

Copyright is owned by the Author of the thesis. Permission is given for a copy to be downloaded by an individual for the purpose of research and private study only. The thesis may not be reproduced elsewhere without the permission of the Author.

**Fitting Feelings into Frameworks:  
An examination of the involvement of  
primary stakeholders  
in the design and use of outcome indicators  
and evaluation use  
for development interventions**

A thesis presented in partial fulfilment of the requirements for the degree  
of Master of International Development

Massey University  
Palmerston North, New Zealand

**Shupayi Mpunga**

2015



# Abstract

The aim of this thesis is to examine the involvement of primary stakeholders in the design and use of outcome indicators, and evaluation use for development interventions. It seeks to understand the characteristics of indicators developed by or with primary stakeholders, the dynamics of such involvement, and what is achieved in such practice.

The experiences and achievements recorded in eight international case examples and one local case study provide insights into the practical considerations for using participatory approaches to design outcome indicators. Although there is a traceable body of literature that provides theoretical guidance on participatory indicator design, there is very little in the way of instruction based on practice.

Primary stakeholder participation was identified as important across four phases: planning, indicator design and use, data collation, and evaluation use. It was found that primary stakeholders may be involved in the indicator design and use phase; but are not routinely included in the planning, data collation and evaluation use phases. Findings from the eight case examples pointed to positive impacts on indicator design including the use of culturally appropriate and contextually relevant indicators, as well as participant empowerment and engagement in evaluation practice. Other findings highlighted that lack of skilled facilitators, the interplay of power dynamics and the length of time participatory evaluation practice takes may have negative impact on the engagement of primary stakeholders in the evaluative processes.

The practice of participatory indicator design is seemingly not widespread in the field of international development. While there is literature to be found that can provide some guidance on participatory evaluation practice, including design of outcome indicators, it seems that individual organisations reinvent processes for engagement on a case by case basis. The proposal is mooted that systematic capability building across the NGO sector that includes exploration on how the four phases of participatory evaluation practice can be built into organisational processes is required.



# Acknowledgments

Oh my gosh! It's done. There are so many people who have supported me to get to the point of completion – thank you all.

Firstly I have to thank Dr. Gerard Prinsen and Associate Professor Robin Peace who have encouraged me and provided practical advice throughout. I could not have done this without your generous input. Gerard I loved reading the sarcastic and crazy comments you wrote in the margins – they made me smile and sometimes want to make you feel some pain. Robin you were so positive and made me feel like I could, even when I was down – thank you. Hopefully this thesis reflects the amount of time and energy you both threw into it. If I don't get a good grade, it's probably a reflection on ... me. Staff of the Development Studies Department – Regina, Maria, Rochelle and Glenn – we all know this thesis would not be complete had it not been for the writing retreat and the discussions we had there – thank you.

My friends, hopefully you understood my withdrawal from all things social. Thank you for your regular enquiries into how the thesis was going. Thank you also for the constant jokes at my expense, like my postgrad diplomas not being real qualifications – top-ups as you called them. This one's for real! I should also extend my gratitude in advance to you all for the surprise graduation party that you're already organising with the kids – you're all so special!

Felix and Prisca, my kids, whose lives have been entertainment breaks during the writing of this thesis. This one's for you. Thank you for inspiring me to lead by example. Now that this is done I'll be hanging out with you and your friends constantly – I'm sure you'll love that. Naani, Nyasha and Hezvo, thank you for your belief in me.

Gerard, my friend. I apologise for not getting the word 'moist' into this thesis. Do a PhD and get it into yours. I did manage posit and reflexivity so hope that counts for something. You came into my life at a time when I was getting into my thesis – and I lost momentum – thanks honey. I love you and I'm thankful for the practical support you've given.

I would like to thank God for being there and giving me the strength and stamina needed to complete this thesis. I owe you Lord.

Lastly, the women, both staff and clients of Organisation X. Thank you for allowing me to do my research with you. To staff at Organisation X, a big thank you for being open with me and

for not withholding any information that was useful for this study. To the clients of Organisation X, thank you for the honest conversations we had. You allowed me into your lives and inspired me by your strength and courage to want more for yourselves. The words of one woman particularly continue to inspire me and enhance my interest and enthusiasm for participatory evaluation practice. Your words, said during an interview, and unedited are presented on the next page in the form of a poem.

## **Measure**

*How do you measure anything  
if you're not a part of it?  
If you're not getting right in there amongst it  
and  
actually knowing as much as you possibly can  
to evaluate anything?  
You've got to be in it!  
You've got to understand it!  
You've got to look at it from every aspect!  
Pull it apart as many times as you might need to  
otherwise you fall into assumption,  
and what you believe,  
and not what's really best for the thing that you're pulling apart!*

*And I guess too  
that when there's consumers involved  
everyone has a different take  
because  
everyone leads a different life  
and everyone has a different purpose.  
So the importance of having the consumer involved  
is huge  
and I know that's often lacking  
in terms of evaluation and research.  
They'll bring that at the very end of it,  
instead  
of at the very beginning.*

*And I think it would change the whole result.  
A lot of the consumers fill out the evaluation  
and sign it  
because that is what they are told to do.*

*When you begin any process,  
and you're at the start,  
and you're in the middle  
and you come through the end,  
you have a different value to it.  
So it's different.  
So knowing me I would be involved with everything.*

*Local case study participant*



# Table of contents

<b>Abstract</b> .....	<b>iii</b>
<b>Acknowledgments</b> .....	<b>v</b>
<b>Table of contents</b> .....	<b>viii</b>
<b>List of figures and tables</b> .....	<b>xiii</b>
<b>Glossary</b> .....	<b>xiv</b>
<b>Chapter One: Introduction</b> .....	<b>1</b>
Research aim and questions.....	2
Motivation and positionality.....	3
Thesis structure.....	5
<b>Chapter Two: Literature review</b> .....	<b>7</b>
Introduction.....	7
Theoretical concepts .....	7
Participatory evaluation – what is it?.....	8
Outcome indicators .....	11
Indicator design approaches used for development interventions.....	15
Logical Framework Approach .....	15
Participatory Rural Appraisal.....	17
Participatory monitoring and evaluation .....	18
Most Significant Change, Indicator-less evaluation.....	19
Participatory design of indicators .....	20
Four phases of involvement in participatory evaluation practice.....	20
Classifying involvement of stakeholders in participatory evaluation practice.....	24
Chapter summary .....	24
<b>Chapter Three: Methodology</b> .....	<b>26</b>
Introduction.....	26
Research questions and philosophical standpoint.....	27
Phase 1 – Participatory evaluation literature review methodology.....	29
Phase 2 – International case examples methodology.....	29

Phase 3 – Local case study methodology .....	30
Initial contact and preparation for fieldwork .....	31
Power and ethics .....	32
Fieldwork and research methods .....	35
Reflexivity .....	37
Data analysis and coding .....	39
Chapter summary .....	41
<b>Chapter Four: Review of case examples .....</b>	<b>42</b>
Introduction .....	42
Case examples reviewed .....	42
Phases of involvement in participatory evaluation practice .....	44
Phase 2 - Indicator design and use .....	46
Phase 3 - Data handling .....	47
Phase 4 - Evaluation use .....	48
Characteristics of indicators .....	48
Linked to goals .....	48
Negotiated .....	48
Nature of indicators .....	49
Quality of indicators .....	51
Dynamics of involvement and lessons learned .....	51
Facilitation .....	52
Culture .....	53
Participation .....	54
Length of time .....	56
Cost .....	56
Achievements .....	57
Empowerment .....	57
Appropriate plans and indicators .....	59
Chapter summary .....	59
<b>Chapter Five: Local case study .....</b>	<b>61</b>

Introduction.....	61
Part One: Context.....	61
Background.....	61
Participatory indicator design.....	61
Local government plans.....	62
Māori cultural indicators.....	62
Make it Happen Te Hiku.....	63
Indicator design for development interventions.....	64
Community Waitakere.....	65
Adult and Community Education (ACE) Aotearoa.....	65
Guidance on creating indicators.....	66
Results-Based Accountability (RBA).....	66
Organisation X.....	69
Past evaluations.....	69
Introducing RBA.....	70
Part Two: Findings.....	70
Introduction.....	70
Phases of involvement in participatory evaluation practice.....	71
Phase 1 - Planning.....	71
Phase 2 – Measure design and use.....	72
Phase 3 – Data handling.....	72
Characteristics of measures.....	76
Linked to goals.....	77
Negotiated.....	77
Nature of measures.....	78
Quality of indicators.....	80
Dynamics of involvement and lessons learned.....	80
Facilitation.....	81
Culture.....	81
Participation.....	82
Power dynamics.....	83

Length of time.....	85
Cost .....	87
Achievements .....	87
Reflection on personal growth.....	89
Appropriate measures.....	89
An opportunity to give back.....	89
Next Steps .....	90
Aspirations of clients and staff for future involvement of clients.....	90
Benefits and challenges of involving clients.....	91
Chapter summary .....	92
<b>Chapter Six: Discussion .....</b>	<b>94</b>
Introduction.....	94
Phases of involvement in participatory evaluation practice .....	95
Emphasis on indicator design.....	96
Primary stakeholder preference .....	97
Characteristics of indicators .....	98
Quality of indicators .....	101
Fitting Feelings into frameworks.....	101
Dynamics of involvement and lessons learned.....	102
Facilitation.....	102
Culture.....	103
Participation.....	103
Length of time.....	105
Achievements .....	107
Conclusions .....	108
Limitations of this study .....	111
Closing.....	112
<b>Appendix One: Performance indicator templates .....</b>	<b>113</b>
<b>Appendix Two: Informed Consent.....</b>	<b>115</b>
<b>Appendix Three: Interview Questions.....</b>	<b>119</b>

<b>Appendix Four: Rubric.....</b>	<b>123</b>
<b>Appendix Five: Wellbeing models.....</b>	<b>124</b>
<b>References.....</b>	<b>126</b>

# List of figures and tables

## Figures

Figure 2.1	Rubric for assessing stakeholder involvement in participatory evaluation practice	24
Figure 3.1	Research process	27
Figure 4.1	Phases of involvement in evaluation practice	45
Figure 5.1	Make it Happen Te Hiku community and outcome indicators	64
Figure 5.2	The 7 performance accountability questions	67
Figure 5.3	Organisation X RBA scorecard	74
Figure 5.4	The Feelings	76
Figure 6.1	Primary stakeholder involvement in case examples' participatory evaluation practices	95
Figure 6.2	Characteristics of indicators	99

## Tables

Table 2.1	SMART properties of indicators	14
Table 2.2	SPICED properties of indicator development and assessment	14
Table 4.1	Summary of case examples reviewed	43
Table 4.2	Facilitation in case examples reviewed	52
Table 4.3	Aspects of empowerment noted in case examples reviewed	58
Table 5.1	Alignment of Five Ways to Wellbeing with Te Whare Tapa Wha	73
Table 5.2	Aspirations of clients and staff for future involvement of clients	90

## Glossary

Hapu	Clan
Iwi	Tribe
Mana	Honour, authority
Mana whenua	Traditional authority exercised by iwi or hapu in an identified area.
NGO	Non-governmental organisation
Outcome indicators:	This thesis uses the term ‘outcome indicators’ to cover both outcomes and impacts. A working definition used for the purpose of this thesis, based on the premise that development interventions seek to bring about positive change, is: outcome indicators are qualitative and/or quantitative measures of intended positive change brought about as a result of an intervention.
Primary Stakeholders:	The people at whom a development intervention is targeted. For instance the primary stakeholders for literacy and numeracy classes will be men and women who attend. This does not take into account members of staff of the organisation who deliver these programmes.
RBA	Results-Based Accountability
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SPICED	Subjective, Participatory, Interpreted and communicable, Cross-checked and compared, Empowering, Diverse and disaggregated.
Taha hinekarō	Emotional wellbeing
Taha tinana	Physical wellbeing
Taha wairua	Spiritual wellbeing
Taha whanau	Social wellbeing

UNDP United Nations Development Programme

Waiora Wellbeing

Whanau Family or families