DANIEL L. STUFFLEBEAM
CHRIS L. S. CORYN

SECOND EDITION

Evaluation Theory, Models, & Applications

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EVALUATION THEORY, MODELS, AND APPLICATIONS

Second Edition

Daniel L. Stufflebeam
Chris L. S. Coryn

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Daniel L. Stufflebeam dedicates this book to Carolyn, his wife of fifty-seven years; Egon Guba, his revered, departed colleague; Dr. Anthony Shinkfield, his coauthor of previous books; and his many outstanding graduate students.

Chris L. S. Coryn dedicates this book to his wife, Dr. Daniela C. Schröter, and their daughter, Lilly Thea Coryn-Schröter; his numerous students; and Drs. Michael Scriven, E. Jane Davidson, and E. Brooks Applegate, his longtime mentors.

PREFACE

This second edition of *Evaluation Theory, Models, and Applications* builds on the original volume (Stufflebeam & Shinkfield, 2007) by presenting its core material and infusing new content from recent developments in evaluation. The book is grounded in my long involvement in helping develop the evaluation profession and also reflects the contributions of my new coauthor, Dr. Chris L. S. Coryn. It is intended for use as a textbook for graduate-level courses in program evaluation and as a tool for evaluators and administrators and other clients and users of evaluation.

In developing this edition, Dr. Coryn and I received and addressed constructive feedback from reviewers—especially those commissioned by Jossey-Bass—of both the original volume and this second edition's first draft. The reviewers asked for information on the perspective from which this edition was prepared, including its boundaries as well as its reach. They also stressed that this book would provide a valuable service by drawing out and sharing lessons from our rich array of involvements in evaluation.

Dr. Coryn and I do not claim, for this volume, all-encompassing scope and equitable balance in covering the full reach of evaluation's approaches, developments in all countries, and applications in the full range of disciplines. Actually, no one could do that for any textbook. Instead, we have written about what we have experienced as important and useful in evaluation work, based on our many and varied evaluation involvements and on those of leaders in the evaluation field. We hope readers will find that this book provides one significant and useful set of insights into the complex sphere of program evaluation.

We have designed this volume to offer a broad, experience-based perspective on the evaluation field's background, its theories and standards, its alternative approaches to evaluation, the extensive assortment of qualitative and quantitative procedures and management steps required to carry out sound evaluations, metaevaluations, and processes for institutionalizing and mainstreaming systematic evaluation. Given its breadth and depth of coverage, we see the book as appropriate for supporting at least two graduate-level courses on evaluation theory and practice.

The book's discussed historical period is approximately 1930 to 2014. Within that time frame, my (first author) perspective reflects my establishment of the internationally known Evaluation Center, directing it at The Ohio State University from 1963 to 1973, and continuing to direct it at Western Michigan University from 1973 to 2002. Based on a variety of evaluation experiences, I developed the CIPP model, which lays out a comprehensive approach to assessing a program's context, inputs, processes, and products. Although the CIPP model is the major approach advocated and explained throughout this book, several other leading

approaches are reviewed and advocated, including Scriven's consumer-oriented approach; Stake's responsive evaluation; Guba's constructivist, naturalistic evaluation; Patton's utilization-focused evaluation; experimental design; case study evaluation; and Tyler's objectives-based evaluation.

I helped develop what is now the American Evaluation Association. I also founded and directed the national Joint Committee on Standards for Educational Evaluation, which has produced North American professional standards for evaluations of programs, personnel, and students. Those standards stress that evaluations must be not only accurate but also useful, feasible, ethical, and accountable. The Joint Committee's standards are employed extensively in this book to help define what is meant by excellent evaluation practice and to provide foundational criteria for conducting metaevaluations.

As is patently clear throughout the book, many collaborations have beneficially shaped my ideas about evaluation. I have conducted evaluation work with many of evaluation's icons, especially Egon Guba, Michael Scriven, George Madaus, Ralph W. Tyler, Robert Stake, Jason Millman, Thomas Kellaghan, Sydney Pressey, Richard Jaeger, James Sanders, William Webster, Arlen Gullickson, John Hattie, Elliott Eisner, Jerry Horn, Bill Gephart, Ernest House, and Michael Coplen. My perspective has also been shaped by writing with many coauthors, especially Dr. Coryn (for this book) and Anthony Shinkfield (for the first edition). In addition, my views of evaluation have benefitted from collaborations with outstanding graduate students, including Howard Merriman, Thomas Owens, David Nevo, Blaine Worthen, Diane Reinhard, Robert Rodosky, Sandra Ryan, Sharon Dodson, P. Cristian Gugiu, Darrell Root, Jerry Walker, Gary Wegenke, Lori Wingate, Daniela C. Schröter, Jeri Ridings, and many more.

In contrast to the original book, this second edition beneficially reflects Dr. Coryn's evaluation background. He directs the world's only interdisciplinary PhD program in evaluation. Its students come from countries throughout the world to earn evaluation doctoral degrees based in such disciplines as sociology, social work, education, computer science, nursing, business, and engineering. He has conducted highly influential research on national government research offices throughout the world. And he edits the Web-based *Journal of MultiDisciplinary Evaluation*. I am exceedingly pleased with Dr. Coryn's contributions to this book and expect that readers will also appreciate the many up-to-date references to new evaluation material and the significant experiences that he has brought to the volume.

On the one hand, readers will note that many of the book's referenced examples are from education in the United States. This feature tends to narrow the book's perspective, especially for readers outside North America. On the other hand, Dr. Coryn and I have drawn on our experiences to cite examples from such fields as community and economic development, housing, community-based programs for youth, environmental protection programs, military personnel evaluation, and government programs to promote safety in the railroad industry. The book also draws lessons from evaluation experiences in such countries as Columbia, Ecuador, Scotland, Poland, Spain, Finland, Ireland, India, Malaysia, Thailand, the Philippines, Jamaica, Russia, Switzerland, Israel, New Zealand, and Australia. In the main, though, the book is heavily grounded in U.S. culture.

In developing this volume, Dr. Coryn and I have aimed to deliver a unique and significant offering among the growing number of evaluation textbooks. Clearly, this book is not a comprehensive, encyclopedic presentation of all important evaluation developments that have occurred everywhere in the world and across all disciplines and service areas. No evaluation textbook has met or could meet such a demanding set of requirements. Nevertheless, readers will find that this book's coverage is rich, deep, and extensive. I agree with our reviewers that the lessons Dr. Coryn and I have learned through an extensive array (and, in my case, over fifty years) of evaluation experiences are worthy of serious consideration by evaluation students, evaluation practitioners, and evaluation users. I hope evaluators, evaluation professors and students, evaluation sponsors, evaluation clients, administrators, and other evaluation stakeholders will find this book to be enlightening and useful for conducting and applying evaluations that help meet the needs associated with program improvement and accountability.

Daniel L. Stufflebeam

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ACKNOWLEDGMENTS

The writing of this book has required the help and encouragement of many others. We thank Jossey-Bass, our publisher, for delineating so clearly, following its marketing analysis, what content should be emphasized in a book on program evaluation. In particular, we owe a special thanks to Jossey-Bass/Wiley senior editor Andrew Pasternack and associate editor Seth Schwartz for their ongoing support and encouragement and to Francie Jones for her expert assistance in editing the draft manuscript. We regret deeply Mr. Pasternack's untimely death.

We also thank the numerous doctoral students in the Interdisciplinary PhD in Evaluation (IDPE) program at Western Michigan University (WMU) and students from other WMU programs who field-trialed and provided valuable feedback on draft chapters. Special acknowledgment is given to Kristin Hobson for her meticulous checking, rechecking, and editing of the book's references, her thorough review of draft chapters, and her assistance in developing PowerPoint summaries and test items for chapters, and to Carl Westine for his invaluable input on early drafts of certain chapter sections. We have benefited greatly from the contributions of Kristin and Carl, who have shared their graduate student perspective. We are also mindful and appreciative of the substantive contributions by Anthony Shinkfield, who coauthored the original volume of this book. Clearly, many of his substantive contributions to that book have carried over into this one. Finally, we thank Lois-Ellin Datta, Randy Davies, and Jean King for their insightful, detailed, useful critiques of all chapters and the book as a whole.

Chris L. S. Coryn
Daniel L. Stufflebeam

THE AUTHORS

Daniel L. Stufflebeam retired from Western Michigan University (WMU) in 2007 as Distinguished University Professor, McKee Professor of Education, and founder of the Evaluation Center. He established the Evaluation Center at The Ohio State University (OSU) in 1963, moved it to WMU in 1973, and directed it until 2002. At OSU, he developed more than one hundred standardized achievement tests, including eight forms of the GED tests, and created the context, input, process, and product (CIPP) evaluation model. At WMU, he founded the Joint Committee on Standards for Educational Evaluation, chaired it through 1988, and led the development of standards for program and personnel evaluations. He also established and directed the national Center for Research on Educational Accountability and Teacher Evaluation and, more recently, designed WMU's interdisciplinary doctoral program in evaluation. He has received more than $25 million in grants and contracts; conducted evaluations in education, community development, housing, military personnel evaluation, state and national assessment, and other areas; lectured and consulted in twenty countries; and advised and assisted many organizations in the United States and abroad. For eight years he served on the U.S. Government Accountability Office Advisory Council on Government Auditing Standards. His publications include twenty-four books and monographs and about a hundred journal articles and book chapters. He received the American Evaluation Association (AEA) Paul Lazarsfeld prize for contributions to evaluation theory and standards, WMU's Distinguished Faculty Scholar Award, the inaugural CREATE Jason Millman Award, and membership in The Ohio State University College of Education and Human Ecology Hall of Fame. A recent book, edited with Thomas Kellaghan of Ireland, is the *International Handbook of Educational Evaluation* (2003). Stufflebeam holds a bachelor's degree from the University of Iowa and master's and PhD degrees from Purdue University.

Chris L. S. Coryn is the director of the Interdisciplinary PhD in Evaluation (IDPE) program and an associate professor in the Evaluation, Measurement, and Research (EMR) program at WMU. He received a BA in psychology in 2002 and an MA in social psychology in 2004, both from Indiana University (IU). He earned his PhD in evaluation in 2007 at WMU under Dr. Michael Scriven. He has published more than ninety peer-reviewed papers, book chapters, and monographs and is currently the executive editor of the *Journal of MultiDisciplinary Evaluation*. He has led numerous research studies and evaluations across several substantive domains, including research and evaluation in the arts and humanities, education, science and technology, health and medicine, community and international development, and social and human services. He has given lectures, speeches, and workshops nationally and internationally.

His awards include American Educational Research Association Distinguished Scholar of Research on Evaluation Award, WMU Emerging Scholar Award, AEA Marcia Guttentag Award, Michigan Association for Evaluation John A. Seeley Friend of Evaluation Award, IU Award for Graduate Research Excellence, IU Student Mentor Academic Research Team Merit Award for Outstanding Research, and IU James R. Haines Award for Outstanding Research in Psychology.

INTRODUCTION

We have planned and developed this book to aid and enlighten those who evaluate, or intend to evaluate, programs, as well as those administrators and other evaluation stakeholders who use evaluation to meet program improvement and accountability needs. The book is intended particularly for use by practicing evaluators and students in graduate programs focused on evaluation theory and practice, but its handbook nature should prove useful to evaluation clients and others with an interest in learning about evaluation and obtaining sound, effective evaluation services.

Evaluation studies should be directed toward helping clients and other stakeholders use findings well and particularly toward improving and certifying the value of evaluation services. This is a heavy professional responsibility. In this book we have drawn together information from the evaluation literature and a wide range of practical experiences to guide, to advise, and to demonstrate that success in the worthwhile pursuit of systematic evaluation is both essential and clearly possible.

Evaluation is a vital component of the continuing health of organizations. If evaluations are conducted well, organizations and their people will have the satisfaction of knowing with confidence which elements are strong and where changes are needed. Evaluation is therefore a constructive pursuit.

This book is designed as a textbook for graduate courses concerned with the critical analysis and application of program evaluation theory, approaches and models, and methods, and more widely as a handbook for use in planning, conducting, and assessing program evaluations. The book builds and expands on the widely circulated *Evaluation Models* monograph in *New Directions for Evaluation* (Stufflebeam, 2001b).

Throughout this book, we typically refer to evaluation *approaches* (rather than *models*), using the more generic term to cover all generalized ways of designing and conducting evaluations. We selected this term because it encompasses illicit as well as commendable ways of doing evaluations and includes all good approaches, whether or not they are referred to as models.

We undertook this writing project at the urging of a number of colleagues and representatives of Jossey-Bass, initially seeking only to update *Evaluation Models* (Stufflebeam, 2001b). Leaders at the publishing company convinced us, however, of the need for an updated, extended treatment of *Evaluation Models* plus practical guidelines and procedures for applying the best evaluation approaches. In this book we address these needs and also discuss the foundational topic of evaluation theory. Readers will find checklists for guiding such core evaluation tasks as designing, budgeting, contracting, reporting on, and assessing evaluations, plus others focused

on data collection and analysis. Although the heart of the book is an updated, expanded treatment of evaluation approaches (found in Parts Two and Three), this core content is now embedded in a broader discussion of theoretical and practical topics. We have focused the book on helping evaluators and others strengthen their theoretical understanding and working knowledge of evaluation.

Changes to the First Edition

This second edition of *Evaluation Theory, Models, and Applications* has undergone substantial revision since the first edition was published (Stufflebeam & Shinkfield, 2007). Major changes are the inclusion of several additional evaluation approaches and the elimination of others (and the addition of a new second author due to Anthony Shinkfield's busy schedule). In the first edition, twenty-six unique evaluation approaches were introduced and described. In this edition, the descriptions of evaluation approaches have been reduced to twenty-three, but with the addition of transformative evaluation, participatory evaluation, customer feedback evaluation, and meta-analysis. In addition, many of the evaluation approaches originally described in the first edition have been substantially revised and updated, and in many instances an approach's description has been extended to provide greater depth, detail, and insight into its specific characteristics.

Also, each chapter in this second edition begins with a list of chapter learning objectives. Key references have been added throughout chapters so that interested readers may locate additional information concerning the topic under discussion. Further, each chapter now includes a short section titled "Suggested Supplemental Readings," in which readers may locate additional source documents, books, articles, and reports intended to supplement and sometimes elaborate further on the chapter's core content. The book is also supported by relevant materials housed on the Web sites of Western Michigan University's Evaluation Center (www.wmich.edu/evalctr/) and Jossey-Bass (www.josseybass.com/go/evalmodels).

Intended Audience

Because program evaluation is such a pervasive concern in society, we have designed the book to serve the needs of a broad range of individuals and groups that must use evaluations to assess, ensure, or improve the quality of programs. The book can be useful to graduate students, evaluation and research instructors, evaluators, program administrators, business leaders, specialists in research and evaluation methodology, professionals, and other service providers who must meet requirements for public accountability, as well as those who commission program evaluations. The book treats program evaluation across disciplines, and thus is intended for use in such fields as nursing, community development, housing, education, medicine, psychotherapy, disease control, business administration, jurisprudence, national defense, engineering, social services, philanthropy, and international development, among others.

Overview of the Book's Contents

Evaluators and users of evaluations can use this book to acquire knowledge of approaches that are available for evaluating programs; the concepts and theories undergirding different evaluation approaches; and principles, standards, and procedures for guiding and judging the work of evaluators. The book provides evaluations of twenty-three evaluation approaches, detailed information about six evaluation approaches, techniques for carrying out the full range of steps in any program evaluation, and guidance for institutionalizing and mainstreaming evaluation.

Faced with a growing number of program evaluation approaches, evaluators need competence to assess and choose wisely among available options and then confidently and effectively apply the selected approach. Overall, in choosing topics for this book, we sought to provide a sense of the general nature of program evaluation, an overview and comparative analysis of alternative approaches to evaluation, in-depth instruction—with examples—in each of six ways to conduct credible program evaluations, standards for choosing among approaches, and practical guidelines for designing and carrying out an evaluation from beginning to end.

Two dominant factors—the theoretical and practical essentials of evaluation—intertwine throughout the book, and are underlined by nine themes. The first theme is:

The evaluation discipline should be grounded in sound theory—that is, a coherent set of conceptual, hypothetical, pragmatic, and ethical principles forming a general framework to guide the study and practice of evaluation.

The second theme is:

Society needs and is using evaluations to inform decisions and hold service providers accountable for the implementation and outcomes of the services they provide.

The evaluator must plan, develop, and deploy a distinctive evaluation methodology that is technically sound and responsive to the client's needs.

Part One of the book introduces program evaluation in three chapters that set out evaluation's fundamentals. Chapter 1 discusses the role of evaluation in society; defines evaluation and other key evaluation concepts; denotes the principal uses of program evaluations; identifies different, complementary methodological approaches; and describes the evaluation profession in its historical context. In general, this opening chapter offers a sweeping perspective on the evaluation field and background information for use in studying the ensuing chapters. Chapter 2 looks closely at the nature of evaluation theory, particularly program evaluation theory. It defines evaluation theory, distinguishes between evaluation models and evaluation theories, identifies criteria for judging theories, and lists illustrative hypotheses for research on program evaluation. Stressing that nothing is as useful as a sound theory, the chapter calls for increased and improved efforts to generate and validate program evaluation theories. Chapter 3 reviews and discusses principles and standards for use in guiding and assessing program evaluations. It begins with a discussion of a professionally generated set of standards for educational program evaluations (Joint Committee on Standards for Educational Evaluation, 2011) that require evaluations to meet conditions of utility, feasibility, propriety, accuracy, and

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