions related to question 1a to the study of evaluation: the need for, development, and research implications of parameter clusters; the challenges and solutions to defining parameters; and the impacts and applications of having

defined parameters and parameter clusters for evaluation approaches.

Phase III Parameter Types Versus Parameter Clusters

Parameter types I defined in phases III-IV do differentiate between approaches, but the parameter clusters I developed to answer question 1c do not differentiate. The unique individual parameters and philosophical assumptions are useful in comparing and contrasting approaches (and for applying those comparisons and contrasts), but the clusters or types (as Fournier (1995) termed them) allow analysis and application of similar approaches. I suggest that clusters and the term types used by Fournier (1995) are at the same level of description and are interchangeable terms. Future research should also define both the unique descriptions and the clusters of features to achieve the richness of the unique descriptions that can be used to understand, differentiate, and apply the approaches while also using the broader clusters to enable analysis of the reflections from the parameters to the philosophical assumptions.

Challenges and Barriers to Defining Parameters.

In the following sections I discuss some challenges and barriers to defining parameters of working logics and describe the steps I took to resolve them. The barriers and challenges included term and concept barriers to defining parameters, limited references to parameters of working logics, conflicting common definitions of terms for parameters, parameter changes over time, and multiple or complex parameters within approaches.

Term and concept barriers to defining parameters. I expected that the member-check interviews would confirm the analyses of the primary source documents. However, the responses to questions in the interviews sometimes informed the analyses of the primary source documents and required additions to and/or modifications of those analyses. I made some adjustments based

on interviewee suggestion of a different term, for example in the CIPP analysis when the primary

document analysis used the term "programs," the interviewee suggested the term "evaluand" to

include non-program evaluands such as enterprises or organizations. In the same interview, the

interviewee suggested I emphasized the term "product" of the evaluand, since "product" is the

fourth stage of the CIPP model. This is one of the examples of where the interviewee partially

agreed with the results of the primary source document analysis but added or suggested specific

terms.

There were other examples where the interviewee disagreed with the results of the

primary source document analysis and suggested an alternative definition. In most of those

instances, I deferred to the interviewee because I could support the definition in the primary

source documents. In one instance, the interviewee disagreed with the primary source documents

analyses, but could not provide an alternative, so I retained the description based on the

documents. This discovery implies the significance of using member check interviews to confirm

or inform feature identification.

Limited references to parameters of working logics. Another barrier to defining

parameters from primary source documents is the limited use of the concept in scholarly

literature. While Fournier's (1995) article has been cited at least 112 times, most cites related to

her description of the general logic of evaluation, not to informal logic or parameter types. The

concept of parameter types itself has not been widely addressed in scholarly literature, so the

specific terms "phenomena," "problem," "question," and "claim" do not necessarily appear as

parameter types in the primary source documents. I developed a coding manual (see Appendix

C) to add descriptions and/or descriptive quotes for each parameter type that included examples

and terms for reading and searching the documents. Table 24 is an example section of the coding

guide. I looked for and searched for the terms "phenomena," "evaluand," program(s)," "needs," "outcomes," "stakeholders," "experts," and "qualities" when identifying phenomenon types.

Conflicting common definitions of terms for parameters. Although the specific terms "phenomena," "problem," "question," and "claim" are not necessarily discussed as parameters, they are common in the evaluation field. I provided the interviewees with definitions, explanations, and examples of the parameter types in email attachments (see Appendix D for an example) and during the interviews to clarify and align our perspectives on parameter types.

Parameter changes over time. I also modified some of the parameters in stage III syntheses because the approaches had changed since the publication of the primary source documents. The characteristics of approaches can change over time, but scholarly publications may not reflect those changes because they aren't included in a document for scholarly publication or because of the length of the review and publication process. In the sampling process I searched for the most recent documents to use in phase I, but responses during the member check interviews occasionally identified documents about to be published which would reveal changes in the working logic parameters. I could not anticipate those changes, but I did modify the analyses and updated the synthesized parameters to reflect those changes as needed.

Multiple or complex parameters within approaches. I discovered one significant difference between the working logic parameter types in Fournier's approach examples the approaches I included in my research. While Fournier aligned a single parameter type to a single approach, I found two other types of alignment patterns. First, for some approaches I identified more than one parameter type that Fournier (1995) identified as unique to an approach. For example, in the phase I analysis of the CIPP evaluation approach I identified the phenomena type

of the working logic as "a program defined as a set of goals and outcomes associated with meeting needs related to values identified by stakeholders." This phenomena type includes three of the four example phenomenon types (needs, outcomes, and stakeholders) each identified with a different approach by Fournier (1995). I also identified a second type of parameter to approach pattern where some approaches covered any parameter type for a given parameter. For example, utilization-focused evaluation can address any type of evaluand (M. Patton, personal communication, December 12, 2022). The implications of these wider or open sets of parameters to approach patterns are that we can and should look for more than one parameter type in an evaluation context and that identifying more than one type can suggest the applicability of different or multiple approaches to that context. In the following sections I discuss the possible application of parameter types in evaluation study and practice.

Applications of Parameter Types

Distinguishing between evaluation approaches using parameter types. Evaluation approaches can be characterized by the phenomenon, problem, question, and claims of their working logics. For example, an approach may characterize the problem based on one axiology's source of value, while another approach could characterize based on another source of value. However, the results revealed that parameter clusters are NOT always unique for individual evaluation approaches.

Selecting evaluation approaches using parameter types. The results provide insights into the types of phenomena, problems, questions, and claims of selected evaluation approaches. These factors could be used to select an evaluation approach that aligns with the evaluation context as defined by the evaluation request, the evaluator, and/or stakeholders who may be

involved in the evaluation to a different extent based on the evaluation approach. For example, if stakeholders present a specific question an approach can be selected by matching that question with the question type parameter for the approach(es).

Applying evaluation approaches using parameter types. Applying an evaluation approach is informed by the parameters of the working logic. Different questions require different processes used to answer the question. For example, answering the question "How valuable does the program feel to the participants?" requires a different process than answering "Did the program meet the objectives of the program managers?" Although approaches are not necessarily methods, the different parameters point to the way to view the phenomenon, what kind of problem will be confronted and thereby the ways to confront the problem, the kinds of questions to be posed and what kinds of claims are to be made, thereby influencing the methods to be applied to find the answers to the questions and the way to present the claims.

Research Question 1b

What are the philosophical ontological, epistemological, and axiological assumptions of contemporary program evaluation approaches? The answer to research question 1b is in the listings in Chapter IV of the philosophical assumptions of the selected contemporary program evaluation approaches. In the following sections I discuss the challenges to defining philosophical assumptions and the impacts and applications of defined philosophical assumptions.

Defining Philosophical Assumptions of Evaluation Approaches

There are definable ontological, epistemological, and axiological assumptions for the evaluation approaches. I defined them by coding based initially on from Mertens and Wilson's

(2019) terms in the philosophical assumptions of evaluation approaches, but I developed an expanded and more defined set of terms including quotations as I completed the analysis (see Tables C5 – C7 in Appendix C and the tables in Appendix G for the additions of parameter). The following are some of the things we now know about defining philosophical assumptions.

Challenges and Barriers to Defining Philosophical Assumptions.

The primary challenges and barriers to defining philosophical assumptions are the limited references to them. Not all approaches explicitly use the terms "ontology," "epistemology," or "axiology" in scholarly documents to state their philosophical assumptions and even fewer describe them in detail. I applied common terms from the coding manual descriptions and descriptive quotations related to those assumptions in reading and searching the primary source documents. For example, in identifying ontological assumptions, I applied terms such as "reality," "cause," or "true." In identifying epistemological assumptions, I applied such terms as "knowledge," "knowing," "perception(s)," "learning," and "construction." In identifying axiological assumptions, I applied such terms as "value(s)," "good," "criteria," "ethics." The application of these terms helped to discover segments I used to identify the philosophical assumptions.

Some of the interviewees made comments about their usual lack of focus on philosophical assumptions but I provided them the approach analyses from phase III to prompt their consideration of the philosophical assumptions and followed with questions in the interview about the definitions of the assumptions I reported in the approach analyses.

Implications and Applications of the Philosophical Assumptions

The knowledge level of understanding the philosophical assumptions is to be able

identify and define the ontological, epistemological, and axiological assumptions of a program

evaluation approach. The philosophical assumptions are held by evaluation requestors,

evaluators, and the evaluation stakeholders and they may be different for each of them. This

knowledge level can be applied to distinguish, select, and apply program evaluation approaches.

Distinguishing Between Evaluation Approaches Using Philosophical Assumptions

Evaluation approaches differ in their philosophical assumptions. For example, an

approach may apply one axiology's source of value, while another approach would apply another

source of value.

Selecting Evaluation Approaches Using Philosophical Assumptions

The results provide insights into the philosophical assumptions of evaluation approaches.

These factors could be used to select an evaluation approach that aligns with the evaluation

context. For example, the stakeholders of an evaluation may hold a particular philosophical view

that is not in alignment with the philosophical assumptions of the select evaluation approach and

might reject an evaluation at some point in the process because of the conflict between the

philosophical assumptions. For example, stakeholders who do not hold pluralist assumptions

may reject a plan that involves multiple groups in planning, executing, and/or reporting the

evaluation.

Applying Evaluation Approaches Using Philosophical Assumptions

Applying an evaluation approach should be constrained by the philosophical assumptions

of the evaluation approach. The way the question is formed is based on the philosophical

assumptions of the approach. Different questions require different processes used to answer the

question. For example, answering the question "How valuable does the program feel to the

participants?" requires a different process than answering "Did the program meet the objectives of the program managers?" The difference between these two questions could be based on different views on the source of the values (axiology).

Research Question 1c

In what ways do Fournier's (1995) four parameters of the working logic of evaluation reflect philosophical ontological, epistemological, and axiological assumptions of contemporary program evaluation approaches? The parameter types of working logics of evaluation approaches do not exhibit a direct pattern reflection from their philosophical assumptions. In the following sections I discuss the challenges to identify patterns of reflections from philosophical assumptions to parameters of working logics of evaluation approaches and the impacts and applications of the findings on the patterns.

Identifying Patterns of Reflections from Philosophical Assumptions to Parameters of Working Logics

I answered research question 1c by looking for patterns in the occurrence of philosophical assumptions with parameter types. For example, I filtered the matrix of working logic parameter types and philosophical assumptions across all of the selected approaches (Appendix D1) on the constructivist ontological assumption. I identified a version of the constructivist ontological assumption in three of the selected approaches. The parameters of the working logics were not similar enough for those three approaches to conclude that the parameters of the working logics consistently reflected the constructivist ontological assumptions of the selected approaches.

The philosophical assumptions are widely different across the 11 approaches. There are eight ontological assumptions, seven epistemological assumptions, and 10 axiological

assumptions. The lack of similar philosophical assumption types across the approaches prevents the identification of patterns in the parameters.

I did not identify patterns in the occurrence of similar philosophical assumptions across similar parameter types, so based on these results the four parameters of the working logic of evaluation do not consistently reflect the ontological, epistemological, or axiological assumptions of the selected contemporary program evaluation approaches. Appendix E presents the matrix of approach parameters and philosophical assumptions for the selected contemporary program evaluation approaches.

Implications and Applications of the Reflection of Parameters from the Assumptions

The results do not reveal a clear pattern of relationships that reveal that the parameter types as defined in phase III or clusters defined for research question 1c of the evaluation approaches reflect their philosophical assumptions. This does not mean that the parameters do not reflect philosophical assumptions, but that groups of assumption are not uniquely reflected by groups of parameters. In practice this means that parameters cannot be projected from philosophical assumptions.

Contributions to the Study of Evaluation

The process and results of the current study contribute in many ways to the study of evaluation. The following sections lists and explains the contributions as needed.

Parameter Types Connected to Contemporary Evaluation Approaches

While the parameters comprise the structures of the working logics of the evaluation approaches, they are not widely taught, known, or applied. The primary source documents do not reflect consideration of the working logics nor did the interviewees suggest that they had

considered the working logic questions prior to reviewing the approach analysis I asked them to respond to. This study recognizes and presents the parameters as definable (and defined) and important characteristics of evaluation approaches. They are not currently a focus of approach descriptions nor are widely taught or learned as they should be. The parameters should fit together logically in a way that makes sense so that potential users of the evaluation are likely to use the results because they understand and agree with the logic.

Parameter Type Identification for 11 Contemporary Evaluation Profiles

One important contribution is the completed profiles of 11 contemporary evaluation approaches, which include parameter types for 10 contemporary evaluation approaches in addition to one of those identified by Fournier. The addition of these approaches makes it possible to consider them for selection and application based on the alignment of parameters to the evaluation context.

Expanded List of Parameter Types

Fournier (1995) identified one unique phenomena type for five approaches and one problem, question, and claim type for three approaches she used as examples. In the current study I identified 10 additional phenomenon types, eight additional problem types, eight additional question types, and six additional claim types (see Appendix G). The addition of these parameter types improves the ability to understand and apply current evaluation approaches and to identify the parameters of new approaches as they are developed.

Clarified Steps to Define Parameters and Philosophical Assumptions of Evaluation Approaches

I developed and explained steps that can be used to define parameters of working logics and ontological, epistemological, and axiological assumptions of evaluation approaches.

Previous studies identified these components of a feature profile but did not suggest how to identify them. The first step is using deductive coding generated from existing lists from sources that describe these features of evaluation approaches. I used not only the specific terms from those lists but also included identified synonyms for those terms. For example, the parameter term" phenomena" is used rarely in scholarly program evaluation sources while the synonyms "evaluand" and "program are used more frequently. I used all of these synonyms as I read and searched documents and reviewed responses to the interview questions. The second step occurred when my reading revealed one of the features but did not support using the existing codes. In those instances, I used a process of researching feature names such as ontological assumptions and captured appropriate names and cited definitions for them that applied to the segments I was coding. I added those terms and definitions to the coding template. I provide the complete list of feature codes in Appendix C. That appendix itself is a contribution to qualitative studies of evaluation approaches since it provides a larger base of terms and definitions than was available when I began the study.

Development of a Feature Profile to Characterize Evaluation Approaches

I identified the comparisons between the existing structures used by various authors to describe and/or organize evaluation approaches. The feature profile developed for the evaluation approaches studies is unique and provides a model for characterizing evaluation approaches. No other existing structure combines the parameters with the philosophical assumptions. In practice this allows selection and applications of approaches.

Examination of the Relationship Between Philosophical Assumptions and the Parameters of Working Logics of Evaluation

I examined whether parameters uniquely reflect specific philosophical assumptions by looking for unique alignments between parameter clusters and philosophical assumptions. I did not find those unique alignments. There are alignments to be found in the feature profiles for evaluation approaches, but some assumptions are aligned with more than one phenomenon cluster for example. I practice, identifying a philosophical assumption cluster and a parameter cluster does not suggest only one appropriate approach to apply, but in most cases, it narrows it down to only a few.

Suggestions for Future Research about Evaluation Approaches

The process and results of the current study answered questions and developed tools for the study of the parameters of working logics and the philosophical assumptions of evaluation approaches and the relationship between the two. The following sections identify and describe suggestions for continuing that study.

Explore Relationships of Motivations behind Approaches to Parameters and Assumptions

The data included in chapter IV includes direct quotes from the primary source documents that express or suggest the motivations behind the development of the approach. It may be revealing to explore those motivations as both reflective of the philosophical assumptions of and as formulative in the parameters of the parameters of the working logics. For example, the CRE approach is described in part as attempting to:

> fully describe and explain the context of the program or project being evaluated. Culturally responsive evaluators honor the cultural context in which an evaluation takes place by bringing needed, shared life experience and understandings to the

evaluation tasks at hand. (Frierson et al., 2002, p. 63)

This motivation to consider the cultural views of the phenomenon may be reflected in the definition of the phenomena type parameter as "pluralistic" because it reflects that the phenomenon is viewed differently in different cultures. This line of thought occurred during the data analysis, so this question was not researched. However, understanding why an approach was developed may provide more clarity around the assumptions and parameters of approaches and insights into selecting and applying approaches. It is beyond the scope of this study to complete the examination of this potentially important question.

Explore the Specific Contribution of the Feature Profile to the Body of Organizing and Descriptive Structures of Evaluation Approaches

I identified the uniqueness of the feature profile by comparing it to existing structures used by various authors to describe and/or organize evaluation approaches. The feature profile developed for the evaluation approaches studies is unique and provides a model for characterizing evaluation approaches. Future work could reexamine the feature profile to compare the specific ways it supplements or improves our knowledge. I suggest that it provides a more complete understanding of approaches by combining two previously distinct ways of describing approaches.

Explore The Relationship Between Philosophical Assumptions and Parameters of Working Logics

I examined the pattern of relationships between philosophical assumptions and the parameters of working logics of selected evaluation approaches. Future study could examine the actual relationships, not just the patterns.

Explore the Alignment of the Axiological Assumption Clusters to All Paradigm Clusters

The axiological assumption clusters are aligned across all parameter cluster types creating sets of approaches in an interesting way that should be examined in future studies. The stakeholder axiological cluster is aligned with the same set of working logic parameters for 3 approaches, empowerment, P-PE, and theory-driven. The problem type and question type parameter clusters align very similarly across the approaches within the axiological clusters.

Investigate Other Features

In addition to the seven features examined in the current study, other features should be examined to define, contrast, and/or compare evaluation approaches. A few of the features mentioned and/or observed during the current study include process and purpose. The philosophical methodology assumption may be a valuable addition to feature profiles.

Process

Some approaches can be differentiated from other approaches based on the processes used to execute the evaluation. For example, feminist evaluation emphasizes use of equitable processes to ensure that the feminist perspective is applied throughout the process. The following interview response informs this idea:

> But the whole idea of feminist evaluation is that it is an equitable process itself.
> … The process itself is about making sure that things are equitable, bringing in
> voices that haven't been heard. What it's assessing doesn't need to be equitable.
> You can be assessing anything. Right? But it's how you go about (it), what you're
> looking for and who you speak to. Feminist evaluation is more about the process
> of what you're looking at, than actually what you're looking at. (D. Podems,
> personal communication, August 16, 2023)

Process is also key to CIPP, theory-driven evaluation, and developmental evaluation.

Purpose

Some evaluation approaches can be differentiated from other evaluation approaches based on the purpose of the evaluation. The empowerment approach has as one purpose the empowerment of those experiencing the program being evaluated. Transformative evaluation approaches explicitly seek to transform the status and power of those experiencing the program being evaluated.

Add Any New or Missed Approaches

Two of the initially selected approaches, Discrepancy Evaluation Model and Responsive Evaluation (other than Culturally Responsive Evaluation), were not included in the analysis because I was not able to arrange interviews with the sources related to the approaches. Future research should seek to gather the data for those two approaches and for new approaches that are developed.

Limitations

This section examines some limitations of the current study.

Sample

Two of the selected approaches were not included in the analysis because I was not able to arrange interviews with the sources related to the approaches. While it is unlikely that including them would have changed the results on the influence of the philosophical assumptions, their absence does eliminate the information about those approaches.

Researcher Perspective

I presented my positionality statement in the methods chapter. Who I am is reflected in

every part of this work and limits the work as much as that done by any individual.

Interviewee Perspectives

My identification of parameters and philosophical assumptions from the responses to questions in the member check interviews are subject to the usual limitations imposed by interviewee and interviewer different definitions, vocabulary, knowledge, understanding, and concepts when they use words. Our different definitions, vocabulary, knowledge, understanding, and concepts are based on what we have learned through transactions with the world and with other people, so since we don't have common transactions, what we know is never going to be exactly (or even close to) what someone else knows.

Interaction with Fournier's (1995) concept of the parameters of working logics of evaluation approaches was central to the data collection in the member check interviews. Some of the interviewees had enough exposure to the concept to have formed (and expressed) opinions about it, while some interviewees asked basic questions about Fournier's (1995) work during our exchanges about the invitations to the interview. I provided opportunities to improve interviewee interactions with the concept by sending materials including a link to Fournier's article on working logic approach analysis and the phase I analysis report (see Appendix D for a sample) that included definitions and examples and analysis results. While all of interviewees willingly and energetically participated in the interviews, some interviewees reported coming to the interview without reviewing the report while some interviewees commented during the interview about what they thought when they were reviewing the report prior to the interview.

The same limitations based on different transaction histories apply to the interview questions about philosophical assumptions. For example, some interviewees had actively written articles about their philosophical assumptions while philosophical assumptions were not

explicitly covered in the primary resource and secondary documents for other approaches. One interviewee specifically mentioned that philosophical assumptions were not part of the interactions with other evaluators.

Closing Thoughts

We have different evaluation approaches because people recognized opportunities or gaps in their own or other approaches, and they decided to learn what they could and developed plans that they and others could use to take advantages of the opportunities and close the gaps. It is my hope that the information, results, and implications of this dissertation will helps for evaluation teachers, learners, theorists, practitioners, and stakeholders to gain from the results of better evaluations.

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APPENDICES

APPENDIX A

Table of Citation Analysis for Approach Inclusion

Table A1

Table of Citation Analysis for Approach Inclusion

Percentage of results of Google Scholar Searches including citations										
Search term (including citations)	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
"CIPP evaluation"	3.2%	5.0%	5.0%	4.7%	5.7%	6.6%	7.4%	8.4%	9.5%	9.4%
"culturally responsive evaluation"	0.5%	0.7%	1.0%	1.3%	1.3%	1.0%	1.1%	1.4%	1.9%	2.2%
"developmental evaluation"	6.1%	6.6%	6.8%	8.3%	8.2%	7.7%	6.5%	7.1%	7.5%	7.4%
"empowerment evaluation"	9.3%	11.1%	9.9%	10.8%	10.8%	9.2%	8.9%	8.7%	7.7%	8.5%
"Feminist Evaluation"	0.8%	0.7%	1.0%	1.5%	1.6%	1.3%	1.0%	1.3%	1.1%	1.6%
"Goal Free Evaluation"	3.2%	3.6%	3.7%	3.5%	3.6%	3.4%	3.3%	3.4%	3.6%	3.6%
"Indigenous Evaluation"	0.6%	1.0%	1.0%	0.9%	1.3%	1.0%	1.1%	1.1%	1.8%	2.2%
"participatory evaluation"	32.0%	27.7%	30.1%	28.8%	27.6%	27.7%	29.8%	28.3%	27.9%	25.7%
"theory-driven evaluation"	6.4%	6.6%	5.8%	6.4%	6.8%	7.5%	7.6%	7.1%	7.8%	7.9%
"Transformative Evaluation"	0.3%	0.8%	0.6%	0.8%	0.7%	1.1%	1.0%	1.0%	1.1%	1.2%
"Utilization Focused Evaluation"	17.6%	15.8%	15.2%	15.3%	13.9%	14.1%	12.6%	12.2%	11.6%	11.0%

APPENDIX B

Primary and Secondary Source Documents

Table B1
Primary and Secondary Source Documents

Approach	Primary Coded Source Documents	Secondary Uncoded Documents
Context, Input, Process, Product (CIPP)	Stufflebeam & Zhang, 2017	Zhang et al., 2011
Culturally Responsive Evaluation (CRE)	Hood et al., 2015 Frazier-Anderson et al, 2012	Bledsoe & Donaldson, 2014 Bryan & Lewis, 2019 Hood et al., 2005 Thomas & Parsons, 2017 Waapalaneexkweew & Dodge-Francis, 2018
Developmental Evaluation	Gamble et al., 2021 Patton, 2001 Patton, 2015a Patton, 2021 Patton, 2022b	
Empowerment Evaluation	Fetterman, 2014 Fetterman, 2015	
Feminist Evaluation	Brisolara, 2014 Brisolara et al., 2014 Mertens, 2005 Mertens, 2010 Podems, 2014 Seigart, 2004 Sielbeck-Bowen, 2002	Anderson, 1995 Ashton & McKenna, 2020 Jones, 2006 Maruska, 2017
Goal-Free Evaluation	Scriven, 1971 Scriven, 1979 Scriven, 1991b	Irvine, 1979 Youker & Ingraham, 2014 Youker et al., 2016
Indigenous Evaluation	Cram, 2018 Cram & Mertens, 2016 Kawakami et al., 2007	Cram et al., 2018 Van Miejl, 2019

Table B1–Continued

Approach	Primary Coded Source Documents	Secondary Uncoded Documents
Participatory Evaluation	Cousins& Whitmore, 1998 Mertens et al., 1995 Cousins & Earl, 2004	Cousins & Earl, 1992 Cousins et al., 2013 Fetterman et al., 2014 Harnar, 2012 Weaver & Cousins,2004
Theory-Driven Evaluation	Donaldson, 2022	Brouselle & Buregeya, 2018
Transformative Evaluation	Mertens, 2007	Cram & Mertens, 2016 Mertens, 1999 Mertens, 2017 Mertens & Wilson, 2019
Utilization-Focused	Patton, 2004 Patton, 2015b Patton & Campbell-Patton, 2022	

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APPENDIX C

Coding Guide

Table C1

Phenomena Type Content Codes

Code Name	Description/Descriptive Quotation
Phenomena type content code	(none)
As programs as defined as a set of treatment related outcomes	
As programs as defined a means of meeting needs	As programs as defined a means of meeting needs
As programs defined as set of values identified by stakeholders	As programs as defined as a set of values identified by stakeholders
Uses terms or concepts such as "phenomena" or "evaluand", NOT	Uses terms or concepts such as "phenomena" or "evaluand", but NOT responsive to research questions
Programs as defined by set of qualities identifiable by expert	As programs as defined by a set of qualities identifiable by an expert

Table C2
Problem Type Content Codes

Code Name	Description/Descriptive Quotation
Problem type content code	(none)
Uses terms/concepts such as "problem" /"evaluation problem" NOT	Uses terms and concepts such as "problem" or "evaluation problem," but is NOT responsive to research questions
Extent of performance	(none)
Causal efficacy	(none)
Perception of qualities	(none)

Table C3
Question Type Content Codes

Code Name	Description/Descriptive Quotation
Question type content code	(none)
Uses terms "question"/"evaluation question" but NOT responsive	Uses concepts or terms "question" or "evaluation question" but are NOT responsive and not analyzed to answer research questions
Questions about qualities that make evaluand good or less good	Questions about the qualities that make the evaluand good or less than good
Questions about whether the evaluand is good or less good than	Questions about whether the evaluand is good of less good than others
Questions about whether evaluand is effective or less effective	Questions about whether the evaluand is effective or less effective in producing desired outcomes

Table C4
Claim Type Content Codes

Code Name	Description/Descriptive Quotation
Claim type content code	The claim is the end product of an evaluation, composed of "both the normative aspect (the worth of something) and the empirical aspect (that something is the case) of claims." (Fournier, 1993, p. 12)
Causal or value claim	The goal is to establish a causal or value conclusion (the claim) that answers questions such as Is A more effective than B in producing X? Does program A cause more of X than program B? (the question) (Cook, 1991; Cook and Campbell, 1979). (Fournier, 1995, p. 20)
Descriptive value claim	Its goal is to establish a descriptive/value conclusion (the claim) that answers questions like: What are the qualities of the program as perceived by this expert? What does it feel like to be in this program as perceived by this expert? (the question) (Eisner, 1989, 1991). (Fournier, 1993, p. 116)
Evaluative claim	An evaluation question takes on forms like: Is X good? What makes X good? It is a question inquiring into the merit or worth (value) of something or someone. The answer takes on the form: This X is good. The nature of the answer is a specific value claim, for example, "This performance shows improvement over the students' entry level of the 37th percentile but is unacceptably low for probable success in high school" (Smith, 1987, p. 313). (Fournier, 1993, p. 210)
Policy claim	A policy question takes on forms like: What X's are in general, good to do? What X is the best optimization of A, B, and C? A question inquiring into what is valuable to do. (Fournier, 1993, p. 210)

Table C4—Continued

Code Name	Description/Descriptive Quotation
Management claim	A management question takes on forms like: Should X be done here? What needs to be done in this situation to achieve the desirable state of affairs? It is a question inquiring into what action to take. The answer takes on the form: Do X here. The nature of the answer is a specific action claim, for example, "We should increase the number of teacher aides in our remedial reading program, and we have the resources and opportunity to do so next year" (Smith, 1987, p. 313). (Fournier, 1993, p. 211)
Research claim	A research question takes on a form like: Does X cause more of Y than Z? It is a question inquiring into a state of affairs—into what is. The answer takes on the form: Does X cause more of Y than Z. The nature of the answer is a fact claim, for example, "The current rural transfer students, after one year in the remedial program, are scoring at the 45th percentile on the district standardized reading test (Smith, 1987, p. 313). (Fournier, 1993, p. 209)

Table C5
Ontology Content Codes

Code Name	Description/Descriptive Quotation
Ontology content code	(none)
Empiricism	Empiricism rejects the notion of universal truths and facts that simply exist, but rather postulates that facts can only become clear by a careful observation and evaluation of the world around us. This idea presupposes that the world around us is real, what we know; and therefore takes no account for the notion of perceptions of or interpretations of reality. (Vaid, n.d., paragraph 5)

Table C5–Continued

Code Name	Description/Descriptive Quotation
Indigenous	Despite the diversity of First Nations cultures in Canada, there are several common differences between First Nations and the general character of western ontology: (1) First Nations believe their ancestors were right about most things (Knudtson & Suzuki, 1992; Assembly of First Nations, 1993; Auger, 2001), and westerners believe their ancestors were either mostly wrong or their ideas could be substantially improved upon (Postman,1993; Wright, 2005); (2) First Nations believe in an indivisible reality, whereas westerners believe in a reductionist and deterministic reality (Blackstock, 2007b; Cross, 2007); (3) First Nations knowledge is situated within more expansive concepts of space, dimensions of reality, and time (Campbell & Moyers, 1991; Auger, 2001; Blackstock, 2007b); (4) First Nations ontology and science are constructed as part of the natural world (Knudtson & Suzuki, 1992; Assembly of First Nations, 1993; Auger, 2001), whereas western culture largely views human experience as separate from the natural world (Postman, 1993); (5) First Nations believe in multiple dimensions of reality, whereas western culture tends to focus on only the observable dimension of reality (Greene, 2003; Blackstock, 2007b; Kaku, 2006); and (6) First Nations believe there are sufficient resources to meet everyone's needs (T. Cross, personal communication, January 19, 2009), whereas westerners focus on a scarcity of resources primarily driven by a conflation of want and need (Campbell & Moyers, 1991; Postman, 1993). (Blackstock, 2009, p. 26) One of the most fundamental differences between First Nations and non- Aboriginal ontology relates to concepts of time. First Nations believe in expansive concepts of time in which the past, present, and future are mutually influencing, whereas western culture focuses on the present and, to a lesser extent, on the future. In terms of children, First Nations often consider their actions in terms of the impacts of the "seven generations." This means that actions are informed by the experience of past generations and by considering the consequences for the seven generations to follow (Assembly of First Nations, 1993). If western child welfare followed First Nations ontology, it would need to assess child maltreatment based on the ancestral experience of the child and actively consider the consequences of intervention on the subsequent seven generations of children. (Blackstock, 2009, p. 26).

Table C5—Continued

Code Name	Description/Descriptive Quotation
Positivist	I will argue in this paper that positivism can be defined as a research approach that is based on the ontological doctrine that reality is independent of the observer. Most scholars interested in the philosophy of IS research agree with this definition. The independent and objective existence of reality can be found as a definition of positivism in a number of texts (cf. Orlikowski & Baroudi 1991; Visala, 1991; Jönsson, 1991; Landry & Banville, 1992; Darke, Shanks & Broadbent, 1998; Iivari, Hirschheim & Klein, 1998; Myers & Avison, 2002; Varey, Wood-Harper & Wood, 2002). Some authors use different terms to denote this ontological position, such as "objectivism" or "realism" (Burrell & Morgan, 1979; Hirschheim, 1985; Chua, 1986; Hirschheim & Klein, 1989; Weber, 2003). These authors typically see positivism as comprising epistemological (Olaison, 1991; Lee, 1991; Walsham, 1995), methodological (Benbasat & Weber, 1996), and sometimes other philosophical aspects, such as ethics (Wynn, 2001). Such a collection of different philosophical aspects under the term "positivism" is understandable for several reasons and some of these aspects will be discussed later. (Stahl, 2007, p. 118)
Realist	Realism concerns itself with the notion that there are universal truths and facts which can be discovered through active exploration. These facts are independent of the context in which they are found, so the systems and hierarchies they enable are essentially static. (Vaid, n.d., paragraph 4)

Table C5—Continued

Code Name	Description/Descriptive Quotation

Transformative	Reality from a transformative perspective is multifaceted. Human beings often believe that they know what is real; however, there are many different opinions about what that reality is. Differences in perspectives on what is real are determined by diverse values and life experiences. In turn, these values and life experiences are often associated with differences in access to privilege, based on such characteristics as disability, gender, sexual identity, religion, race/ ethnicity, national origins, political party, income level, age, language, and immigration or refugee status. In contrast to the constructivist paradigm's ontological assumption that reality reflects cultural relativity, the transformative paradigm interrogates versions of reality on the basis of power inequities and the consequences of accepting one version of reality over another.
	
	    Guba and Lincoln (2005) use the term "historical realism" to describe this assumption of the nature of reality: "virtual reality shaped by social, political, cultural, economic, ethnicity and gender values; crystallized over time" (p. 193). They emphasize that the ontological assumptions derived from critical theorists (and commensurate with the transformative paradigm):
	
	    tend to locate truth and knowledge in specific historical, economic, racial, and social infrastructures of oppression, injustice, and marginalization. Knowers are not portrayed as separate from some objective reality, but may be cast as unaware actors in such historical realities (false consciousness) or as aware of historical forms of oppression, but unable or unwilling, because of conflicts, to act on those historical forms to alter specific conditions in this historical moment (divided consciousness). (Mertens and Wilson, 2019, Kindle Locations 4977-4996)

Table C6

Epistemology Content Codes

Code Name	Description/Descriptive Quotation
Epistemology content code	(none)
African	For the sake of clarity, it may be argued that African epistemology comprises four basic African ways of knowing that can be separated into three categories, the supernatural, the natural, and the paranormal paths to knowledge. First, there is a supernatural path of knowledge in which human beings gain knowledge through the help of supernatural powers. This cognitive mode includes divination (lubuko, in the Kiluba language of the Congo) and revelation (i.e., messages revealed in dreams and visions). These two cognitive modes are characterized by the intervention of supernatural beings—spirits, ancestors, dead relatives, gods, goddesses—who impart knowledge to humans directly through a dream or vision or indirectly through mediums, diviners, animals, extraordinary life events, or natural phenomena that require a special kind of interpretation. Another epistemological path is that of natural cognitive modes. In this way of knowing, human beings gain knowledge by using their natural faculties or abilities, including intuition (mucima in Kiluba), which consists of the work of the human heart (i.e., feeling and insight), and reason, which consists of a natural investigation of reality through the human intellect and logical thought process. Given that in Africa, intuition and reason are not mutually exclusive, the phrase African rationality has its peculiarity. Between these two poles of African epistemology, the natural and supernatural ways of knowing, stands a third category of paranormal cognition or extrasensory perception (ESP), which includes such modes as clairvoyance and telepathy. The focus here is limited to divination and African rationality, which play a crucial role in African people's everyday life. (Asante & Mazama, 2005, p. 3)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Descriptive	He (Scriven) endorses descriptive epistemology — describing and explaining the processes whereby organisms (and scientists) learn about their world. Campbell wants descriptive epistemology to provide tentative guidelines for improving social science and evaluation practice (1987a). He endorses the utility of common sense, practical knowing, and tradition; but he thinks science is marginally more effective because of its norms about identifying and publicly adjudicating threats to knowledge claims. These ideas are cogently discussed when Campbell (1974a, 1977) justifies why he is a critical realist, why evolutionary epistemology is a comprehensive descriptive theory of knowledge growth, and why the sociology of science might improve scientific practice (Campbell, 1987a). (Shaddish, Cook, and Leviton, 1995, p. 144)
Endarkened feminist	I use the term endarkened feminist epistemology to articulate how reality is known when based in the historical roots of Black feminist thought, embodying a distinguishable difference in cultural standpoint, located in the intersection/overlap of the culturally constructed socializations of race, gender, and other identities and the historical and contemporary contexts of oppressions and resistance for African-American women. (Dillard, 2000, p. 662)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Ethnic	An important synchronic aspect of Du Bois's work is that both he and African American scholar Carter G. Woodson (1933) mounted challenges to the dominant Euro-American scholarly paradigm at about the same time as the formation of the Frankfurt school, out of which critical theories emerged. Max Horkheimer, Theodor Adorno, and Herbert Marcuse were the three primary scholars known for their engagement with the theoretical perspectives of Marx, Hegel, Kant, and Weber and their challenge to the "taken-for-granted empirical practices of American social science researchers" (Kincheloe & McLaren, 1998, p. 261). However, Du Bois and Woodson remain invisible in the scholarly canon except as "Negro" intellectuals concerned with the "Negro" problem. Their forthright and insightful critique of Euro-American scholarship was every bit as "critical" as that of the members of the Frankfurt school, but they would never be mentioned in the same breath as Horkheimer, Weber, Adorno, and Marcuse. Du Bois's notion of double consciousness applies not only to African Americans but to any people who are constructed outside of the dominant paradigm. It is important to read this entire discussion of multiple consciousness as a description of complex phenomena. It is not an attempt to impose essentialized concepts of "Blackness," "Latina/oness," "Asian Americanness" or "Native Americanness" onto specific individuals or groups. Rather, this discussion is about the multiple ways in which epistemological perspectives are developed. Indeed, the authors cited are not placed here to operate as proxies for what it means to be of a particular race, ethnicity, or cultural group. They are a few examples of the ways particular scholars have developed specific epistemological stances informed by their own cultural and identity positions. (Ladson-Billings, 2000, p. 260)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Epistemologically humble	Rossi and Cronbach recognize that no single paradigm for knowledge construction has sufficient empirical or theoretical support to dominate the field. Both recognize that evaluation is characterized by multiple epistemologies, multiple methods, and multiple priorities for the kinds of knowledge that are important. Rossi is more traditional in his epistemological thinking, approaching evaluation as a quantitatively trained social scientist with a realist inclination. He writes little on epistemology or philosophy of science, so it is difficult to ascribe a position to him with confidence. Over time, Cronbach has incorporated less and less traditional epistemological and ontological concepts into his writing. One now sees more explicit doubts about the nature and quality of knowledge construction in social science. Neither Cronbach nor Rossi proposes a new paradigm for the field; neither offers a resolution of epistemological conflicts in evaluation. Rather, their work is characterized by serious doubt about old ways of thinking, by openness to new ways, and by skepticism toward anyone who claims to have the answer. They are epistemologically humble. (Shaddish, Cook, and Leviton, 1995, p. 318)
Evolutionary	Evolutionary Epistemology is a naturalistic approach to epistemology which emphasizes the importance of natural selection in two primary roles. In the first role, selection is the generator and maintainer of the reliability of our senses and cognitive mechanisms, as well as the "fit" between those mechanisms and the world. In the second role, trial and error learning and the evolution of scientific theories are construed as selection processes. (Bradie and Harms, 2020, paragraph 1)
Epistemological fallibilism	'Fallibilism' is the view that one can have knowledge that a particular claim is true even though one's justification (evidence, warrant, or supporting grounds) for that claim is less than conclusive (BonJour 2010, p. 57). Put differently, the level of justification requisite for knowing that p is compatible with p's being false. Most epistemologists have endorsed fallibilism to avoid the skeptical implications of the Cartesian conception of knowledge, which requires the highest possible degree of justification in order to know. (Hannon, 2014, pp. 1119-1120)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Feminism	Feminist epistemology can be regarded as the branch of social epistemology that investigates the influence of socially constructed conceptions and norms of gender and gender-specific interests and experiences on the production of knowledge. It asks how the historical exclusion of women from theoretical inquiry has affected the direction and content of research in fields such as anthropology, philosophy, and psychology; how the use of gender metaphors in biology has made some phenomena more salient than others; how history, economics, and medicine would change if we viewed phenomena from the standpoint of women's rather than men's lives; how the feminist movement has changed our data, our ways of describing the data, and our theories about differences between men and women. These are all empirical questions. By framing the questions of feminist epistemology as empirical ones, feminist theorists can challenge mainstream theorists, who are largely empiricists, in a way that they cannot responsibly ignore or dismiss. This way of framing feminist epistemology also enables feminists to make arguments for reforming theoretical practice in terms internal to the self-critical commitments of science itself. Feminist criticisms and remedies can be seen as particular, if surprising, instances of general types of criticism and remedy already acknowledged and accommodated by scientific practice. For naturalized epistemology, considered as a tool for improving scientific practices, is already incorporated into the self-critical and self-reforming institutions of science. (Anderson, 1995, p. 54)
Idealism	Epistemological Idealism asserts that minds are aware of, or perceive, only their own ideas (representations or mental images), and not external objects, and therefore we cannot directly know things in themselves, or things as they really are. All we can ever have knowledge about is the world of phenomenal human experience, and there is no reason to suspect that reality actually mirrors our perceptions and thoughts. This is very similar to the doctrine of Phenomenalism. (Mastin, 2009, paragraph 37)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Indigenous	In indigenous epistemology, "to know" something is to locate it in space and time and to consider it holistically as part of an overarching cosmic order in which individual persons, tribal communities, all other animate and inanimate things, and even knowledge itself are interrelated (Roberts and Wills 1998:45). Māori people, for example, frequently locate themselves relative to an origin within their ancestral homeland by including information about the canoe that brought their ancestors to New Zealand as well as the mountain and river that are characteristic of their tribal region:

<div></div>

Ko Tainui te waka.	Tainui is my canoe.
Ko Taupiri te maunga.	Taupiri is my mountain.
Ko Waikato te awa.	Waikato is my river.

Apart from being able to locate knowledge objects in space and time, an additional feature of indigenous knowledge systems is to have knowledge of their *whakapapa* or genealogies (Roberts 2012, 2013; Roberts et al. 2004). This is also reflected in the tribal saying quoted above: to know oneself is to know about your tribal territory, the mountains, the rivers, trees, rocks, fishes, and the wind and how these are interrelated in and through *whakapapa*. As such, *whakapapa* provide a framework for understanding how everything, animate and inanimate, is connected into a single "family tree" or "taxonomy of the universe" (Roberts and Wills 1998:45). As a consequence, *whakapapa* provide not only the cognitive framework for ordering and classifying the entire phenomenal world but also for developing theories about knowledge. Since *whakapapa* provide a grand scheme for understanding the origin and appearance of the entire universe, knowledge associated with this order requires understandings derived from all sources open to human perception, subjective as well as objective, so that the interrelations of the biological and material order with the social and cultural order can be understood (Roberts and Wills 1998:61–62). (van Meijl, 2019, pp. 156-157)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Interpretive / interpretivism	This branch of epistemology is in a way an answer to the objective world of positivism that researchers felt wanting. The underlying idea of the interpretivist approach is that the researcher is part of the research, interprets data and as such can never be fully objective and removed from the research. Interpretivists are interested in specific, contextualised environments and acknowledge that reality and knowledge are not objective but influenced by people within that environment. This philosophical outlook is more subjective and subject to biases, thus cannot be generalised in the way that positivist research can be. (Brown, 2015, paragraph 6)
Objectivism	Objectivity is both a metaphysical and an epistemological concept. It pertains to the relationship of consciousness to existence. Metaphysically, it is the recognition of the fact that reality exists independent of any perceiver's consciousness. Epistemologically, it is the recognition of the fact that a perceiver's (man's) consciousness must acquire knowledge of reality by certain means (reason) in accordance with certain rules (logic). This means that although reality is immutable and, in any given context, only one answer is true, the truth is not automatically available to a human consciousness and can be obtained only by a certain mental process which is required of every man who seeks knowledge – that there is no substitute for this process, no escape from the responsibility for it, no shortcuts, no special revelations to privileged observers – and that there can be no such thing as a final "authority" in matters pertaining to human knowledge. Metaphysically, the only authority is reality; epistemologically – one's own mind. The first is the ultimate arbiter of the second. ("Who Is the Final Authority in Ethics?" *VOR* 18). (Salmieri, 2016, p. 274)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Positivism	Let's begin by considering what positivism is. In its broadest sense, positivism is a rejection of metaphysics (I leave it you to look up that term if you're not familiar with it). It is a position that holds that the goal of knowledge is simply to describe the phenomena that we experience. The purpose of science is simply to stick to what we can observe and measure. Knowledge of anything beyond that, a positivist would hold, is impossible. When I think of positivism (and the related philosophy of logical positivism) I think of the behaviorists in mid-20th Century psychology. These were the mythical 'rat runners' who believed that psychology could only study what could be directly observed and measured. Since we can't directly observe emotions, thoughts, etc. (although we may be able to measure some of the physical and physiological accompaniments), these were not legitimate topics for a scientific psychology. B.F. Skinner argued that psychology needed to concentrate only on the positive and negative reinforcers of behavior in order to predict how people will behave – everything else in between (like what the person is thinking) is irrelevant because it can't be measured. In a positivist view of the world, science was seen as the way to get at truth, to understand the world well enough so that we might predict and control it. The world and the universe were deterministic – they operated by laws of cause and effect that we could discern if we applied the unique approach of the scientific method. Science was largely a mechanistic or mechanical affair. We use deductive reasoning to postulate theories that we can test. Based on the results of our studies, we may learn that our theory doesn't fit the facts well and so we need to revise our theory to better predict reality. The positivist believed in empiricism – the idea that observation and measurement was the core of the scientific endeavor. The key approach of the scientific method is the experiment, the attempt to discern natural laws through direct manipulation and observation. (Trochim, n.d., paragraphs 4-5)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Post-positivism	The post-positivist critical realist believes that the goal of science is to hold steadfastly to the goal of getting it right about reality, even though we can never achieve that goal! Because all measurement is fallible, the post-positivist emphasizes the importance of multiple measures and observations, each of which may possess different types of error, and the need to use triangulation across these multiple errorful sources to try to get a better bead on what's happening in reality. The post-positivist also believes that all observations are theory-laden and that scientists (and everyone else, for that matter) are inherently biased by their cultural experiences, world views, and so on. This is not cause to give up in despair, however. Just because I have my world view based on my experiences and you have yours doesn't mean that we can't hope to translate from each other's experiences or understand each other. That is, post-positivism rejects the relativist idea of the incommensurability of different perspectives, the idea that we can never understand each other because we come from different experiences and cultures. Most post-positivists are constructivists who believe that we each construct our view of the world based on our perceptions of it. Because perception and observation is fallible, our constructions must be imperfect. (Trochim, n.d., paragraph 6)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Perspectivist epistemology	Perspectivism, as an epistemic thesis, highlights the constitutive situatedness of our epistemic engagement. This notion was brought into the contemporary age by Nietzsche (e.g. Nietzsche [1882] 2001), who believed that, depending on the limitations of human cognitive capacities and modes of inquiry, we (even through scientific theories) cannot grasp or know how reality as it is 'in itself', i.e. independently of our perspectives. More recently, Ronald Giere has developed his own version of perspectivism to provide a pluralist account of science. In analogy with vision, Giere highlights how the appearance of given phenomena (specifically color) can change as the observer's position changes. He makes the point that both scientific observation and theorizing are perspectival too. On the other hand, Giere is interested in fostering a perspectival realism, something that could provide us with a viable alternative to both objectivist realism and (relativist) social constructivism. Nor scientific knowledge is seen as corresponding to absolute truth, nor to a mere social construct. His understanding of scientific realism makes room for contingency in scientific investigation, and recognizes that the natural world, whose existence is never denied, can be experienced only from some perspective. The choice of a perspective depends on the scientists' purposes, and can imply a comparison between different perspectives.[1] Perspectival realism is, therefore, 'as much realism as science can provide' (Giere 2006, 16), and the strongest claims a scientist can legitimately make are of a qualified, conditional form. … There is no way legitimately to take the further objectivist step and declare unconditionally: 'theory (or instrument) provides us with a complete and literally correct picture of the world itself' (Giere 2006, pp. 5-6). (Mazzocchi, 2018, p. 330)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Pragmatist / pragmatism	A pragmatist is 'free to study what interests you and is of value to you, study it in the different ways that you deem appropriate, and utilize the results in ways that can bring about positive consequences within your value system' (Tashakkori & Teddlie, 1998, p. 30). The appropriateness of the relationship between you as an evaluator and the stakeholders is judged by how well that relationship allows you to achieve your purpose in the evaluation. (Mertens & Wilson, 2019, Kindle Locations 2781-2787) Pragmatists embrace objectivity and subjectivity as two positions on a continuum and argue that deductive and inductive logic should be used in concert. Pragmatists do ... with the understanding that there is no absolute "truth" concerning reality. ... pragmatists argue that there are multiple explanations of reality and that at any given time there is one explanation that makes the most sense. In other words, at one point in time, a single explanation of reality may be considered "truer" than another. Furthermore, pragmatists ... believe that causes may be linked to effects. However, they temper this thinking with the caveat that absolute certainty of causation is impossible. Pragmatists ... do not believe inquiry is value-free; rather, they consider their values important to the inquiry process. The pragmatist paradigm is given attention here, as it seems to influence the thinking of those on the use branch, particularly those who have an interest in promoting instrumental use of evaluation findings, such as Patton. (Alkin, 2013, pp. 16-18)
Prescriptive epistemology	There are essentially two approaches to the theory of knowledge. The first conceives of epistemology as primarily prescriptive or normative. Epistemology does not begin by looking at how we actually know, but instead tells us how we ought to know. It does not begin by assuming the existence of actual knowledge, but instead places all of our knowledge in "scare quotes" until a norm of justification can be found a priori and a process of global justification can be carried out. Only after such a global justification is carried out can we make use of scientific discoveries about what actual knowledge "looks" like. Thus the normative approach is, overtly or covertly, connected with methodological skepticism. (Tabarrok, 1994, p. 146)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Realist/realism	Our realism is not the "naïve realism" whereby people think that they have direct perception of the world but something closer to the "critical realism" of Campbell, assuming that one's access to the world is imperfect, mediated, and subject to bias. (Alkin, 2013, pp. 153-154)
Relativist	Specifically, relativist theorists argue that truth is relative to one's own frame of reference. Hence, a person's cultural and historical experiences influence how she or he perceives and understands the world. Thus, there are no absolute truths, only relative truths. Notions drawn from constructivist and relativist philosophy inform some of the ideas presented on the valuing branch of the theory tree, such as those of Stake, Guba, and Lincoln. (Alkin, 2013, pp. 16-18)
Transactional	The transformative epistemological assumption holds that knowledge is neither absolute nor relative. Rather, it is constructed within a context of power and privilege with consequences attached to which version of knowledge is given privilege. In order to know a community's realities, the evaluators need to have an interactive link with the community members. The transformative epistemological assumption holds that knowledge is socially and historically located within a complex cultural context (Mertens, 2015). (Mertens & Wilson, 2019, Kindle Locations 5000-5004)
Transformative	Transformative Epistemological assumption holds that differences in power impact the ability to accurately identify problems and solutions; evaluators need to establish trusting relationships with the full range of stakeholder groups in order to obtain an accurate picture of the phenomenon under study. (Mertens, 2016, p. 106)

Table C6—Continued

Code Name	Description/Descriptive Quotation
Subjectivist	A 'subjectivist epistemology' is one that implies the standards of rational belief are those of the individual believer or those of the believer's community. Thus, subjectivism can come in either an individualistic form or a social form. A key negative test of subjectivism is whether an account implies that by being rational one is assured of having beliefs that are more reliable than they would be otherwise—that is, more reliable than they would be if one were not rational. Thus, reliabilist accounts of rational beliefs are paradigmatically objective. So are traditional foundationalist accounts. By contrast, if an account implies that the standards one must meet if one's beliefs are to be rational are those that one would regard as intellectually defensible were one to be ideally reflective (Foley 1987, 1993), then the account is subjective. Similarly, an account is subjective if it implies that one's beliefs are rational if they meet the standards of one's community (Rorty 1979) or the standards of the recognized experts in one's community (Stich 1985). Likewise, an account is subjective if it implies that one's beliefs are rational if they meet the standards of the human community at large, provided nothing else in the account implies that adhering to such standards will reliably produce true beliefs. (Subjectivist Epistemology, n.d., paragraph 1)

Table C7
Axiology Content Codes

Code Name	Description/Descriptive Quotation
Axiology content code	(none)
Cost-benefit and cost-effectiveness analyses	(none)
Deontological	Doing one's duty
Descriptive valuing	Most evaluators use descriptive valuing: They describe values held by stakeholders, determine criteria they use in judging program worth, find out if stakeholders think the program is good, and see what they think should be done to improve it. The claim is not that these values are best, but that they are perceptions of program worth that are grist for the mill of decision making. Descriptive valuing is implicit in most evaluation theory, even though the word values may never be used. (Shaddish, Cook, and Leviton, 1995, p. 48)

Table C7—Continued

Code Name	Description/Descriptive Quotation
Egalitarian	The egalitarian theorist would give resources to the most disadvantaged, and not spread them out to create the greatest good for the greatest number (Bunda, 1985; House, 1980). The egalitarian evaluator would follow that lead, judging program merit by how much it meets needs of the most disadvantaged. In community mental health center (CMHC) evaluation, for example, worth might vary dramatically under egalitarian versus utilitarian perspectives. A typical egalitarian critique of CMHCs during the 1970s is "that they failed to serve one of the neediest populations, the chronically mentally ill. This omission might not much bother the utilitarian evaluator because CMHCs might do much good for many clients even if they paid no attention to the chronically mentally ill. Should needs really drive judgments of worth? Rossi leaves neither the evaluation theorist nor the practitioner with a clear answer." (Shaddish, Cook, and Leviton, 1995, pp. 47-48)
Ethics of caring	The ethics of care (alternatively care ethics or EoC) is a normative ethical theory that holds that moral action centers on interpersonal relationships and care or benevolence as a virtue. EoC is one of a cluster of normative ethical theories that were developed by feminists in the second half of the twentieth century. [1] While consequentialist and deontological ethical theories emphasize generalizable standards and impartiality, ethics of care emphasize the importance of response to the individual. The distinction between the general and the individual is reflected in their different moral questions: "what is just?" versus "how to respond?" [2] Carol Gilligan, who is considered the originator of the ethics of care, criticized the application of generalized standards as "morally problematic, since it breeds moral blindness or indifference." [3]. (Ethics of care, 2022, p. 1)
Libertarian	Scriven might allow evaluators to construct criteria from, say, Nozick's (1974) libertarian theory of justice, in which free choice is central and in which people can acquire, own, and distribute their wealth as they want if they follow agreed-upon rules and procedures—even if this results in inequities in wealth and income. (Shaddish, Cook, and Leviton, 1995, p. 97)
Multiple sources of values	(none)

Table C7—Continued

Code Name	Description/Descriptive Quotation
Prescriptive valuing	Prescriptive theories claim that some values have higher priority than others. The logic flirts with such prescriptions. Specifically, while logic does not compel an evaluator to choose any particular criterion of merit, Scriven ties criteria to needs assessment. The leap from needs to prescriptive value theory is worth explicating. Contending that "even ethics itself had to be faced as a legitimate part of serious comprehensive program evaluation" (1983a, p. 234), Scriven refers to theories of justice as sources of criteria for evaluating social programs (1966, 1983a). (Shaddish, Cook, and Leviton, 1995, p. 96)
Program performance	Campbell and Scriven treated values similarly. Both selected similar criteria of merit relevant to program effectiveness in solving social problems; both advocated comparative standards of performance, especially comparing the evaluand to alternatives; and both agreed that assessing program performance must be as unbiased as possible. (Shaddish, Cook, and Leviton, p. 176)
Responsive evaluation	Responsive evaluation as understood by Abma places priority on the involvement of and dialogue among all stakeholders, with deliberate attention to those whose voices represent those with less power. The evaluation is designed to be responsive to stakeholders' interests; therefore, they are involved in the process of developing questions, selecting participants, and interpreting findings. The evaluator facilitates identification of issues and arranges opportunities for dialogue for the stakeholders to explore each other's beliefs, values, and perceptions. (Mertens and Wilson, 2019, Kindle Locations 4509-4513)
Stakeholder values	Descriptive valuing is simple description of stakeholder values, it is better suited to the political context of evaluation, since decision making depends more on coping with values held by legislators, managers, voters, and lobbyists than on a prescriptive ethic. (Shaddish, Cook, and Leviton, 1995, p. 456)

Table C7—Continued

Code Name	Description/Descriptive Quotation
Theory of justice	Rawls's (1971) egalitarian theory of justice implies that programs should be evaluated on their capacity to meet the material needs of the disadvantaged that, if not met, cause unacceptable harm. Scriven leans toward this approach, with his concept of needs-based evaluations. (Shaddish, Cook, and Leviton, 1995, p. 456)
Transformative axiological assumption	The transformative epistemological assumption holds that knowledge is neither absolute nor relative. Rather, it is constructed within a context of power and privilege with consequences attached to which version of knowledge is given privilege. In order to know a community's realities, the evaluators need to have an interactive link with the community members. The transformative epistemological assumption holds that knowledge is socially and historically located within a complex cultural context (Mertens, 2015). (Mertens and Wilson, 2019, Kindle Locations 5001-5004)
Utilitarian theory of ethics	Early pragmatists emphasized the ethics of caring as their axiological assumption. However, contemporary pragmatists' ethical assumption is more closely aligned with the utilitarian theory of ethics, which holds that the value of something is a function of its consequences (Christians, 2005). (Mertens and Wilson, 2019, Kindle Locations 2768-2769)

APPENDIX D

Sample Source Document Analysis Report for Transformative Evaluation Approach

Interview Background, Analysis, and Core Questions

Approach

Transformative Evaluation Approach

Related Approaches

Indigenous; Feminist; CRE

Primary Source

Mertens, D. (2007). Transformative Paradigm: Mixed Methods and Social Justice. *Journal of Mixed Methods Research*, 1(3), 212–225.

Secondary (Reviewed but not coded) Sources

Cram, F., & Mertens, D. (2016). Negotiating solidarity between Indigenous and transformative paradigms in evaluation. *Evaluation Matters—He Take Tō Te Aromatawai*, *2*, 161–189.

Mertens, D. (1999). Inclusive Evaluation: Implications of Transformative Theory for Evaluation. *The American Journal of Evaluation*, 20(1), 1–14.

Mertens, D. (2017). Transformative research: Personal and societal. *International Journal for Transformative Research*, 4, 18–24.

Mertens, D. M., & Wilson, A. (2019). *Program Evaluation Theory and Practice: A Comprehensive Guide* (2nd ed.). Guilford Press.

Study and Interview Overview

The study seeks to identify the working logic parameters and the philosophical assumptions for each of several contemporary program evaluation approaches through an analysis of a published document about the approach. Deborah Fournier[1] has suggested that evaluation approaches can be distinguished from each other through working logics, which are the ways the approaches apply the general logic of evaluation. The differences in working logics

of evaluations are revealed in four parameters: phenomenon, problem, question, and claim. The

parameters are types or kinds rather than specific examples.

The interview will be used as a member check for the following analysis.

Dimension Analyses

Parameters of Working Logic. Each parameter informs the next.

Phenomenon Type

Definition and Examples of Phenomena Type from Fournier

Working Logic Parameter	Definition	Examples
Phenomenon Type	The phenomenon is the evaluand, the thing being evaluated: not simply the thing, but also "… its parts, organization, or structure; how it works; and how it relates to the larger context" (Fournier, 1995, p. 19). Since an evaluand can be seen unique because of its viewed purpose and character, evaluation practices can be unique as well.	programs defined by a set of qualities identifiable by an expert programs defined as a set of values identified by stakeholders programs defined as a means of meeting needs programs defined as a set of treatment related outcomes

Phenomenon type Analysis. For the transformative evaluation approach, the phenomena

type of the working logic is "a program defined as a means of meeting needs." Nine segments of

the primary source document included the terms "need" or "needs" of the individuals or groups

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[1]For more detail, see Fournier, D. (1995). Establishing evaluative conclusions: A distinction between general and working logic. *New Directions for Evaluation*, *1995* (68), 15–32. doi: https://doi.org/10.1002/ev.1017

that would be impacted by the program under evaluation. For example, "A central element is the revisiting of program processes and outcomes so that modifications can be made and implemented to better match the community's needs" (Mertens, 2007, p. 220).

Some segments critiqued evaluation planning if it did NOT adequately identify needs:

> She used quantitative demographic and epidemiological data to describe the audience most in need of the intervention, and she used qualitative data from focus groups to obtain information regarding the meaning of HIV/AIDS in the Botswana culture. Thus, her mixed methods revealed not only that the intervention *targeted the wrong group* [emphasis added] (English-speaking and English-reading individuals) but that it was *not conceptually relevant* [emphasis added] to the most vulnerable people's understandings of the disease. (Mertens, 2007, p. 217)

Problem Type

Definition and Examples of Problem Type from Fournier

Working Logic Parameter	Definition	Examples
Problem Type	The problem is the situation that a valuation is wanted for an evaluand, and one is not available. The problem might cause uncertainty, discomfort, or pain that could potentially be informed by the valuation applied to the evaluand.	extent of performance causal efficacy perception of qualities

Problem Type Analysis. For the transformative evaluation approach, the problem type of the working logic is "the extent of need fulfillment and transformation." This can be inferred from the focus on needs determination in several segments of the primary source document. One segment suggests that mixed methods research reveals the needs to be served within some populations:

Transformative mixed methods research is needed because research does not

necessarily serve the needs of those who have traditionally been excluded from positions of power in the research world, and therefore the potential to further human rights through a research agenda has not been fully realized. (Mertens, 2007, p. 212)

Another segment critiques methods of treatment assignment that do not recognize differences in needs among different people. "Given the individual nature of such a person's needs, how can his or her ''treatment'' be determined by random assignment?" (Mertens, 2007, p. 221)

Question Type

Definition and Examples of Question Type from Fournier

Working Logic Parameter	Definition	Examples
Question Type	Evaluative questions are questions answered by "claims are those that attach evaluative predicates to a subject" (Scriven, 1995, 50)	questions about the qualities that make the evaluand good or less than good questions about whether the evaluation is good of less good than others questions about whether the evaluand is effective or less effective in producing desired outcomes

Question Type Analysis. For the transformative evaluation approach, the question type of the working logic is "questions about justly meeting needs across all power levels." "Social justice" is part of title of Mertens's 2007 article, and 17 coded segments mentioned or discussed social justice. The questions not only are about needs, but also about the needs defined by those across the power levels represented in the evaluation. The impact of the focus on power levels in the question type is illustrated in a discussion of research Mertens (2007) conducted and her concerns about who frames the questions.

However, allowing those with power to frame the questions and methods would have resulted in a continuation of an overall context that had permitted many young deaf people to be seriously psychologically and physically hurt. (p. 214)

Claim Type

Definition and Examples of Claim Types from Fournier

Working Logic Parameter	Definition	Examples
Claim Type	"Evaluative claims are those that attach evaluative predicates to a subject" (Scriven, 1995, 50)	Descriptive value claims Performance value claims Causal value claims

Claim Type Analysis. For the transformative evaluation approach, the claim type of the working logic is "a claim that the program justly meets needs across all power levels." This claim type is inductively identified from the question type, not directly coded in the primary source document. However, a segment from Mertens (1999) supports this analysis by focusing on the need to have the report include groups with lower power:

And truth is defined as being inclusive of the perspectives of those with the lived experience with the problem, whatever it might be - spousal abuse, sexual abuse, poor educational service, or lack of equal access to the justice system.
A good evaluator would want to provide as accurate a picture as possible. When significant voices are missing, the picture is not complete and may actually be a distorted representation of reality … Can a report be balanced when the voices of important constituencies are missing or inaccurately represented, or lost in the aggregation of data across groups? (p. 6)

This informs the following segment from Mertens (2007) that was then also coded with this claim type of "a claim that the program justly meets needs across all power levels": "A central element is the revisiting of program processes and outcomes so that modifications can be made and implemented to better match the community's needs" (p. 220). This refers to

modifications of the outcomes based on inclusion of insights from groups with lower power levels.

Philosophical Assumptions

Ontological assumption analysis. For the transformative evaluation approach, the ontological assumption is constructivist. "Constructivists hold that there are multiple, socially constructed realities (Guba & Lincoln, 2005). This assumption reflects a relativist view of reality, in which reality is constructed by individuals through reflection upon their experiences and in interaction with others" (Mertens and Wilson, 2019, p. 132). I coded three segments of the primary source for ontology and all reference multiple realities. The most complete explanation from Mertens (2007) follows:

> There are multiple realities that are socially constructed, but it is necessary to be explicit about the social, political, cultural, economic, ethnic, racial, gender, age, and disability values that define realities. Different realities can emerge because different levels of unearned privilege are associated with characteristics of participants and researchers. Transformative researchers need to be aware of societal values and privileges in determining the reality that holds potential for social transformation and increased social justice. (p. 216)

Epistemological assumption analysis. For the transformative evaluation approach, the epistemological assumption is transactional. Mertens (2018) defines transactional epistemology in a way that both describes it and links it explicitly to transformative evaluation:

> The transformative epistemological assumption holds that knowledge is neither absolute nor relative. Rather, it is constructed within a context of power and privilege with consequences attached to which version of knowledge is given privilege. In order to know a community's realities, the evaluators need to have an interactive link with the community members. The transformative epistemological assumption holds that knowledge is socially and historically located within a complex cultural context (Mertens, 2015). Mertens & Wilson, (2018), Kindle Locations 5000-5004)

> This is reflected in one of the three segments coded in the core document in Mertens's

(2007) explanation of the epistemological assumptions of transformative evaluation:

> The transformative paradigm's epistemological assumption leads to a cyclical model of research that includes the establishment of partnerships between researchers and community members, including the recognition of power differences and building trust through the use of culturally competent practices. (p. 218)

Axiological assumption analysis. For the transformative evaluation approach, the

axiological assumption is "theory of justice." The theory of justice axiological assumption is that

"… that programs should be evaluated on their capacity to meet the material needs of the

disadvantaged that, if not met, cause unacceptable harm. Scriven leans toward this approach,

with his concept of needs-based evaluations" (Shaddish, Cook, and Leviton, 1995, p. 456).

One of two segments coded to this assumption in the core document (Mertens, 2007)

supports this analysis:

> The transformative axiological assumption holds that ethical research needs to be designed so that it promotes social justice and furthers human rights. The starting point for ethical research is to understand the meaning of being culturally respectful in the communities in which we work, consciously addressing inequities, recognizing a community's strengths and resilience, and providing for reciprocity to the community members. (p. 222)

Core Questions

The core interview questions follow:

1. The approach was characterized in terms of Fournier's four parameters of a working

   logic of evaluation.

   a. In terms of the phenomena parameter type, is the characterization accurate and

      complete?

      i. If not, what corrections and/or additions would you like to provide?

   b. In terms of the problem parameter type, is the characterization accurate and

complete?

    i. If not, what corrections and/or additions would you like to provide?

c. In terms of the question parameter type, is the characterization accurate and complete?

    i. If not, what corrections and/or additions would you like to provide?

d. In terms of the claim parameter type, is the characterization accurate and complete?

    i. If not, what corrections and/or additions would you like to provide?

2. The approach was characterized in terms of three philosophical assumptions.

a. In the area of ontology, is the characterization accurate and complete?

    i. If not, what corrections and/or additions would you like to provide?

b. In the area of epistemology, is the characterization accurate and complete?

    i. If not, what corrections and/or additions would you like to provide?

c. In the area of axiology, is the characterization accurate and complete?

    i. If not, what corrections and/or additions would you like to provide?

APPENDIX E

Feature Profiles for All Approaches

Table E1
Feature Profile Matrix

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
CIPP Model	An evaluand identified with a set of products associated with meeting needs related to values identified by stakeholders	Extent of performance	Questions about whether the evaluand is effective or less effective in producing desired outcomes	Performance value claims including other issues such as value of the enterprise, sustainability, and transportability	Objectivist	Objectivist	A framework of appropriate values
Culturally-Responsive Evaluation (CRE)	Pluralistic	Pluralistic and responsive to the landscape.	Pluralistic and responsive to the landscape.	Pluralistic and responsive to the landscape.	Pragmatist	Subjectivist	Pluralistic

Table E1—Continued

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
Developmental Evaluation	Innovation and adaptation	How to do innovation and adaptation in complex systems	Is what being done in what is done true to the principles that are laid out	Did the developments align with the principles and match the nature of the changed circumstances that people are faced with in a program	Complexity theory – complexity theory and systems theory	Complexity theory – complexity theory and systems theory	Looking at the relationship between the intervention and the systems of which it's a part, and which is trying to change
Empowerment Evaluation (EE)	Programs defined as a set of treatment related transformative empowerment and practical empowerment outcomes	Extent of performance	Questions about whether the evaluand is effective or less effective in producing transformative and practical desired empowerment outcomes	Performance value claims	Pragmatist informed by a secondary assumption about the transformable potential of human beings and respecting them	Pragmatist	Stakeholder values

Table E1—Continued

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
Feminist Evaluation	An evaluand aiming to use a process for change producing related outcomes	Inequitable outcomes reflected in gender inequities influenced by systems that create oppression	Who's benefiting or not benefiting? Who's being hurt? What can come out of this process that would support activism?	Pluralistic	Transformative feminist	Feminist epistemology	Social justice
Goal-Free Evaluation	Programs defined as a means of meeting needs	Extent of performance	What are the outcomes without looking at the goals?	Performance value claims	Pragmatism	Pragmatism	Cost effectiveness and cost-benefit analysis.

Table E1—Continued

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
Indigenous Evaluation	A program meeting needs in a way that considers cultural fit, indigenous causality and decision making, and colonization and marginalization	Extent of achieving community potential by solving program and societal problems rather than people problems	Questions about whether the evaluand is effective or less effective in producing desired outcomes	Performance value claims, specifically answering the question 'Has the community been affected in a positive way as a result of the program/project/initiative'	Social constructivist	Constructivism	Theory of justice informed by key concepts of indigenous existence
Practical Participatory Evaluation (P-PE)	Programs defined as efforts to improve related outcomes	Extent of improvement of the performance of the program	Questions about whether the program is improving in producing desired outcomes, in reach, and in efficiency	Performance value claims possibly including claims about changing the program to improve it	Constructivist	Transactional	Values of diverse stakeholders or stakeholder groups

Table E1—Continued

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
Theory-Based Evaluation (TBE)	Evaluands including programs, personnel, organizations, or change initiatives defined as a set of treatment related outcomes	Extent of performance, effectiveness evaluation, or some features of the theory of change	Questions selected by stakeholders about various features of the program theory of change including implementation, short term effects, and whether the evaluand is effective or less effective in producing desired outcomes	Claims informed by client expectations (including causal value claims)	Realist unless what counts as evidence requires adaption to the client's ontological assumptions	Pragmatist	Stakeholder values

Table E1—Continued

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
Transformative Evaluation	A program situated in a context and system as a means of meeting needs	The extent of need fulfillment and transformation required to change power structures and systems to include voices of people not in traditions positions of power	Questions about 1) justly meeting needs across all power levels, 2) including social, economic, and environmental justice, and 3) seeking evidence of transformation in power relationships and structures both actually occurring and being sustainable	A claim that the program justly meets needs across all power levels, includes economic and environmental concerns, and produces sustainable results based on respectful relationships	There are different versions of reality and that these versions of reality are created from different social positionalities and degrees of power	Transactional	Social, economic, and environmental justice and human rights

Table E1—Continued

Approach	Phenomenon Type	Problem Type	Question Type	Claim Type	Ontological assumption	Epistemological assumption	Axiological assumption
Utilization-Focused Evaluation (UFE)	Any kind of initiative defined by values identified by stakeholders, the context, and the evaluator's roles and values	Any kind of problem while doing something that is useful and actually used	Question with an underlying question 'what will be useful, and will it lead to action?'	It is or is not useful	Pragmatism	Pragmatism	Pragmatism

APPENDIX F

Feature Clusters

Phenomenon Type Clusters

I identified three clusters of phenomenon types: meeting needs (four approaches), performance/outcomes (five approaches), and pluralistic (two approaches) (see Table F1).

Problem Type Clusters

I identified four clusters of problem types: performance (five approaches), pluralistic (one approach), systems (four approaches), and utilization (one approach) (see Table F2).

Question Type Clusters

I identified three clusters of question types: action (two approaches), outcomes (seven approaches), and systems (two approaches) (see Table F3).

Claim Type Clusters

I identified three clusters of claim types: performance (six approaches), pragmatic (three approaches), and systems (two approaches) (see Table F4).

Ontological Assumption Clusters

There are seven clusters of ontology assumptions: constructivist (three approaches; feminist (one approach), objectivist (one approach), pragmatism (three approaches), realist (one approach), subjectivist (one approach), and systems (one approach) (see Table F5).

Table F1
Phenomenon Type Clusters

Cluster	Phenomenon Type	Approach
Meeting needs	An evaluand identified with a set of products associated with meeting needs related to values identified by stakeholders	CIPP
	Programs defined as a means of meeting needs	Goal-Free
	A program meeting needs in a way that considers cultural fit, indigenous causality and decision making, and colonization and marginalization	Indigenous
	A program situated in a context and system as a means of meeting needs	Transformative
Performance/Outcomes	Innovation and adaptation	Developmental
	Programs defined as a set of treatment related transformative empowerment and practical empowerment outcomes	Empowerment
	An evaluand aiming to use a process for change producing related outcomes	Feminist
	Programs defined as efforts to improve related outcomes	P-PE
	Evaluands including programs, personnel, organizations, or change initiatives defined as a set of treatment related outcomes	Theory-Driven
Pluralistic	Pluralistic	CRE
	An initiative defined by values identified by stakeholders, the context, and the evaluator's roles and values	Utilization-Focused

Table F2
Problem Type Clusters

Cluster	Problem Type	Approach
Performance	Extent of performance	CIPP
	Extent of performance	Empowerment
	Extent of performance	Goal-Free
	Extent of improvement of the performance of the program	P-PE
	Extent of performance, effectiveness evaluation, or some features of the theory of change	Theory-Driven
Pluralistic	Pluralistic and responsive to the landscape	CRE
Systems	How to do innovation and adaptation in complex systems	Developmental
	Inequitable outcomes reflected in gender inequities influenced by systems that create oppression	Feminist
	Extent of achieving community potential by solving program and societal problems rather than people problems	Indigenous
	The extent of need fulfillment and transformation required to change power structures and systems to include voices of people not in traditions positions of power	Transformative
Utilization	Any kind of problem while doing something that is useful and actually used	Utilization-Focused

Table F3
Question Type Clusters

Cluster	Question Type	Approach
Action	Questions about 1) justly meeting needs across all power levels, 2) including social, economic, and environmental justice, and 3) seeking evidence of transformation in power relationships and structures both actually occurring and being sustainable	Transformative
	Question with an underlying question "what will be useful, and will it lead to action?"	Utilization-Focused
Outcomes	Questions about whether the evaluand is effective or less effective in producing desired outcomes	CIPP
	Questions about whether the evaluand is effective or less effective in producing transformative and practical desired empowerment outcomes	Empowerment
	Who's benefiting or not benefiting? Who's being hurt? What can come out of this process that would support activism?	Feminist
	What are the outcomes without looking at the goals?	Goal-Free
	Questions about whether the evaluand is effective or less effective in producing desired outcomes	Indigenous
	Questions about whether the program is improving in producing desired outcomes, in reach, and in efficiency	P-PE
	Questions selected by stakeholders about various features of the program theory of change including implementation, short term effects, and whether the evaluand is effective or less effective in producing desired outcomes	Theory-Driven
Systems	Pluralistic and responsive to the landscape.	CRE
	Is what being done true to the principles that are laid out	Developmental

Table F4
Claim Type Clusters

Cluster	Claim Type	Approach
Performance	Performance value claims including other issues such as value of the enterprise, sustainability, and transportability	CIPP
	Performance value claims	Empowerment
	Performance value claims	Goal-Free
	Performance value claims, specifically answering the question "Has the community been affected in a positive way as a result of the program/project/initiative?"	Indigenous
	Performance value claims possibly including claims about changing the program to improve it	P-PE
	Claims informed by client expectations (including causal value claims)	Theory-Driven
Pragmatic	Pluralistic and responsive to the landscape.	CRE
	Pluralistic	Feminist
	It is or is not useful	Utilization-Focused
Systems	Did the developments align with the principles and match the nature of the changed circumstances that people are faced within a program	Developmental
	A claim that the program justly meets needs across all power levels, includes economic and environmental concerns, and produces sustainable results based on respectful relationships	Transformative

Table F5
Ontology Assumption Clusters

Cluster	Ontology Assumption	Approach
Constructivist	Social constructivist	Indigenous
	Constructivist	P-PE
	There are different versions of reality and that these versions of reality are created from different social positionalities and degrees of power	Transformative
Feminist	Transformative feminist	Feminist
Objectivist	Objectivist	CIPP
Pragmatism	Pragmatist informed by a secondary assumption about the transformable potential of human beings and respecting them	Empowerment
	Pragmatism	Goal-Free
	Pragmatism	Utilization-Focused
Realist	Realist unless what counts as evidence requires adaption to the client's ontological assumptions	Theory-Driven
Subjectivist	Subjectivist	CRE
Systems	Complexity theory – complexity theory and systems theory	Developmental

Epistemological Assumption Clusters

There are five clusters of epistemological assumptions: Constructivist (four approaches), objectivist (one approach), pragmatist (four approaches), subjectivist (one approach), and systems (one approach) (see Table F6).

Axiology Assumption Clusters

There are five clusters of axiological assumptions: justice (three approaches) pluralistic (two approaches), pragmatism (two approaches), stakeholder (three approaches), and systems (one approach) (see Table F7).

Table F6
Epistemology Assumption Clusters

Cluster	Epistemology Assumption	Approach
Constructivist	Constructivism	Indigenous
	Transactional	P-PE
	Transactional	Transformative
	Feminist epistemology	Feminist
Objectivist	Objectivist	CIPP
Pragmatist	Pragmatist	Empowerment
	Pragmatism	Goal-Free
	Pragmatist	Theory-Driven
	Pragmatism	Utilization-Focused
Subjectivist	Subjectivist	CRE
Systems	Complexity theory – complexity theory and systems theory	Developmental

Table F7
Axiology Assumption Clusters

Cluster	Axiology Assumption	Approach
Justice	Social justice	Feminist
	Theory of justice informed by key concepts of indigenous existence	Indigenous
	Social, economic, and environmental justice and human rights	Transformative
Pluralistic	A framework of appropriate values	CIPP
	Pluralistic	CRE
Pragmatism	Cost effectiveness and cost-benefit analysis.	Goal-Free
	Pragmatism	Utilization-Focused
Stakeholder	Stakeholder values	Empowerment
	Values of diverse stakeholders or stakeholder groups	P-PE
	Stakeholder values	Theory-Driven
Systems	Looking at the relationship between the intervention and the systems of which it's a part, and which is trying to change	Developmental

APPENDIX G

Parameter Type Expansion

Table G1

Approach Phenomenon Types from Fournier (1995) or Added

Approach	Phenomenon Type
Causal Approach (Fournier, 1995	Program defined as treatment-outcome relationships*
CIPP Model	An evaluand identified with a set of products associated with meeting needs related to values identified by stakeholders**
Connoisseurial (Fournier, 1995)	Program defined as a collection of qualities*
Consumer Approach (Fournier, 1995)	Functional product*
Culturally-Responsive Evaluation	Pluralistic**
Developmental Evaluation	Innovation and adaptation**
Empowerment Evaluation	Programs defined as a set of treatment related transformative empowerment and practical empowerment outcomes**
Feminist Evaluation	An evaluand aiming to use a process for change producing related outcomes**
Goal-Free Evaluation (Fournier, 1995)	Program defined as a means of meeting needs*
Goal-Free Evaluation	Programs defined as a means of meeting needs

Table G1–Continued

Approach	Phenomenon Type
Indigenous Evaluation	A program meeting needs in a way that considers cultural fit, indigenous causality and decision making, and colonization and marginalization**
Practical Participatory Evaluation	Programs defined as improvement of related outcomes**
Pluralistic (Fournier, 1995	Program values defined as sets of values held by stakeholders*
Theory-Based Evaluation	Evaluands including programs, personnel, organizations, or change initiatives defined as a set of treatment related outcomes**
Transformative Evaluation	A program situated in a context and system as a means of meeting needs**
Utilization-Focused Evaluation	An initiative defined by values identified by stakeholders, the context, and the evaluator's roles and values**

*From Fournier (1995)   **Added in current study

Table G2

Approach Problem Types from Fournier (1995) or Added

Approach	Problem Type
Causal Approach (Fournier, 1995	What is the outcome of intervention A? Is X more effective than B in producing X?
CIPP Model	Extent of performance
Connoisseurial (Fournier, 1995)	(Not identified)
Consumer Approach (Fournier, 1995)	Extent of performance
Culturally-Responsive Evaluation	Pluralistic and responsive to the landscape**
Developmental Evaluation	How to do innovation and adaptation in complex systems?**
Empowerment Evaluation	Extent of performance
Feminist Evaluation	Inequitable outcomes reflected in gender inequities influenced by systems that create oppression**
Goal-Free Evaluation (Fournier, 1995)	(Not identified)
Goal-Free Evaluation	Extent of performance
Indigenous Evaluation	Extent of achieving community potential by solving program and societal problems rather than people problems**

Table G2–Continued

Approach	Problem Type
Practical Participatory Evaluation	Extent of improvement of the performance of the program**
Pluralistic (Fournier, 1995	(Not identified)
Theory-Based Evaluation	Extent of performance, effectiveness evaluation, or some features of the theory of change**
Transformative Evaluation	The extent of need fulfillment and transformation required to change power structures and systems to include voices of people not in traditions positions of power**
Utilization-Focused Evaluation	Any kind of problem while doing something that is useful and actually used**

*From Fournier (1995)   **Added in current study

Table G3

Approach Question Types from Fournier (1995) or Added

Approach	Question Type
Causal Approach (Fournier, 1995	Intervention effectiveness*
CIPP Model	Questions about whether the evaluand is effective or less effective in producing desired outcomes* (Equivalent to Intervention effectiveness from Fournier (19995b)
Connoisseurial (Fournier, 1995)	What does it feel like? What are the qualities that make this good/less than good?
Consumer Approach (Fournier, 1995)	Is X a good one of its kind? Is X good/less good than other Xs?
Culturally-Responsive Evaluation	Pluralistic and responsive to the landscape**
Developmental Evaluation	Is what being done in what is done true to the principles that are laid out**
Empowerment Evaluation	Questions about whether the evaluand is effective or less effective in producing transformative and practical desired empowerment outcomes**
Feminist Evaluation	Who's benefiting or not benefiting? Who's being hurt? What can come out of this process that would support activism?**
Goal-Free Evaluation (Fournier, 1995)	(Not identified)
Goal-Free Evaluation	What are the outcomes without looking at the goals?**

Table G3–Continued

Approach	Question Type
Indigenous Evaluation	Questions about whether the evaluand is effective or less effective in producing desired outcomes* (Equivalent to Intervention effectiveness from Fournier (19995b)
Practical Participatory Evaluation	Questions about whether the program is improving in producing desired outcomes, in reach, and in efficiency**
Pluralistic (Fournier, 1995	(Not identified)
Theory-Based Evaluation	Questions selected by stakeholders about various features of the program theory of change including implementation, short term effects, and whether the evaluand is effective or less effective in producing desired outcomes**
Transformative Evaluation	Questions about 1) justly meeting needs across all power levels, 2) including social, economic, and environmental justice, and 3) seeking evidence of transformation in power relationships and structures both actually occurring and being sustainable**
Utilization-Focused Evaluation	Question with an underlying question 'what will be useful and will it lead to action?**

*From Fournier (1995)   **Added in current study

Table G4

Approach Claim Types from Fournier (1995) or Added

Approach	Claim Type
Causal Approach (Fournier, 1995	Causal/value
CIPP Model	Performance value claims including other issues such as value of the enterprise, sustainability, and transportability**
Connoisseurial (Fournier, 1995)	Descriptive/valuing*
Consumer Approach (Fournier, 1995)	Performance value claims*
Culturally-Responsive Evaluation	Pluralistic and responsive to the landscape**
Developmental Evaluation	Did the developments match the nature of the changed circumstances that people are faced with in a program?**
Empowerment Evaluation	Performance value claims*
Feminist Evaluation	Pluralistic**
Goal-Free Evaluation (Fournier, 1995)	(Not identified)
Goal-Free Evaluation	Performance value claims

Table G4–Continued

Approach	Claim Type
Indigenous Evaluation	Performance value claims, specifically answering the question 'Has the community been affected in a positive way as a result of the program/project/initiative?**
Practical Participatory Evaluation	Performance value claims possibly including claims about changing the program to improve it**
Pluralistic (Fournier, 1995)	(Not identified)
Theory-Based Evaluation	Claims informed by client expectations (including causal value claims)**
Transformative Evaluation	A claim that the program justly meets needs across all power levels, includes economic and environmental concerns, and produces sustainable results based on respectful relationships**
Utilization-Focused Evaluation	It is or is not useful**

*From Fournier (1995)   **Added in current study

APPENDIX H

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From: Thomas Jay Lyzenga <thomas.j.lyzenga@wmich.edu>

Sent: Monday, September 20, 2021 2:52 PM

To: Fournier, Deborah M <fournier@bu.edu>

Cc: Chris L Coryn <chris.coryn@wmich.edu>

Subject: Request for permission to include an excerpt

Deborah,

I would like to request your permission to include an excerpt from the following item in my dissertation.

Figure 4.5 titled "Parameters of working logic account for variation in detail within general logic" on page 120 from your 1993 dissertation titled Reasoning in evaluation: A distinction between general and working logic.

I am researching the parameters of informal logic and the philosophical foundations of selected contemporary program evaluation approaches and would like to use the figure to illustrate the relationships between informal and formal evaluation logic.

You will receive full credit in the manuscript.

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Thank you for your time and attention to this matter.

Sincerely,

Tom Lyzenga, Ph.D. Candidate

IDPE

Western Michigan University

Thomas.J.Lyzenga@wmich.edu

From: Fournier, Deborah M <fournier@bu.edu>

Sent: Monday, September 20, 2021 4:45 PM

To: Thomas Jay Lyzenga <thomas.j.lyzenga@wmich.edu>

Cc: Chris L Coryn <chris.coryn@wmich.edu>

Subject: Request for permission to include an excerpt

Hello Tom,

Thank you for your email—I am pleased to hear from you. Yes, of course, you have my permission to use this in your

dissertation—my honor to do so.

Best Regards,

Deborah

Deborah M. Fournier, MS, PhD

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