

EVALUATIONS  
CONNECTIONSSPECIAL EDITION ON EES "PUBLIC HEARING" AT THE EUROPEAN PARLIAMENT:  
EVALUATION IN DEMOCRACY

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## A MESSAGE FROM THE PRESIDENT

**María Bustelo, EES President**

The European Evaluation Society organized a 'Public Hearing' at the European Parliament on April 10<sup>th</sup> 2013 to explore how evaluation might benefit European institutions and European citizens. For the EES this was a unique opportunity to advocate more and better evaluation in the European space.

The event was made possible by Tarja Cronberg, Member of the European Parliament. She hosted the event and triggered a vibrant exchange between senior European Parliament representatives and European Commission managers as well as evaluation thinkers selected by the voluntary organization of professional evaluators that I preside. The overarching theme was the enhanced role that evaluation could play in promoting democratic responsiveness to the European civil society and European citizens.

EES has a strategic role to play in evaluation capacity development and the promotion of favourable enabling environments for evaluation by encouraging innovative thinking in evaluation research, professionalization of evaluation and the encouragement of independent evaluation in the public interest. This is not only about improved use of evaluation within European institutions. It is also about fostering a dialogue with civil society organizations and nurturing an evalu-

ation culture that encourages citizens to ask for and make use of evaluations.

Evaluation has enormous potential as a professional practice that can serve democracy by helping institutions learn from experience and become more accountable and transparent.

Evaluation can also help empower citizens. Promoting democratic evaluation is a unique challenge at the supranational level given the inevitable complexities of regional and global governance and the deep economic and financial crisis that has increased social inequity and contributed to perceptions of a vast democratic deficit. Against this landscape the diverse facets of evaluation in democracy and what democratic evaluation implies were identified and discussed in a richly rewarding one day event.

I am proud to present this special issue of Connections to the wider public. I hope that it will elicit further interactions about the future of evaluation in Europe. I also wish to express my gratitude, on behalf of the EES, to all the speakers, participants, hosts and coordinators who made the event a success and agreed to contribute to this special issue of Connections.

**María Bustelo, EES President**

## EDITORIAL: FILLING THE DEMOCRATIC DEFICIT THROUGH EVALUATION IN THE EUROPEAN UNION

Barbara Befani and Liisa Horelli

A ‘public hearing’ on Evaluation in Democracy, coordinated by the European Evaluation Society, was held in the Parliament building in Brussels on April 10 2013. The overarching purpose of the event was to stimulate debate and innovative thinking about the potential role of evaluation in the European Parliament and the European Commission.

The event was sponsored by Tarja Cronberg, Member of the European Parliament. She spoke of evaluation as a tool for the empowerment of citizens; a way of promoting social learning, identifying priority policy interventions, and reducing the democratic deficit in the European Union.

Cronberg asked participants to focus on the use of evaluations and to address the question “Do we use evaluation in an optimal way as seen from stakeholders’ and citizens’ perspectives?”, holding the view that it’s up to the “experts to understand citizens’ perspectives, and not for citizens to become experts”. This view was later balanced by the observation that “citizens must be able to trust institutions for evaluation to play a role”.

The complex issues of evaluation in democracy, and democracy in evaluation, were addressed from many different angles, including the inter-relationship of accountability and learning.

There was broad-based agreement that adherence to basic values of transparency, equity, participation and independence is the foundation of democratic evaluation. ‘Evaluation in democracy’ must be promoted through an aggressive and uncompromising positioning of evaluation at the core of governance and policy making: in the words of Bob Picciotto, “evaluation can amplify citizens’ voice and make authority responsible to citizens”. “Assessing public value is supposed to generate incentives for policy makers to deliver collective results”; however as an “inherent political activity” evaluation

needs “structural protection to guarantee integrity and independence”.

This feat is not made any easier by a complex global context with ‘wicked’ problems that do not respect national borders: new policy challenges need to be tackled, like aligning multiple levels of governance and nurturing inclusive policy-making mechanisms. In the words of Elliot Stern: “Policy today is not a decision that can be implemented but a process that needs to be steered [...] our democratic societies are evolving and so must evaluation if it is to have any voice”. Compared to a “less messy” era of policy making, Stern says, “goals are no longer material: we no longer aspire to service provision but to innovation and behavioural change; [...] public authorities have gone from centralized & legitimate to a decentralized and contested variety of public and private actors”.

These historical changes draw attention to ‘democracy in evaluation’, which is to be enhanced through deliberative, negotiated, coordinated and self-regulated empowerment processes that take place in complex networks of relations, where information and knowledge are concentrated in hubs as well as authorities.

There is also a call for real-time, iterative methodologies that assess complex and dynamic policy formulation and implementation, tracking policy outcomes over time; there is a need for multi-stakeholder evaluations, new meta-evaluation syntheses and more joint evaluations to avoid the risk of fragmentation; and finally, of multi-cultural, self-organizing networks and social media initiatives ([https://twitter.com/ees\\_eval](https://twitter.com/ees_eval)).

The boundary between accountability and learning is seen as increasingly blurred. As Elliot Stern said “we must learn to be accountable and we must be accountable for learning”.

The traditional, narrow definition of accountability as part of a ‘top down’ punitive culture

is widely seen as passé. As stressed by Murray Saunders, evaluation for accountability is seen as a resource to resolve conflicts and aid decision-making; however several dimensions of accountability need to be taken into account besides propriety in order to ensure that policy makers are accountable on policy and theory of change assumptions, choice of instruments, and effects: these dimensions are quality, efficacy, positive change and sustainable impact. Single-loop learning, that answers the question “are we doing things right” and helps in correcting mistakes, is no longer enough. As pointed out by Ian Davies, generative innovation requires double-loop learning which is helpful in explaining and understanding and in answering the question “are we doing the right things”? Triple-loop learning is also needed for ‘learning to learn’. Thus accountability should no longer be limited to answering the “what” question and should address the “so what”, “why”, and “to whom” questions as well. It should no longer concern only managers and policy makers, but also the civil society.

Although accountability and learning are two sides of the same coin the assurance dimension of accountability is the natural province of auditing while learning is the privileged dimension to evaluation. A combination of external, control-based audit assurance and democratic oversight supported by learning through meaningful, participatory evaluation was regarded as desirable.

The event was not limited to theorizing about the role of evaluation or democracy: two round tables involving representatives from both the European Parliament (EP) and the European Commission took place, in order to steer the debate towards a more “real world practice” angle. Both the EP and the EC have increased their evaluation capacity. The EP has built a new Directorate on Impact Assessment (IA), European added value (EAV) and Science and Technology Options Assessment (STOA), in addition to the five policy departments in the EP

serving decision making committees with evaluative analyses.

Ex ante impact assessment informs EP members' decisions ([http://europeanevaluation.org/files/LDM\\_BRI\(2013\)130483\\_REV2\\_EN.pdf](http://europeanevaluation.org/files/LDM_BRI(2013)130483_REV2_EN.pdf)) while the Commission has acquired new ex ante evaluation frameworks and 'fitness checks' to assess whether legislation is fit for purpose. Collaborative workshops are part of the tool kit used by the EP and by Commission directorates.

However the citizens' perspective is not yet playing a central role in on-going evaluation work. At this stage the only direct link between citizens and the EP seems to be the EP Library, which stores all evaluation material. The Library database is a rich source for Universities and educational institutions that can be tapped for further knowledge production. But as Director Alfredo De Feo pointed out, "there are still major barriers to evaluation use like language and skills needed to access the reports, not to mention the shortcomings in transparency".

On the bright side, the EP has begun to exercise more effective oversight over Commission activities. Enhanced collaboration with European evaluation institutions would make such oversight more effective: for example the EES might help mobilize networks capable of eliciting citizens' feedback and amplify the voices of disadvantaged groups. In the words of Veronica Gaffey "the challenge for the Commission is to engage in ruthless truth-telling".

EU panelists seemed enthusiastic about the idea of commissioning comprehensive studies that would help bridge otherwise mostly fragmented evaluations completed during different phases of a programme (ex-ante, ongoing, ex-post).

All in all, it appears that an independent evaluation function reporting to the EP would complement the Commission self-evaluation processes and help fill the EU democratic deficit by strengthening EP oversight over the policy cycle. However, the debate is far from over and the EES is fully prepared to continue the dialogue with EU institutions as well as to foster and contribute to public debate about this topic within civil society and the global evaluation community.

## EVALUATION IN DEMOCRACY

Tarja Cronberg

Evaluation is a critical function within the EU system. The basic objective is to find out if the initial goals and objectives at the start of our interventions have been achieved in practice and whether they correspond to actual needs. This includes the assessment of any negative and unintended effects. Second, it means ascertaining whether the positive effects have been achieved without commitment of excessive resources. A third more general purpose is to learn from experience and to improve the quality of any future activity and to empower the stakeholders to increase their own capabilities in formulating and implementing policies.

Evaluation is a widespread activity inside the EU. Legislation is evaluated, regional policies are evaluated, and technologies are assessed. Activities are carried out in all the DGs under the Council and in the Parliament. No one has a full overview of the full costs of these processes or of their actual use. However the Commission has recently evaluated the direct evaluation costs. Each year since 2000 around a hundred evaluations have been carried out each year. The peak was in 2008 with 138.

The average cost is estimated to be about 170 000–200 000 Euros per evaluation equivalent to a yearly cost of around 18 million Euros<sup>1</sup>. I do not doubt that more evaluation will be carried out in the future, and also that the processes of making impact assessments will become more complicated.

I am not saying this is too much. On the contrary, I am saying that we need the information, the feedback, the learning. What I would like to address is the use of these evaluations, particularly for reducing the gap between the EU institutions and European citizens.

This is the Year of the Citizen. At the same time the citizens are becoming more and more critical and inquisitive about the value added of European cooperation. In evaluation we have a tool that can empower

the citizens; increase learning and understanding the need for interventions, and in the end to fundamentally reduce the democratic deficit of the EU. So the question is, do we use evaluation in an optimal way as seen from the stakeholders and the citizens' perspective?

Could we improve the transparency and accountability of EU policies and legislation by improving our evaluation practices?

Is the EU evaluation system accountable enough? Accountability is especially critical at a time of economic crisis and especially now when there are increased divisions between the north and the south; when some countries are paying the debts of others and when all member countries want to reduce the EU budget and no one wants to give in on achieved benefits of public action.

Evaluation is an arena for learning. Are we using this arena properly? Sometimes I have the feeling that the EU evaluation system is more about monitoring indicators than about creating a change. We have indicators for the participation of female entrepreneurs but do we really understand why they choose not to participate in EU programs? The EU now arranges hearings to give a voice to SMEs, but is this enough?

Finally, what is the role of evaluators? Who are they? The emerging goal is that they should offer conceptual and methodological guidelines for future interventions. I am in favour of this, but of course it is a very ambitious goal. It implies a complete reorganisation of the evaluation process and the way the knowledge gained is used.

<sup>1</sup> This is 0.01 % of the total EU budget and 0.2% of the administrative budget whereas a rule of thumb is that 1 % of the administrative budget of a public institution is appropriate.

## WHAT IS DEMOCRATIC EVALUATION?

Robert Picciotto

Can evaluation strengthen the democratic process? Specifically can it help fill the democratic deficit (limited transparency; weak bureaucratic accountability, etc.) often ascribed to the European Union? First and foremost, evaluators operating in the European space should be committed to the ethical and democratic values of the European project and the promotion of its social inclusion and cohesion ideals. But two other sets of challenges must also be met: those that relate to evaluation in democracy and those that relate to democracy in evaluation. The former has to do with the *macro positioning of evaluation processes in society*. The latter has to do with the *evaluation approaches and methods* used in deliberative democratic decision making processes.

*Evaluation in democracy* helps to make authority responsible. It implies the existence of mechanisms that can ascertain reliably whether errors in decision making were due to circumstances over which the administration had no control or whether the risks actually incurred could have been managed better. This is how fair and objective evaluation contributes to accountability: it ensures that politicians' promises are compared with what they deliver through fair and objective evaluative processes.

Evaluation, if it is part of the policy cycle, can contribute to sound EU governance through citizens' involvement in the decisions that affect their lives. The main restoration mechanism to poor government performance is citizens' voice. Evaluation amplifies it. EU politicians and civil servants make collective choices about how public resources are allocated and used. They are mandated to secure high value for the bundle of assets assigned to their care. They need to demonstrate that they are doing so responsibly and effectively.

Hence the key to their legitimacy is a valid and authoritative narrative regarding EU's creation of public value. Measuring it through simple output measures and budget coefficients rather than outcomes and impacts has dominated public sector management

in Europe and beyond. Such indicators leave a lot to be desired. They do not measure results and they can easily be manipulated. Hence, the information provided by public sector managers about their work needs robust validation: independent evaluation in the public sector is what auditing of accounts is in the private sector.

Evaluation is inherently a political activity. It is inextricably confronted with issues of power distribution and rights. It is invariably subject to threats and pressures from vested interests. Capture of evaluation by powerful groups is an ever present danger. Consequently evaluation needs protection in order to maintain its objectivity, exercise full freedom of inquiry and reject attempts to control its findings.

It follows that for evaluation knowledge to be credible, legitimate and valuable it should be functionally and structurally independent. Ultimately effective protection of its integrity relies on the separation of powers between the executive and the legislative. This means that independent evaluation of Europe-wide policies and programmes should report to Parliament since it represents European citizens.

Of course, the European Commission should have self evaluation instruments of its own. But it would be appropriate for the European Parliament to exercise oversight over self evaluation processes including expert mechanisms and verification processes designed to attest to the validity of self evaluation claims.

Beyond the allegiances embedded in mandates and organizational structures, commitment to democracy has far reaching implications for evaluation models and practices. It is not enough to put *evaluation in democracy*. One must also inject *democracy in evaluation*. Bluntly put a consultant who uses evaluation techniques to help improve policy or programme performance is not necessarily a democratic evaluator. Being fee dependent

he/she acts as a consultant or an adviser who draws on the trans-disciplinary characteristic of evaluation to advise his/her clients.

By contrast, democracy in evaluation implies autonomy. This means either that the independent evaluator assumes professional ownership of the evaluation product and report to the people's representatives or that he/she acts as a knowledge broker and facilitator, i.e. refrain from imposing his/her values in the evaluation process and respect the rights of programme managers as well as programme beneficiaries to the knowledge secured for and derived from the evaluation. In both cases control over, access to and release of information gives equal weight to the rights of programme managers and other participants.

Traditionally democratic evaluation has mostly connoted a neutral brokering role; joint control over evaluation processes, diligent respect for the privacy of individuals; principled interaction between programme managers and programme beneficiaries, etc. But thus defined democratic evaluators may without intending it favour those who hold the levers of power. The solution lies in making deliberate efforts to level the playing field by empowering the weakest and poorest. This is where Ernest House and Kenneth Howe's *deliberative democratic model* and David Fetterman's *empowerment evaluation model* come in. The former scrutinizes all claims and subjects them to reasoned discussion through procedures that ensure that the disadvantaged are respectfully included in the evaluation process. The latter builds their capacity to participate effectively.

Whether it emphasizes the independence of expertise or the facilitation and coaching role the democratic evaluation model challenges the information monopoly commonly asserted by programme managers, unearths the values and interests underlying policies and programmes, broadens the questions to be addressed to ensure that citizens' views are heard. Thus democratic evaluation

engages the public in informed discussion of the *pros and cons* of policy directions and programme designs and disseminates findings in non specialist language so as to make evaluation processes and products accessible to non-experts and the public at large.

At its best, democratic evaluation embodies a collective and pluralistic approach that helps people participate in the decisions that affect their lives and in the words of its pioneer (Barry MacDonald) “to choose be-

tween alternative societies”. The European Union would greatly benefit from democratic evaluation thus defined since current evaluation processes in the European Union are lopsided in favour of bureaucratic self evaluation carried out through technocratic means.

In sum, democratic evaluation for Europe would be rooted in (i) ethical values and a yearning for equality and freedom; (ii) respect a plurality of views; (iii) stout re-

sistance to capture through independence; (iv) respect citizens’ privacy and their right to know; and (v) citizens participation either directly or through elected representatives and civil society organizations. But there is no standard blue print applicable to different aspects of EU activities. Democratic evaluation models for Europe will have to be developed democratically! This is the process that EES intended to trigger through the one day Brussels event summarized in this special issue of Connections.

## EVALUATION IN AN EVOLVING DEMOCRATIC SETTING

Elliot Stern

Democratic societies in the EU are evolving. Citizens continue to hold high expectations of their governments and representatives while at the same time becoming increasingly sceptical and critical. Trust in the political establishment has been on a downward trajectory in many OECD countries. New policy challenges are also evident. These are driven by contemporary and complex public policy needs which are beginning to reshape our understanding of democracy. The context within which the practice of evaluation is expected to make a contribution to democracy is certainly not standing still!

Evaluation has traditionally seen itself as contributing explicitly to democracy by increasing transparency and accountability. Some evaluators aspire to give voice to (or even ‘empower’) the poor and marginalised. However democratic models in evaluation seem to hark back to an earlier era – citizens having their say in local or institution – specific decisions, smaller in scale and often parochial. The core of my argument is that evaluation that hopes to contribute to evolving democratic societies also needs to evolve beyond small-scale, ‘village pump’ models of democracy.

I consider below two drivers of contemporary democratic life: the changing nature of policy making and the implications of globalisation.

### Policy making for today’s policy challenges

Developed countries have moved beyond “first generation” policy challenges such as clean water, child immunisation, drains and sewers and basic education. What we now face are ‘wicked’ problems such as inequality of different sorts, climate change, skill obsolescence and the health consequences of affluence. Here policy success is less certain and difficult to measure and we may only know whether today’s policy succeeds in the very long term. Partly because of the dismantling of state bureaucracies over the last 25 years we have seen the decentralisation and ‘marketisation’ of public service delivery. Many more actors are now involved in policy making – from the private sector, civil society and of course experts – the so called epistemic communities.

Citizens are demanding a role in the design and implementation of policies which affect them and resist decisions in which they are not involved. Policies tailored to local settings have made citizen-input vital, rekindling interest in direct as well as fully representative democracy. Notions of deliberative-democracy are one expression of this. Policy making now works through new scenarios of consensus-building, partnerships, new regulatory frameworks, self-regulation, standard setting and ‘peer review’. Governments have become

the facilitators rather than the deliverers of policy. This is a less linear, less top-down policy scenario than we have been used to. In such a scenario, parliaments whether at a European or national level have new potential roles as defenders of the public interest able to represent and integrate diverse values.

This new policy-making environment inevitably has implications for evaluation. Evaluators now require an understanding of the policy making process – following the dynamic process of policy formulation through to implementation. This requires real-time, iterative evaluation methodologies able to track change over time. Decentralised policy-making also challenges evaluators to engage with multiple stakeholders rather than with administrations alone. Indeed the contemporary importance of multiple stakeholders including citizens may even come to undermine the current near-monopoly of administrations over the evaluation agenda.

### Globalisation and global governance

The second driver of democratic evolution is globalisation. In many policy domains globalisation has begun to shift the locus of governance away from nation states and even regions, a process often described in the EU context as ‘multi-level governance’. Consider

major policy problems such as environmental pollution and carbon-targets; public health epidemics such as avian flu; gender equality and child rights; corporate taxation; economic inequalities; managing economic growth; labour-market policies and skill shortages; water basin management; and sustainable fisheries. All of these spill over the boundaries of traditional jurisdictions.

I would argue that we are even witnessing a burgeoning of new putative global governance arrangements in the first decades of the 21<sup>st</sup> century. Some of these arrangements are intergovernmental such as the G8 and G20, others are embedded in international organisations such as the UN, OECD and the World Bank. There are also innovative actors who are now increasingly significant on the global stage: global forums, civil society coalitions, public private alliances, philanthropic trusts – to name but a few.

There is of course a genuine risk that democracy will be undermined by these governance arrangements. Decision making and accountability could so easily disappear behind alibis of professional or commercial confidentiality or even diplomatic privilege. This need not be so if we begin to break down globalisation into its component parts. Global arrangements go through stages although they are not all fully realised in every case:

- First issues emerge and are identified as of global policy concern

- Second there is an attempt to build consensus – to define the scope and direction of possible policy actions
- Third norms and standards are set usually within some agreed framework
- Fourth there are formal agreements of various strengths – ranging from the rhetorical through to treaties and conventions
- Fifth – if strong agreement is achieved – monitoring and compliance arrangements become salient.

At each of these stages there is scope for democratic engagement by citizens. This can take the form of networking, lobbying through NGOs, open circulation of information, establishing epistemic communities and ensuring civil society participation in public debates. Established democratic institutions such as parliaments and public administrations are a necessary part of this process. Their contribution may include:

- Providing new democracy-friendly mechanisms such as authorisation, legitimation, gate-keeping and bridge building
- Aligning multiple levels of governance – a key task in federal polities – which established democratic institutions are well-equipped to support
- Inclusive policy-making that involves, consults and takes seriously different interests and stakeholders (such as environmentalists and consumer groups) – which is becoming widespread in global policy-making

This implies new possibilities for political institutions as agents of democracy; and parallel risks to their legitimacy at a time when citizens perceive the policy centre of gravity moving away from their historical location. At the same time evaluation is only just beginning to grapple with globalised democratic realities. Yet there are already indications of opportunities and new directions. For example: there will be a need for more 'joint' (multi-stakeholder) evaluations as pioneered in international development; internal evaluation units in national and international institutions which on their own can only provide part of the global picture will need to work together; new kinds of synthesis will be needed to make sense of evaluations that are dispersed and potentially fragmented; and cross-cultural understandings need to be mobilised to address 'sense-making' in multi-cultural settings.

As democracy evolves and as new forms of policy making and policy instruments emerge to cope with new policy challenges nationally, regionally and globally the scope for democratic participation in evaluation is unlikely to diminish. However it will take very different forms from the traditional democratic models that it did in small communities and local responsive institutions at a time that policy-making was a simpler practice than it has now become. Whether either evaluators or policy makers will be able to meet these challenges head-on remains to be seen!



## EVALUATION, ACCOUNTABILITY AND LEARNING IN THE EUROPEAN SPACE

Murray Saunders

This article addresses the way in which evaluation for accountability has been cast as a discrete practice portrayed in pejorative terms by those concerned with the 'object' of accountability – and by some evaluators. I will argue that the classic distinctions between accountability, development and knowledge (Chelimsky 1999) are much more permeable than is often acknowledged. Specifically the interaction between these three goals underlies the progressive role of civil society in democratic processes. In other words, accountability is an important part of our social capital and it represents a positive force in the European space. But it can also undermine the spirit of democratic practice if used within a top down, punitive culture.

To be sure evaluation commissioners often focus on the 'provision of an account' of the way in which resources have been spent on a policy or programme and to what effect. But the latter is often under-represented.

At its best, evaluation focuses on the transparent narrative of the 'how and what happened' to resources used on our behalf in policy and programmes or in organisational development. This said 'accountability focused evaluation' is not so easy to pin down.

Patton's cautionary and critical definition of accountability evaluation asserts it is to "report independently to decision makers charged with making sure that resources are spent on what they are supposed to be spent on" (Patton, 2012 p13). Far too often, accountability driven evaluations are external to the development or policy, emphasise a financial or audit preoccupation and use indicators with low diagnostic value that encourage rhetoric, ritualism, fear, justificatory practice.

How then should we recast accountability in relation to evaluation? As a progressive force, evaluation is a process of identifying

the basis on which a programme, policy or intervention might be conceived and undertaken with propriety, efficacy and to positive effect, i.e. in terms of their contribution to equity (reductions in poverty, and in gender, physical and mental capacity and ethnic bias). This notion of accountability is closely aligned with the positive use and engagement with evaluation outputs.

Why is accountability important in this more expansive and positive sense? A key evaluation imperative is to 'sense make' of complex environments so as to provide compelling accounts of complex interventions. This notion of accountability is close to policy and programme learning. Evaluators also face social and political imperatives: to estimate the effects of interventions on transparency, equitable resource allocation, legitimacy and equity.

This has methodological implications: if we are to account for the efficacy of an approach, we should provide authoritative knowledge resources that take explicit account of difficulties and uncertainties in ascertaining 'effects', in other words on the basis that allows us to say: "this is working". It follows that evaluation's own accountability lies in its contribution to the process by which institutions and structures of authority collaborate to allocate resources and coordinate or control activity in society or the economy.

In terms of the 'social capital' of a society and its governance processes, the practices associated with accountability evaluations refer to the ways in which evaluative systems are used to resolve conflicts and make decisions. But how specifically might *evaluative practice* play a role in controlling the way governments spend or undertake types of policy intervention? We can identify accountability imperatives in four distinctive domains:

- **Policies** (a focus on cohesion, integration and reducing disparity in social and economic development across member

states). Key practice: *examining the logic of policy intention*.

- **Instruments** (structural funds resourcing interventions that determine growth). Key practice: *assessing the theory in action of funded and targeted development*.
- **Mechanisms** (specific programmes, interventions, projects e.g. in transport, human resources, public management). Key practice: *assessing the theory of change embedded in specific programmes*.
- **Effects** (*identifying changes in practice* (economic, social, educational, health) brought about by the aggregated determination of mechanisms, instruments and policies). Key practice: *Meta assessments of value associated with policies over time*.

We can also see that, in the European space, we have a preponderance of evaluative practices associated with accountability clustered in levels 1–3 below while a dominant challenge is to shift attention to levels 4 and 5.

**Level 1: Propriety:** protocols and due and proper process (was money spent properly, plans adhered to, timelines addressed, consultations occurred and needs addressed).

**Level 2: Quality:** in outputs e.g. roads, buildings, infrastructural development (fitness for purpose).

**Level 3: Efficacy:** use of the outputs (increase focus on how new infrastructure is used, how it is adapted and modified).

**Level 4: Positive change:** Emergence of new practices enabled by outputs in social and economic domains (accounting for strategic effectiveness).

**Level 5: Sustainable impact:** at macro or long term strategic objectives of cohesion and integration (aggregated and differentiated long term effects).

The focus for accountability to levels 4 and 5 may take place within a descriptive rather

than prescriptive analysis. But we can be more discerning still by focusing on the 'accountability context' (Saunders 2012). Are we interested in discerning evaluative practices at national, sector wide or regional levels? If so the emphasis in practice should be in regulation and control with a cluster of practices which focus on the distribution of resources and their distinctive effects on performance.

Within programme or policy contexts, the practice emphasis is on propriety, policy efficacy and development. Within organisations the practice emphasis is likely to be on the quality of service provision with a special focus on internal quality assurance, departmental reviews and organisational process checks. Finally, within evaluation as a domain of practice, accountability is pre-occupied with ethical propriety, identifying

standards and developing better processes and practices.

In sum, we know where to locate progressive or regressive forces in evaluative practices associated with accountability. First, we need to be clear on the direction of the accountability impetus. Put another way: accountability to whom? Over and above policy makers and programme managers, it should be to civil society, programme beneficiaries and policy 'recipients'. Is the imperative for accountability top down or bottom up? Second, it is important to understand accountability as an internal as well as an external process, so accountability is also about ethical practice, logical consistency, design efficacy, focus on use and the equity and gender responsive nature of policies and programmes. Third, special attention should be directed to the transparency and fairness of policies and programmes in which co-

construction of indicators of performance and ownership of the imperatives for accountability is dispersed. Fourth, we need to discern whether or not policies and programmes are underwritten by broadly agreed ethical values that signal accountability to achieve greater equity and positive social change.

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## EVALUATION, ACCOUNTABILITY AND LEARNING: IMPLICATIONS FOR PRACTICE

Ian C. Davies

How can evaluation help strengthen accountability and learning in the European space?

Evaluations, and their reports, often present themselves as having a dual purpose – accountability and learning. However, it has been my experience that where evaluations have these two objectives accountability tends to predominate over learning in most cases.

Although accountability is an important dimension of any well performing organisation and evaluation does have a role to play in this respect, I will posit that evaluation's primary role is that of a learning function.

I will do so by considering the evolving nature of the notion of accountability, particularly in government, the role of audit as part of the accountability universe, the contribution of evaluation to the "learning organisation" and how accountability can be recast to better contribute to learning.

The classic definition of accountability is "*the obligation to account for a responsibility conferred*". Although there has been some evolution in the definition of accountability, especially in government to adjust to new and emerging arrangements such as inter governmental initiatives, public private partnerships and mutual accountability mechanisms, updated definitions have not explicitly included considerations for learning.

For example, a recent definition provided by the Auditor General of Canada is that "*accountability is a relationship based on obligations to demonstrate, review, and take responsibility for performance, both the results achieved in light of agreed expectations and the means used*".

The central idea of the predominant accountability paradigm is the provision of assurance with respect to intended or agreed to performance. This is the domain of audit and not of evaluation per se. Audit is "*a process superimposed on an accountability relationship*" and its design and fundamental

purpose are to provide assurance within that relationship.

Within the audit universe, the most appropriate process for providing assurance on performance is the performance audit, also referred to as value-for-money audit, comprehensive audit or sound financial management audit. Performance audit, especially in government, has now been practised for well over 30 years and typically considers issues of economy, efficiency and effectiveness. To these three "E's" are sometimes added two more "E's": ethics and environment. For the purpose of providing assurance, these constructs constitute what are arguably key aspects of performance that evaluations examine as well.

However, performance audit tends to limit its scope to addressing the "*what*" (has been achieved) question and it does not usually go further to consider questions of relevance, appropriateness and context, critical dimensions that evaluations typically attempt to understand and assess as well.

Inasmuch as these dimensions are integral to the learning process in organisations, the case can be made that audit is a better tool than evaluation for assurance and therefore accountability while evaluation is more appropriate to learning than audit.

Indeed, evaluation goes beyond the "*what*" question, to address the "*why, so what, for whom*" questions. And it is the understanding and knowledge derived from assessments based on these questions that contribute meaningfully to organisational knowledge and policy level learning. Evaluation can thus be thought of as a learning function that should be the "*intelligence*" of the organisation, its research and development function.

Typically performance audit is rooted firmly in a causal construct in which criteria of success are generally limited to the achievement of intended or agreed goals, targets and objec-

tives. By contrast, evaluation is free to consider whatever construct best allows for the assessment of value, e.g. normative, systemic, etc. or a mix of constructs and methods.

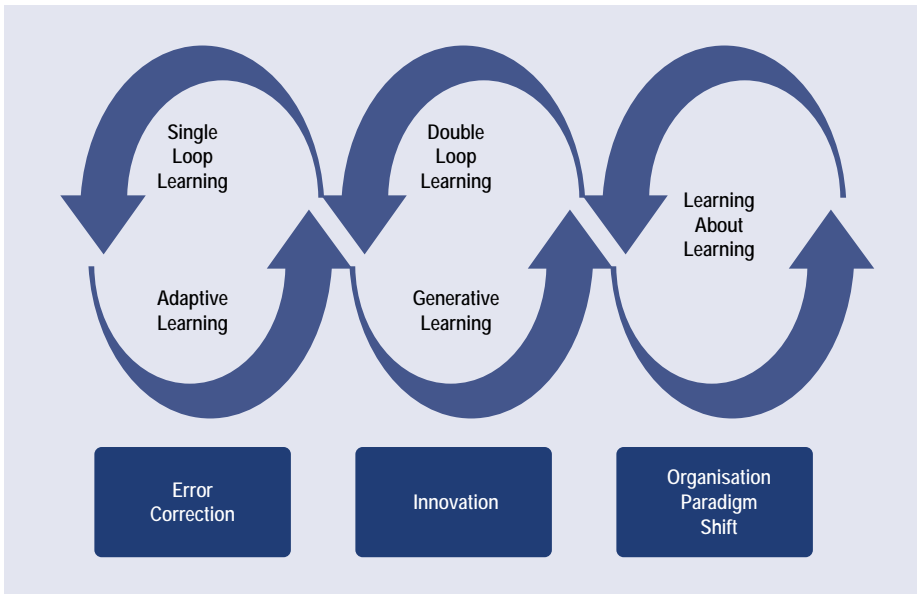
This vast potential means that, beyond measures of organisational and operational effectiveness, evaluation can also delve into questions of democratic values, social capital and the public interest, to name just a few.

Unfortunately to date, mainstream evaluation practice and the reports it produces, continue to limit themselves to a narrow bandwidth of "*what*" questions together with their associated designs and methods, so that they appear performance audit-like in respect of their purpose and design, without generating the higher level of evidence, and hence of assurance, that audit provides.

In doing so, evaluation systematically forgoes opportunities to fulfil its learning mission, does itself and the citizens it should be serving a disservice and does not contribute meaningfully to policy and democratic governance. In short, evaluation should stop trying to behave like the accountability function that is rightly a management responsibility, or like the audit processes that are far better designed and equipped to provide assurance within an accountability relationship.

The challenge then for evaluation is to fully exploit its function as a critical contributor to organisational learning. Evaluation needs to move beyond the narrow audit-like questions of "*what works and what doesn't*", i.e. the knowledge level, that constitute the basic fodder of the classic accountability paradigm, to the "*why*", i.e. the understanding level, and to the "*for who and under what circumstances*", i.e. the intelligence level.

From a learning perspective, evaluation should contribute to the improvement of organisational effectiveness by supporting the learning function as it moves from single to double to triple loop learning<sup>1</sup>.



Single loop learning derives from performance monitoring and performance audit, where gaps in achievement are identified and assessed to allow for corrective action that is usually operational in nature.

Double loop learning means that the organisation is using evaluative information for generating new and different ideas, initiatives, policies and strategies, i.e. it is learning that supports and elicits innovation. Evaluation of program or policy relevance for example should lead to fundamental questions about their worth and about whether and how to continue them, and to innovate. These are questions that fall usually outside the remit of performance audit and performance monitoring yet belong squarely in that of evaluation, particularly in the public sphere.

Triple loop learning is about fundamental shifts in the organisation's direction and constitutive paradigm. It is about becoming and being a learning organisation in which continuous learning is integrated to all levels of management and governance. This level is not a static nirvana that, once reached, will self-perpetuate, i.e. the myth of sustainable results, particularly so-called "impacts", which, by definition are static and so begin to decay the instant they are "achieved". Nor does it imply necessarily one or a series of major shifts over determined periods of time, e.g. reforms.

Rather, triple loop learning, e.g. the "learning to learn" organisation, is a continually actualised capacity for progressive and ongoing alignment of the organisation's mission

to the changing needs, expectations and values of citizens and stakeholders, taking into account democratic values, the public interest and specific and changing contexts. This is where evaluation has the most to offer, considering for example, and *inter alia*, often overlooked yet critical questions of policy coherence within organisations, between institutions and their national, regional and international configurations.

This perspective on the evaluation function within these systems, and relative to other evaluative processes such as performance audit and performance monitoring for example, leads to reconsidering and recasting of the classic accountability paradigm so that it grows to include the exchange of meaningful information on questions of democratic governance and citizen participation.

In summary, the implications for the evaluation function are that, among other things, the distinction between the assurance dimension of accountability and its learning dimension should be clearly made and attributed primarily to audit and to evaluation respectively.

The implication for the European Parliament is that it should reconsider and reframe its accountability role to shift and broaden its role from external control based on audit assurance to democratic oversight and democratic governance supported by learning and meaningful evaluation.

I The unreferenced diagram below is from "Google images" on triple loop learning.

## RECENT DEVELOPMENTS IN THE EUROPEAN INSTITUTIONS: IMPLICATIONS FOR EVALUATION

Steven Højlund

In two sessions at the European Parliament (EP) seminar 'Evaluation in Democracy', participants had the chance to learn more about the development of evaluation in the EP and in the European Commission (the Commission). The first session hosted representatives from the EP's Policy Departments, the EP Library, and the new Directorate covering

Impact Assessment (IA), European Added Value (EAV) and Science and Technology Options Assessment (STOA). The second session was dedicated to the Commission's recent communication on EU Regulatory Fitness<sup>1</sup>, in particular the so called "fitness checks" and the development of a new evaluation framework in the Commission.

### Developments in the European Parliament

The importance of evaluation has increased in the EP along with the advent of competencies in policy design and administration. Five policy departments, created in the mid-2000s, serve the relevant EP Committees

with analyses or by commissioning external reviews. The Parliament's recently-established Directorate for Impact Assessment and European Added Value undertakes short or detailed appraisals of all Commission IAs, in order to inform EP members' approach to the legislative process. It also provides detailed analyses to support the Parliament's proposals to the Commission for legislative initiatives. In parallel, the EP Library provides access to outside evaluations conducted at EU level, in the Member States or by international organisations.

The EP's growing evaluation capacity is a natural reinforcement of the legislative power's supervisory function in much the same way as the performance audits of the European Court of Auditors represent *ad hoc* checks of the European executive. However, with scarce resources, it will be difficult for the EP to systematically carry out *ex-post* evaluations of all EU policies and programmes as the Commission intends to do. It is likely that evaluation in the EP will continue to be selective and 'ad hoc', with evaluations carried out only with respect to particularly important, complex or contested policy areas.

This selective approach is arguably realistic given that the institutional demand for knowledge among MEPs is high only for disputed and technically demanding policy areas. This contrasts with formalised evaluation systems (such as the Commission's), where mandatory evaluations are stipulated by the financial regulations. Looking ahead, it will be interesting to follow the development of the EP's evaluation capacity to ascertain whether it will develop in the same direction as the Commission's, or follow a distinctive approach. The level of institutionalisation and systematisation will determine if the emerging evaluation capacity eventually qualifies as a genuine evaluation system (Leeuw and Furubo, 2008).

EP IA appraisals represent an important (and probably necessary) innovation. They are independent checks of the soundness

of Commission proposals. Since IAs are forward-looking planning instruments used for policy-making, they are shaped by the Commission's opinions and interests. This is not the case for evaluations that are intended to reflect the independent judgments of external evaluators.

### **Fitness checks and new guidelines**

Fitness checks are one of several initiatives designed to improve EU legislation under the heading of better regulation. The objective of fitness checks is to assess whether legislation in a given policy area is 'fit for purpose' and thus identify excessive administrative burdens, overlaps, gaps and inconsistencies that might have occurred over the years. At a Round Table with Evaluation Units in the European Commission Jonathon Stoodley from DG Secretariat-General gave a presentation on the status of fitness checks. Several pilots have been undertaken in different DGs, allowing for a large degree of freedom in the implementation. The lessons learned are still being collected and will be discussed before guidelines are finalised. It was stressed that a fitness check covers the same elements as a traditional evaluation but with a wider scope, with the effect of regulations and related measures from different policy fields being evaluated at the same time.

One of the fitness check pilots was conducted in DG Employment, Social Affairs and Inclusion. Frank Siebern-Thomas gave an account of the lessons learned from a study that evaluated three directives on Information and Consultation of Workers. He stressed that fitness checks are demanding and complex exercises that address many issues including administrative costs, gender, cost-benefit and gives thorough descriptions of the policy context in each Member State.

The main challenges had to do with stakeholder involvement, representativeness and detailed scrutiny of problems faced

at different levels in MSs by different actors. The exercise demanded several analytical competencies from the contractor including socio-economic and regulative/ legal analytical capacity.

The guidelines for fitness checks will be defined in the framework for policy and programme evaluation that the Commission will finalise in 2013. The evaluation guidelines are being revised to improve the political relevance and ownership of evaluation results, including the timing as well as usability of evaluations.

Veronica Gaffey from DG Regional Policy reflected on the discord between what evaluations can reasonably deliver and what decision makers expect or demand. From policy level there has been an increasing pressure to show concrete results in "numbers and figures", which are rarely feasible in evaluations of complex socio-economic expenditure programmes. In this respect, it was seen as central to stress the importance of integrity in the evaluation profession, to ensure validity and reliability in evaluation findings, and also dare to criticise and question interventions.

Jonathon Stoodley also emphasised a need to clarify the definition of evaluation. Many Commission studies and other types of assessments are called evaluation though they merely possess some of its defining characteristics. Finally, the linking of policy – and expenditure evaluations with the IA process is an important issue that will most likely be addressed in the new guidelines. Tying the knots in the policy-cycle between evaluation and planning will probably be the most important contribution of the new framework.

Leeuw, Frans L. and Furubo, Jan-Eric (2008) Evaluation Systems: What Are They and Why Study Them? *Evaluation*, 14(2), 157–169.

Vedung, Evert (2000) *Public Policy and Programme Evaluation*. New Jersey: Transaction Publishers.

## INTERVIEW

This is an interview with Anthony Teasdale, the Director in charge of the European Parliament's impact assessment process. He was asked about recent changes in the approach to the *ex ante* assessments that support parliamentary oversight of European Commission proposals.

*Question: Coming out of our Brussels conference in April, we had a sense that the European Parliament seems to be increasingly active in scrutinising the work of the European Commission, the executive arm of the European Union. Is that right?*

AT: Much of the political energy of the European Parliament in recent decades has been absorbed in a long struggle to acquire and exercise legislative power, which was until the mid-1980s the exclusive preserve of the Council of Ministers. The Lisbon Treaty finally made the Parliament in effect a joint legislature with the Council in most policy fields. So the new norm in law-making is 'co-decision' between Council and Parliament – but the proposals are still tabled by and then implemented by the European Commission.

Now that the Parliament has become a much more serious force in law-making, it is perfectly natural that it should take a growing interest in how and why legislative proposals are put forward by the Commission and scrutinise in greater detail how EU laws, once adopted, are implemented and applied in practice. So there has been growing interest in looking both 'up-stream' and 'down-stream' in the legislative process, focussing more than in the past on the quality of, and rationale for, any proposal, and on the quality and effectiveness of policy in action. These are, if you like, the *ex ante* and *ex post* sides of scrutiny, oversight and evaluation work.

*Question: Is the creation of the Parliament's new Directorate on Impact Assessment and European Added Value part of this process?*

AT: The Parliament has long pressed for every significant EU legislative proposal to be

accompanied by an impact assessment (IA). This is now largely happening: the Commission produces about 75 IAs in an average year and some of them are several hundred pages long. They deal with the rationale for the proposal ('problem-definition'), the legal base and choice of instrument, the advantages and disadvantages of competing policy options, and the potential costs and benefits of the various options, notably of course the option chosen.

To help committees scrutinise the quality and completeness of these IAs, the Parliament has established a new administrative service. Our Impact Assessment Unit (within the new directorate) now analyses all incoming IAs and identifies their methodological strengths and weaknesses. On the basis of these 'initial appraisals', the committees can then decide whether they want to take up certain issues with the Commission and/or ask the unit to undertake further work, like more detailed appraisals, or complementary or substitute IAs of the Parliament's own. The unit can also commission IAs on parliamentary amendments at any stage during the legislative process. The unit was created in January 2012 and has been fully operational since last summer: it has already done about 50 pieces of work in this field, all of which are available on the Parliament's website.

Just as impact assessment relates to how the Commission uses its 'right of initiative', so too does the question of the future added value of Union-level action. The European Added Value Unit within the new directorate helps committees identify general areas of policy where new action at EU level could be beneficial and then supports them when they propose specific 'legislative initiatives' in such fields. The unit drafts general 'Cost of Non-Europe Reports' – for example at the moment on gaps in energy policy, completion of the single market, and better coordination of national and EU development policies. It then marshals the best possible arguments and evidence for any specific legislative initiatives – usually about seven or eight a year – which the Parliament proposes

to the Commission (under Article 225 TFEU, introduced by the Lisbon Treaty). Our new, detailed 'European Added Value Assessments', produced to accompany each committee initiative of this kind, should help ensure that the Parliament's requests are taken increasingly seriously by the Commission. There is some evidence of this already happening. You may see the cumulative effect in the hearings for new Commissioners after next year's European elections.

*Question: So how has the Commission reacted so far to these developments?*

AT: In general, pretty positively. At the heart of the European Commission, in the President's office and the secretariat-general, policy-makers have recently been adopting more of a joined-up, 'policy cycle' approach – seeing the initiation, enactment, implementation and evaluation of legislation as a circle or loop. On impact assessment, the Parliament is pushing in essentially the same direction as the Commission officials at the centre who coordinate IA work across all the directorates-general – in favour of higher quality in the standard and greater consistency in the methodology brought to bear in drafting IAs. Both the Commission's own Impact Assessment Board – their important internal quality-control mechanism – and the Parliament's committees have a common interest in the individual DGs upping their game.

On the added value side, the principal purpose of our work is to strengthen the Parliament's case when it invites the Commission to use its right of initiative. Hopefully, the reports and assessments we are drafting for parliamentary committees will lead to a higher level of policy ambition in the Commission in these areas. However, if the Commission still refuses a request from the Parliament, at least they will now have to give a more coherent and convincing account of why they are saying 'no'. The fact that the Commission will be in receipt of say a 50-page European Added Value Assessment, accompanied by several detailed research papers, should help focus minds and take the argument to a new level.

## OBITUARY: BARRY MACDONALD

**Robert Picciotto**

*The creator and pioneer of democratic evaluation – Professor Emeritus Barry MacDonald, University of East Anglia – died on Tuesday 16<sup>th</sup> April 2013 less than a week after the EES one-day event on ‘Evaluation in Democracy’.*

Barry MacDonald was one of the four founding members of the Centre for Applied Research in Education (CARE) set up in 1970. In 1980/81 the Ford Foundation asked him to carry out an evaluation of bilingual schooling in Boston. The report entitled ‘Bread and Dreams’ has become an evaluation classic. In 1984 Barry MacDonald directed a National Review of Police Probationer Training in the wake of the Brixton and Toxteth riots and the report by Lord Justice Scarman. This led to a major reform of police training in the United Kingdom and beyond.

Barry MacDonald was appointed Director of CARE in 1984 following an open competition. He remained in this role until he retired in 1997. Before that he led the Success and Failure in Recent Innovation (SAFARI) study funded by the Ford Foundation. He also directed the National Evaluation of a programme on Computer Assisted Learning in Universities (UNCAL) funded by seven government departments.

These and other large scale policy-focused evaluations that he directed laid the foundations of the case-based, policy-focused, socially inclusive approaches that characterize democratic evaluation. Thus

the dominant themes of democratic evaluation that he articulated and championed (promotion of social justice; citizens’ right to information; democratic control over evaluation agendas) were grounded in hard won lessons of experience.

From Barry MacDonald’s perspective each programme evaluation should be conceived and framed as a window on society. He made no distinction between intended and side effects in social interventions. For him context was all in evaluation. He shared a “bias for hope” with Albert O. Hirschman, the great economist who died a few months before Barry MacDonald on December 10, 2012.

By laying out a far reaching vision and by practicing what he preached Barry MacDonald achieved extraordinary influence on international evaluation thinking and practice. A fluent Spanish speaker, he promoted democratic ideals in post-Franco Spain by helping evaluators embed the principles and procedures of democratic evaluation within the country’s educational systems. In 1999, he received the highest Honour, Doctor Honoris Causa, from the prestigious University of Valladolid.

Barry MacDonald expected evaluators to strike a fine balance between the privacy of programme participants and citizens’ right to know. According to former colleague and democratic evaluator Helen Simons “MacDonald protected and promoted citizens’ rights irrespective of their position in the power structure. He was uncompromising in confronting power in the interest of giving voice to all. His negotiating skills ensured that vested interests did not dominate and that evaluation reports were in the public domain. In this sense he was an advocate of independent evaluation”.

For Barry MacDonald evaluation reports should aspire to “best seller” status so as to extend their accessibility and stimulate public debate. He stressed that evaluation processes should be shaped by democratic ideals and that evaluation products should illuminate the structures of power and privilege within which policies and programmes are invariably embedded.

We have just lost a fearless champion of evaluation tolerance, civility and compassion. Promoting and reviving the ideals of democratic evaluation that Barry MacDonald embodied is now the challenge facing evaluators everywhere.

## OBITUARY: BARRY MACDONALD

**Ernest R. House**

Barry MacDonald, one of the most original and influential of pioneer evaluators, died April 16 in Norwich, England. He was 80. MacDonald was among the very first to use evaluative case studies, develop a conception of democratic evaluation and endorse an ethics for involving study participants. For many years he headed a top evaluation group at the University of East Anglia that conducted several high profile evaluations. His work is well known around the globe. In 2010, I wrote a personal tribute:

*For Barry,  
Whose friendship, ideas, and democratic ideals have enriched my personal and professional life; whose courage and integrity in the face of political pressures and payoffs have inspired, and whose wit, wordplay, and originality epitomize style and eloquence. My evaluation novel is a tribute to forty years of our friendship.*

As a charismatic, charming, and (sometimes) controversial personality, his influence was due to his ability to read people. His striking insights about people and politics were unsurpassed. With most scholars, it is easy to anticipate what they will say, but MacDonald's originality was such that you were often surprised by his observations, and sometimes startled. Later, thinking it over, you realized that he might well be correct.

Some influence was exercised through his written works, which colleagues considered far too few. He was a superb writer by any standard. At its best his writing reached a level of eloquence not associated with the academic world. However, much of his influence was exercised in person through long conversations and discussions of projects. He was noted for his sharp

wit, which was subtle, understated, and frequently acerbic. Of a late life romance between an elderly pair, he said: "She acts like a reptile that has captured a small mammal." He spent considerable effort creating witticisms to insert into conversations.

He was highly principled about how participants in studies should be treated and how their personal information should be protected. His harshest criticisms were reserved for abuses of power, like bullying or forcing others to do something through the power you had over them. And this ethic played into his principles about how evaluations should be conducted. Things were to be accomplished by persuasion, not force. He valued the autonomy of individuals highly. All in all, he was one of the most brilliant, flamboyant, and unusual characters most of us have encountered.

Source: The April issue of the AEA Newsletter, [www.eval.org](http://www.eval.org).

## TOWARDS EVALUATION IN DEMOCRACY IN SOUTH ASIA: THE NEW PARLIAMENTARIANS FORUM ON DEVELOPMENT EVALUATION

The Parliamentarians Forum on Development Evaluation is a collective of parliamentarians who are committed to development evaluations in SAARC countries. The Forum was initiated by a small group of parliamentarians aiming to establish National Evaluation Policies in SAARC region. It is managed by the "Core Team" which is represented by parliamentarians from each SAARC country. In February 2013 first ever parliamentarians panel presented three country experience (Sri Lanka, Nepal and Bangladesh) on enabling environment for development evaluation in respective countries at evaluation conference held in Kathmandu, Nepal. This was historical in parliamentarians giving a voice for national evaluation policies and promising commitment to realize it at country level. Based on the response on the panel, the three country parliamentarians decided to establish a forum with view of addressing the issue collectively at country levels.

The goal of the Forum is to advance enabling environment for nationally owned, transparent, systematic and standard development evaluation process in line with National Evaluation Policy at country level which ensures aid effectiveness, achievement of results and sustainability of development.

Objectives of the Forum are:

1. National evaluation policies endorsed by the respective South Asian governments are in place and effective.
2. Improved capacity of parliamentarians who are committed in development evaluation in the country.
3. Established country level mechanisms in line with national evaluation policies ensuring results oriented and sustainable development.

The Forum is currently working with Core Team on development of country status reports on evaluation mechanisms currently in place identifying gaps, establishment

of country parliamentarian teams, development of model national evaluation policy and raising awareness on national evaluation policies. The Forum has been given an opportunity for a panel presentation on "Why National Evaluation Policies matter in South Asia" at Sri Lanka Evaluation Association (SLEVA) International Evaluation Conference which will be held from 24–27 July in Colombo, Sri Lanka. This will be a great opportunity to promote enabling policy environment through evaluation professionals.

Please join the Forum Face Book to follow policy discussion: <http://www.facebook.com/pages/Parliamentarians-Forum-on-Development-Evaluation-in-South-Asia/310884062378855>  
Follow Twitter: <https://twitter.com/Parliamentarians>  
Email: [parliamentariansforum@yahoo.com](mailto:parliamentariansforum@yahoo.com)  
Contact: Asela Kalugampitiya, Forum Coordinator [aselakalugampitiya@yahoo.ie](mailto:aselakalugampitiya@yahoo.ie)

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Barbara Befani (PhD) is a Research Fellow at the Institute of Development studies at the University of Sussex. She has several years of experience in designing evaluations and doing research on evaluation across different policy sectors. She is a member of the International Research Group on Policy and Program Evaluation (INTEVAL) and co-author of the Stern et al. paper “Broadening the Range of Designs and Methods for Impact Evaluations”. Her work is focused on the integration of causal inference and explanation, multiple perspectives, systems thinking and complexity in impact evaluations. Barbara is an elected EES board member for 2012–2015.

**María Bustelo**

María Bustelo, PhD in Political Science, is Associate Professor of Political Science and Public Administration at the Complutense University of Madrid (UCM), where she teaches on Public Policies and Evaluation. She is the director of the Master on Evaluation of Programmes and Public Policies (UCM) since its commencements in 2002. President of the European Evaluation Society (2012–13), she has also been Member of the Board of Director Committee of the Spanish National Agency for the Evaluation of Public Policies (2007–2011). At the research level she has been the leader at the UCM of several National and European research projects on the quality of gender equality policies, the most recent one GENOVATE (*Transforming organisational culture for gender equality in research and innovation*, 2013–2016, FP7) where she and her team act as evaluators of the project. She has a number of publications on evaluation theory and methodology as well as on gender equality policies.

**Tarja Cronberg**

Dr Tarja Cronberg is a Member of the European Parliament. Previously, she has been Minister of Labor, a Member of the Finnish Parliament and the Chair of the Green League Party. In her political work, she has specialized



in defence and security matters, lately in questions of nuclear disarmament, and she is currently the Chair of the Parliament’s delegation for relations with Iran.

**Ian C. Davies**

Ian Craig Davies (FRANCE) has been a practising evaluator for over 25 years with professional experience in Europe, the Americas and Africa, a member and board member of professional evaluation organisations, i.e. EES, IDEAS, UKES, AEA, CES, and a regular presenter at annual conferences and professional events. Ian joined EES in 1996 and presented at the second annual conference in Stockholm in March 1997. He is an independent consultant in public management, performance measurement, accountability reporting and evaluation.

**Günther Ebling**

has been working since he joined the European Commission in the area of economic analysis, impact assessment and evaluation support. In 2012, he became Head of Sector of the evaluation and impact assessment support function at DG Taxation and Customs Union. In his DG, Günther and his team coordinate, support and manage evaluations of policy, legislation, and of expenditure programmes. The main objective of the evaluation function is to provide methodological support in order to ensure high quality of evaluation reports in line with the evaluation standards established in the Commission.

**Alfredo De Feo**

Alfredo De Feo is the Director of the Library of the European Parliament. Before that, Alfredo was Director of Budgetary Affairs, which included committee secretariats (Budget and Budgetary Control) and a Policy Department. He has also been visiting professor at the European College of Parma (Italy) and lecturer in European affairs at various venues.

**Veronica Gaffey**

has been Head of the Evaluation and European Semester Unit at the Directorate General for Regional and Urban Policy of the European Commission since 2007. The task of the unit is to ensure that evidence is produced on the performance of Cohesion Policy. This involves working with Member States and regions on their evaluation plans, launching evaluations at European level and leading the debate with Member States on the stronger result orientation to be built into the policy for the 2014–2020 period.

**Steven Højlund**

works as PhD-fellow at the Copenhagen Business School. He studies the developments of the European Commission’s evaluation system with a particular focus on evaluation use and organisational learning. Since 2008, Steven has gained practical experience as a consultant at COWI A/S, where his primary field of work was EU evaluations.

**Liisa Horelli, PhD.**

is adjunct professor at Aalto University, Helsinki. As an environmental psychologist, she has conducted action research which includes evaluation, with children, young people and women on participatory urban planning and community development, since 1990s. Currently, she is doing research on the new approaches to urban planning, including time- and e-planning. Her evaluation work comprises EU projects, programmes and policies. She is former President of the Finnish Evaluation Society and a current Board Member of EES.

**Ernest R. House**

is professor emeritus at the University of Colorado. Books include *Evaluating with Validity* (1980), *Values in Evaluation*, with K. Howe (1999), and *Regression to the Mean: An evaluation novel* (2007). He is recipient of the Lasswell Prize in the policy sciences and the Lazarsfeld Award for Evaluation Theory.



**Wilhelm Lehmann, Ph.D.,**

is a trained social scientist and diplomat. After holding positions in international science and research cooperation he joined the European Parliament as an administrator in 1994. For much of the past decade he has been dealing with constitutional matters, notably treaty reform and European democracy. He is currently *Acting Head of Unit, Policy Department Citizens' Rights and Constitutional Affairs*. Wilhelm teaches European institutions, EU decision-making and constitutional law at University of Grenoble and ENA, Strasbourg. In 2010/2011 he was *EU Fellow* at the Robert Schuman Centre for Advanced Studies of the European University Institute.



**Robert Picciotto**

Robert ('Bob') Picciotto, (UK) Professor, Kings College (London) was Director General of the World Bank's Independent Evaluation Group from 1992 to 2002. He previously served as Vice President, Corporate Planning and Budgeting and Director, Projects in three of the World Bank's Regions. He currently sits on the United Kingdom Evaluation Society Council and the European Evaluation Society's board. He serves as senior evaluation adviser to the International Fund for Agricultural Development and the Global Environment Fund. He is also a member of the International Advisory Committee on Development Impact which reports to the Secretary of State for International Development of the United Kingdom.



**Murray Saunders**

Professor Murray Saunders: Co-Director of the HERE (Higher Education Evaluation and Research) Centre, Department of Educational Research, Lancaster University,



UK) and Professor of Evaluation in Education and Work, I have acted as a consultant to, and undertaken a wide range of evaluation projects for, the British Council, DfES [Department for Education and Skills], DFID [Department for International Development], ESRC [The Education and Social Research Council], HEFCE [Higher Education Funding Council], the UN and a variety of regional agencies. I teach on PhD programmes within the Department in the areas of evaluation, connections between learning and working and policy and social change. I have carried out evaluation and research projects in a wide range of cultural contexts, including in Asia: China, Japan, Singapore and India; in Africa: Tanzania, Kenya, Nigeria, Ghana and Ethiopia; in Latin America: Mexico and Chile; In the Middle East: Jordan and Egypt as well as other member states of the EU and Russia. I enjoy promoting and developing evaluation practice as past president and Council member of the UK Evaluation Society, Board member and immediate past president of the European Evaluation Society, chair of the co-ordinating committee for the establishment of the IOCE [International Organisation for Cooperation in Evaluation] and its current vice-president. Most recently, I am on the executive committee of EvalPartners. I am associate editor of the only European international multidisciplinary academic journal in the field – Evaluation.

**Frank Siebern-Thomas**

studied mathematics and economics in Hamburg and Louvain-la-Neuve and holds a PhD in economics from the European University Institute (EUI) in Florence. He has been working at the European Commission's Directorate-General for Employment, Social Affairs and Inclusion in different functions, including as economist/econometrician and



coauthor of the annual *Employment in Europe* report; as policy officer for international affairs in charge of cooperation with Asia (notably India, ASEM and ASEAN) and the OECD; and as Head of Sector for Industrial Relations and Social Dialogue. He is currently Deputy Head of Unit for Impact Assessment and Evaluation.

**Elliot Stern**

Elliot Stern, an evaluation practitioner and researcher based in the United Kingdom, edits the journal *Evaluation*. He is visiting Professor at Bristol University and Professor Emeritus at Lancaster University. He is a past President of the European Evaluation Society.



**Jonathon Stoodley**

is presently head of the unit in the Secretariat General of the Commission that deals with Evaluation and Simplification. He formerly led the unit dealing with the application of EU law and, before that, the unit in the Internal Market and Services Directorate General dealing with the regulated professions. He is a qualified barrister and worked for the UK parliament and government before joining the European Commission.



**Anthony Teasdale**

Anthony Teasdale is director for Impact Assessment and European Added Value in the general secretariat of the European Parliament. He has previously served as deputy chef de cabinet to the President of the Parliament and in a variety of other policy roles in the EU institutions. He is also a senior visiting fellow at the European Institute of the London School of Economics (LSE) and co-author of *The Penguin Companion to European Union* (2012).

