

EVALUATION - A SURVEY OF THE LITERATURE

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Introduction

This literature review provides an overview to some of the central aspects of the field of evaluation in higher education. Evaluation is used in a wide variety of contexts, adopts lots of different methodologies and processes, and gives rise to many critiques and discussions; it is an extensive area and this review is not able to cover it all. What this review attempts to do is to put the various issues around evaluation in higher education into some sort of useful order, with brief summaries of each point but aiming to be as comprehensive as possible. It also aims to draw conclusions from the literature that are relevant to the research project on evaluative cultures (presented separately). Finally, because evaluation within higher education is highly focused on student voice, the literature review provides a brief look where evaluation connects with students. The aim is to make the literature review relatively easy to dip into and refer back to in order to get brief overview on a variety of key points and issues around evaluation.

Part one starts with an assessment of definitions of evaluation, making use of evaluation theory, including a review of the **tensions** that it gives rise to **typologies** of evaluation. From this it focuses on the nature of **responsibility** and **knowledge-building**, which represent key facets of evaluation in education.

Evaluative **frameworks** are important part of the processes for developing evaluation across all fields; the literature is examined around the need for frameworks in general and then, more specifically, around the nature of frameworks in education, drawing on those used for professional development, with a particular focus on Guskey (1999).

With a survey of other key evaluation concepts such as **quality, experimentation and stakeholders**, the review then looks more closely at the way interventions are introduced and evaluated, by exploring theories of change and theory-based evaluation, mechanisms that are widely adopted by educational institutions to introduce change processes. From this an understanding of organisational learning can be developed and so evaluative cultures.

The literature review in **part two** turns to focus on more practical aspects of evaluation within Higher Education, both in the wider sense of the way the **Office for Students** draws upon evaluation frameworks and more specifically in identifying the **key characteristics** of any evaluation process. These elements, such as reflection and proportionality, should ensure effective evidence is collected for any sort of evaluation, but, in particular, should help inform smaller-scale evaluations.

The final part of the literature review in **part three** focuses on the data collection with a review of some of the **methods and tool kits** that have been developed, including creative evaluation. It explores the importance of **gathering voices** for effective evaluation, with

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particular attention paid to partnerships with students, though recognising also that staff voices are key.

This literature review stands alone but there are references (as already noted) to the research project which has drawn on this literature in its development. This research specifically explores evaluative cultures and involved case studies, staff interviews and a student focus group. This has been written up separately and does not explicitly draw upon this literature review but it has led to the direction the literature review takes and its scope.

Scope of literature

Research into evaluation is extensive and multidisciplinary. It regarded both as a profession and a discipline (even a science) in its own right (Donaldson and Lipsey, 2006). It is many things, leading to many theoretical approaches, depending on the arena in which it sits. It operates differently depending on domains and with different levels of complexity depending on levels of consensus between stakeholders (Stern, 2004). There are detailed lists of requirements and tests for evaluation processes when it is implemented to assess large-scale funded public projects (Stern, 2004); meanwhile an overly controlled process can distract from the results, particularly for smaller scale projects. It can be situated in overarching theoretical approaches, such as constructivist and positivist (Stern, 2004) and research debates how far formal evaluation forces perhaps unwelcome changes in the ways institutions are assessed (Henkel, 1997). There are also blurred boundaries between what is research and what is evaluation (and even what is consumer research) (Stern, 2004: 19).

Stern's report summarises 5 broad areas of theory that relate to evaluation while Donaldson

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and Lipsey show that evaluation theory is slippery and talk of the '*interchangeable terms that litter the evaluation landscape*' (2006:3).

In exploring literature in this area, because there is extensive and detailed research into a wide range of different aspects around evaluation, many areas are out of scope for this project. For example, the research focuses on the embedding evaluative practices as what might be termed a grass roots level – at local school, programme and course levels. As such while there is extensive literature on the philosophy of evaluation and of different overarching frameworks such as programme theory, this research is not able to encompass detailed analysis of differing definitions of evaluation (but instead adopts a definition as outlined below). It does not, in that sense, explore philosophies of evaluations, terminology around impact and assessment, nor does it critique different styles of evaluation such as cost benefit analysis or social-dominant paradigms and social design processes, favouring instead a focus on a more practical end of evaluation.

While it does look at concepts around collaboration with students where it intersects with capturing student voices for evaluation, there are wider theories around working with students that are out of scope here (for example theoretical aspects of third spaces, boundary spaces etc). It acknowledges that there are debates about how far evaluation is fit for purpose given how difficult it is to measure precisely subjective student experiences or journey travelled; evaluating experience may depend a lot of individual contexts and intangibles, and can be impacted by power relations with staff, but to look depth at these is not within scope.

The research also is not able to unpick the tension between quantitative data and qualitative research but rather assumes that qualitative research has value (as the literature shows) and so explores ways to capture that data usefully. While a lot of research spends time on how to get students to engage in assessment and provide feedback, this research will not focus on best practice here except in so far as it informs methodology. The central focus of the research is on the evaluation process and what is possible for individual staff members to embed in order to inform their own practice.

The literature review really aims to provide an overview to some of the key concepts, link to guidance and frameworks laid out by official bodies and identify some of the key criteria for setting up evaluative frameworks, processes and partnerships. It is not detailed on each point but rather can hopefully be used as an introduction to the literature and relevant reports across the different areas.

PART ONE – FROM GENERAL TO EDUCATIONAL - DEFINITIONS, THEORIES AND FRAMEWORKS

Definitions of evaluation

Evaluation is a wide-ranging term, used in a variety of different contexts (Donalson and Lipsey, 2006; Parsons, 2017, Stern, 2004), from government and public sector measurements of impact, to the assessment of students in Higher Education. The term

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evaluation can encompass a set of very specific, pre-determined methodologies for the effective monitoring and measurement of activities in order to assess something like value for money (Eg impact assessment in cultural and heritage settings, for public sector initiatives or for academic research projects); or it can more loosely cover a variety of different primary research methods, used across a variety of different contexts and for diversified initiatives (Stern, 2004), applied on a case by case basis to test whether a project achieved its proposed outcomes and where its successes and failures sit (eg unit evaluation in HE).

Evaluation (in general – not specifically for HE) can be seen as having two broad purposes: first is for *decision-making* where results may be used to determine something like the allocation of finance or the introduction of specific initiatives; the second is more focused on *quality assurance processes*, involving learning about a specific initiative – for example understanding in more detail the way an intervention played out and what worked about it (Kaszynska, 2021). Researchers debate these distinctions, considering whether the former is more genuinely evaluation than the latter. For example, Scrivens (1991), in defining evaluation, notes that aspects which simply lead to explanations and understanding are not in his view evaluation (Scrivens, 1991, cited by Descy et al., 2004:14); rather evaluation needs to assess value or merit, and though that does not preclude evaluation for quality assurance, nevertheless it reflects that his belief that there is a distinction between the value-laden nature of evaluation and more general inquiry that explores how or why something happens. This duality is similar to Donaldson and Lipsey (2006) who talk of

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accountability in relation to evaluation versus social enquiry, the latter which is perhaps more like social science research.

In the case of evaluation as a process of decision making, this can be often driven by the need to indicate something specific to stakeholders or quantify impact in order to move to a new stage; here systems for evaluation need to be extremely robust in part because they often involve financial and resource decisions. However, they perhaps do not always delve deeper into the *performance* of the issue under evaluation, instead focusing on the *outcomes*; the evaluative strategy is often laid out at the start and clear measures, key performance indicators (KPIs) and indicators of success are put in place – the focus is less about *why*, so much as *what* the results are.

Evaluative processes that focus more closely on the *way* the activity worked, where its successes lay and *why* they achieved what they did, alongside analysis of failures, do not always start with recognisable and detailed evaluation strategies; rather they often apply more generic evaluation methods, suitable for a variety of different sorts of projects applied at later stages in the process, quite often at the end (like a unit evaluation). Evaluation here is not necessarily so structured but that does not mean the information isn't sound. The definition of evaluation as outlined by Poth et al. feels more appropriate, combining as it does both decision-making and understanding: '*Evaluation is the systematic assessment of the design, implementation or results of an initiative for the purposes of learning or decision making*' (Poth et al., 2014). Poth et al. explain that this builds on Patton's definition: '*The systematic collection and analysis of information about program activities, characteristics,*

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and outcomes to make judgements about the program, improve program effectiveness, and/or inform decisions about future programming' (Patton, 1997 cited Poth et al 2014:91);

key to these definitions is the recognition of evaluation as centred on improvement and decision-making for the future.

Evaluation theory and approaches

Typologies of evaluation

These definitions reflect a tensions between *accountability* (the need to show impact) and *enhancement* (quality development). The literature also draws out tensions between impact and process, measurement and understanding (Parsons, 2017). *Impact* centres on assessment and measurement of the effect and influence, while *process* reflects evaluation that happens in an on-going way to understand what went well and what could go better: in this latter sense it can be regarded as social practice (STEER, n.d.). But it is important to note that it can be both these things – though the nuance may be more to one than the other (QAA Scotland, 2023).

However, these definitions only give a very broad picture. To help break down notions of evaluation further, Chen (1994) proposes a model for evaluative functions that look at the nature of process and outcomes, as well as aspects of improvement and assessment – this to some extent blends these two broad dimensions of evaluation (decision-making and quality assurance) but with the aim of developing a *spectrum of evaluation*; this perhaps

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helps in legitimising some aspects that may be regarded as the poor relation of high level, impact-focused evaluation. For example, in Chen's approach, at one end sits on-going evaluation directed towards continuous improvement which might include staff wanting to develop a unit or review an intervention; at the other end of the spectrum is the assessment of an outcome whereby the main focus is on measuring the end result rather than understanding what happened.

Stern (2004), goes further, using the broad expectations of evaluation as a way of differentiating between definitions: evaluation is either for 1) accountability and policy making, 2) development and improvement, 3) knowledge production and explanation, or 4) social improvement and change. This focus on what the evaluation is expected to do can be a useful way to recognise that evaluation is many things, and therefore it cannot necessarily do all these things in one. While accountability here has overtones of performance measurement and monitoring, there may be a more nuanced approach, carrying a sense of responsibility for the person undertaking the action. Meanwhile the arena of social improvement and change (as a way to encompass all public sector activity) feels more specific to the government and public sector. However, the two other aspects of evaluation he mentions might perhaps be usefully taken together: the arena for *understanding* (knowledge building and explanation) in order to bring about *improvement* (and effective development) is more relevant for an on-the-ground, local-level approach to evaluation.

Donaldson and Lipsey (2006) (citing Mark et al., 1999) present a slightly different typology, one which does not foreground the nature of decision-making but rather one which

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recognises that some evaluation is about *compliance* as well as about *worth*. As they discuss typologies further, with particular reference to theory, Donaldson and Lipsey (2006) divide evaluation theory into three broad categories - use, methods, valuing; this is perhaps a more functional way to think about evaluative activity. Rather than trying to typify what sort of evaluation something is generically, it may be more useful to understand what it is being used for in a particular context. This theory-based approach is also useful for acknowledging the importance of reviewing and critiquing methodologies as well as considering how best to determine value (Alkin, 2004, cited by Donaldson and Lipsey, 2006:6). A similar approach is posed by Parsons (2017) whereby evaluation is defined by what it is looking at – depending if it needs to achieve accountability, set in motion developmental activity or develop understanding and knowledge – with a recognition, in his examination, that evaluation can be pluralistic to some extent. These typologies overlap and while they have different nuances all have similar traits: at heart evaluation is trying to understand achievements or quality or effectiveness (Parsons 2017).

Formative and summative evaluation.

Overlaid on this broad understanding of what evaluation is for, is an understanding of the nature of formative and summative evaluation, coined by Scrivens (1991). *Summative* evaluation is more aligned to the outcome and assessment trajectory – where goals, impacts or cost-effectiveness, for example, are assessed; meanwhile *formative* is an ongoing developmental process: “an on-going process that allows for feedback to be implemented during a program cycle” (Boulmetis and Dutwin, 2011 cited by Kaszynska, 2021:5; also Guba

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and Lincoln, 1989; Stern, 2004). Parsons (2017) sees formative evaluation as particularly useful for short term improvements and mid-term health checks.

While the need to obtain data for decision-making and, in particular, to provide evaluative information to the Office for Students, for example, the focus of the research to which this literature review is linked, is much more centred on evaluation for quality assurance because it is interested in teaching and learning approaches. Kaszynska (2021) states this sort of quality assurance approach means: “progress against goals and expectations; effectiveness of the intervention in achieving those goals; quality of the achievements” (Kaszynska, 2021: 7 and referencing Parsons, 2017). In this sense evaluation is part of a process of continuous improvement.

Problems with evaluation

There are challenges with evaluation: it leads to power constructs within the accountability issues; there are conflicted aspects as stakeholders seek different outcomes so embodying different agendas; processes lead to information reduction that lose important nuances; there are responsibilities in providing information accurately as well as recognising the unintended consequences that can emerge (Kaszynska, 2021). Overall, it can be difficult to reconcile generalisations with individual contexts. Data from evaluation is often used as if it is positivist and so neutral when maybe a social constructivists reading is more appropriate. Reflexivity is an important way to try recast the process of evaluation, recognising that at its heart it is about understanding value (Kaszynska, 2021) and acknowledging complexity.

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From this reading around the nature of evaluation, a **definition** in relation to academic teaching and learning is emerging: evaluation is a form of quality assurance, centred on continuous improvement and an understanding of value; it is complex and nuanced, and aims to support effective decision making. The question then becomes who undertakes the evaluation and how should they do it?

Responsibility and devolved evaluation

While *accountability* is central to many approaches of evaluation, the nature of responsibility does not overtly emerge in these definitions; this is partly because the nature of obligation and the role and situation of the evaluator is somewhat adjusted in relation to power balances of who has the right to judge the effectiveness of a project (Stern, 2004:18). Yet within the context of this research *responsibility* over data is important: actors who form part of the process of an intervention or action, ie those who may be running the intervention, have a central role; this puts them under the obligation of reflecting on their actions which therefore leads to a requirement to understand what works and what doesn't in a project. In this sense all actors have a level of ownership and the agency to make a change: as such they have the responsibility to understand it and disseminate it; in that way accountability is vested in the project. Evaluation therefore is valuable to the person running the intervention – not least because of their own experience of the project is valuable information itself, but also because they are expected to knowledgeable about the effectiveness of the intervention (Donaldson and Lipsey 2006:11).

Accountability therefore, seen in the light of responsibility, can play a part in evaluation that is more centred on continuous improvement and not just on measuring impact. Some researchers talk about 'devolved evaluation' (Stern, 2004: 19) in relation to this, in that everyone has to undertake it in some form or other. **Evaluation here is part of the developmental process and leads to understanding.** Student evaluation of teaching – such as a unit evaluation or the NSS – provides a certain level of data which then requires more unpicking to understand it, to embed what works or set up an intervention to try and improve it – so evaluation is a **circular process**.

Knowledge-building from evaluation

Responsibility requires knowledge; *research* can bring knowledge but processes to build robust evidence is what *evaluation* can provide. However, the methods for evaluating need to be useful, appropriate and implementable. Understanding processes and methodologies for evaluation are therefore central to this research. In certain circumstances, valuation of the impact is less critical than the learning that emerges: an intervention might not work – and so overt value is limited; but it provides information about what not to do, or about how to iterate by changing the parts that led to failure – so learning has value in that sense even if it is not quantifiable in overt terms (and innovation theory plays a part here). This plays to a definition of evaluation that is about knowledge building and central to that is understanding how to tailor evaluative processes to a particular situation or a specific requirement for certain types of knowledge to emerge (eg asking, is the intervention

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innovative, or considering how to scale up an activity (for example Donaldson and Lipsey, 2006:16)).

If there is a systematic approach to evaluation then it can be used *'to improve, to produce knowledge and feedback.., and to determine the merit, worth, and significance' of evaluated situations'* (Donaldson and Lipsey, 2006:17). Distributed, locally-led evaluation helps engagement in this process, by promoting staff ownership of the issues and opportunities to find solutions, supported by a framework to help them test their impact: *'the power of evidence could not be underestimated'* (Thomas et al., 2017: 19). Providing ways to evaluate potentially enables staff to feel engaged themselves in the process and its effectiveness, feel confident of the effectiveness of their work, and ensure they are in a position to build upon it and disseminate learning; in particular this includes understanding that, even if it does not work, the learning experience has value.

The requirement for evaluative frameworks

So from the general literature on definitions of evaluation a view of evaluation for **continuous improvement and knowledge building** is emerging, one which means that all those involved have responsibility to be active in undertaking evaluations. What this means then is that processes and structures are required to support effective practical evaluation for a variety of people (Parsons 2017). In order to do this, frameworks need to be developed, either in relation to a specific evaluation, or for generic approaches that are

applicable across a range of similar activities. Frameworks can also help make decisions around scale and appropriateness of evaluative practices, as well as help categorise different sorts of evaluation for a particular context (Spowart et al., 2017). Effective evaluation is reliant on alignment: frameworks help with this systematising process and avoid mismatch between goals and what is evaluated (Spowart et al., 2017).

The literature presents and critiques different approaches to overarching frameworks that can be used in different circumstances to lay out processes for evaluation. While some approaches take a more philosophical line as they define rules around evaluative practice (eg Pawson and Tilley, 1997; Stern, 2004) others reflect a more practical approach. These frameworks can often accommodate both the elements required for impact assessments (such as gathering contributions and requirements from stakeholders) and the more recognisable elements of any primary research process, paying some attention to the value of qualitative data.

The frameworks generally include the recognition of objectives of the intervention or activity in order to design an effective programme of evaluation; the aim is to have a framework that allows effective collection of the data required, draws conclusions and disseminates findings. (Donaldson and Lipsey, 2006; Kaszynska, 2021); there is also often a need for baseline studies to set up a starting point for evaluation (Leiber et al., 2015). Particular attention is paid to qualitative data. There is clear alignment between evaluation practices and tests for qualitative research, as the discussions around integrity, validity, feasibility in evaluation etc. reflect social science approaches (for example there is an

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exploration of reliability and validity in the HEA Evaluating Teaching Development toolkit (Kneale et al., 2016:19 and in the Creative and Credible blog (University of the West of England, n.d.).

There are some critiques of qualitative data: it cannot be large scale and is somewhat introspective, in comparison to quantitative, databased evidence which is regarded as more robust (Barthakur et al., 2022). However, many researchers reinforce the value of qualitative research in order to understand why something is happening (Kneale et al., 2016). This literature review will explore more specific frameworks at a later point.

Evaluation and education

So far the focus has been on theories of evaluation across all contexts. However, one can see a strong focus on the nature of learning and developing that emerges from the evaluation literature, and which is very much aligned to the educational context. In area of education, as might be imagined, there is extensive literature in relation to evaluation both for measuring impact and for continuous improvement. QA impact analysis for example has particular angle HE sector (Beerkens 2018; Leiber et al., 2015 and 2018) – though the shift to evidence based policy has emerged over recent years (Beerkens, 2018, Jones-Devitt and Austen, 2021).

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Many developmental evaluative frameworks have evolved within the education arena.

Assessment of teaching and learning impact has often centred on training teachers (for any teaching setting); applications for fellowships FHEA and SFHEA, for example, ask for evidence of impact and explicit modes of evaluation of practice. While there are important quantitative approaches, (Kneale et al., 2016 literature review) generally the emphasis is on qualitative data – in part informed by the need to get deeper into why something might be happening so as to understand the pedagogy. The UK quality code for HE provides guidance for monitoring and evaluation for example (2018) which, while it focuses on centralised processes in relation to standards and quality (and discusses the use of large organisational-wide data sets such as NSS or KPIs), the guidelines have also informed more local practices; they reinforce the importance of certain activities such as those that involve students for example (p4), that empower staff (p5) and which acknowledge evaluation processes must be sustainable. These are all more focused on practical outcomes and share aspects with action research as a commonly-used educational research methodology with student voice sitting at the heart of it (Bovill, 2015; Parsons 2017; Thomas et al., 2017:72).

Research vs evaluation

In considering how pedagogical research differs from evaluation it is clear that, while they share characteristics (identifying and testing specific things for example), there is an increased level of formality in evaluation which ensures consistency across several evaluations. Frameworks for evaluation emphasise that the **design is key** for ensuring the evaluation is effective and both immediate and long-term impacts understood: consistency, structure, systematic processes, targets that build on change narratives and sharing

information are all distinctive features of evaluation as opposed to general educational research.

In assessing frameworks for evaluating successful programmes there has been a lot of work undertaken in the area of setting up ways to assess effectiveness of CPD programmes.

These studies are of interest to this research as they include ways to conduct evaluations with students; they test methods for analysing effectiveness which are complex and take context into account; they build on understanding of the learning process (for any sort of student) in terms of experience and they assess the challenges in using frameworks. The experiential nature of the CPD programmes are helpful in understanding the teacher/student relationships as teachers become, for a while, students, so it is a fruitful area for exploring effective evaluation (Fernández Ruiz and Panadero, 2023).

This arena is also one where frameworks have been developed that are adopted quite widely, across a variety of contexts. Frameworks by Kirkpatrick (1959) and Guskey (1999) are examples (Chalmers and Gardiner, 2015; Kneale et al., 2016 (literature review); Trigwell et al., 2012); while these are not focused on students but the CPD programmes, they can be useful to consider. They are quite detailed in their approach and technical in application. They offer a constructive way into evaluating impact with students as they aim to test effectiveness of CPD both by understanding changes in teachers' approaches as well as in student learning; they use multiple indicators to assess success (Trigwell et al., 2012). There is also an emphasis on reflection and models for capturing reflective data (eg Bozalek et al., 2014) which uses reflective activity to explore characteristics such as trust, attentiveness

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and responsibility. Generally, frameworks in this arena agree that it is difficult to quantify impact – and in many ways not just because impact is difficult to pin down but because often researchers report that there does not seem to be much direct evidence of impact on student learning, despite high levels of satisfaction in the CPD programmes (eg Belvis et al., 2013; Fernández Ruiz and Panadero, 2023). This reinforces the need to develop robust measures that capture qualitatively student experience and link it to student learning.

Guskey's levels

Guskey offers a well-known well-established framework for professional learning evaluation for education; building on a similar framework laid out by Kirkpatrick and Kirkpatrick (2006). It is useful perhaps to note that in many ways it puts the educator *into* the process rather than *outside* of it. It also understands the sort of projects that might be being assessed with in an educational environment (which can be adapted from professional learning settings to HE students quite easily). While Guskey presents a view of evaluation as a way to test merit or worth it does recognise that evaluation is able to answer '*such questions as is this program or activity leading to the results that were intended? Is it better than what is done in the past?*' (1999:5); the *value* of the intervention therefore is considered *in context*, which suggests a more focused appreciation of what it is about an intervention that works and what does not work; it also ensures that the intervention needs to articulate clearly what it is trying to do at the start (maybe as a theory of change or at least as an action research project).

The levels laid out by Guskey reflect different levels of learning to some extent – and take into account the importance of different sorts of data: getting student feedback for example may reflect immediate engagement and personal interest and not necessarily effectively test long-term learning (Nederhand et al., 2023). The importance here is that while the levels Guskey presents are not always applicable to all staff, especially at a more local level, they do provide a way to think about what the evaluation is trying to do, and recognise the different sorts of data requirements emerge depending on this (2014). For instance level 1 examines the engagement of the student (motivations, enjoyment, interest – which requires immediate feedback from students) while level 2 explores their learning by seeing what they have learned through the session (maybe through testing their learning in a subsequent unit); higher levels consider their longer term learning (what has stayed with them over a longer period of time such as skills or creative attributes even beyond the course). Interventions at, for example, unit level may impact longer term learning, but realistically are probably better tested at levels 1 and 2.

While this may be regarded as a somewhat simplistic approach it still offers a useful way to interpret evaluative material, recognising that, for example, relying only on student feedback has some limitations. It is also important to note that Guskey does not see any level as more important than another in itself (eg level 1 – student experience is as important as long term learning); he sees that they work together (ie they build towards level 5) and get more complex; his proposition is that in order to develop effective teaching and learning initiatives one works back from level 5 (what long term outcomes are required) to level 1 (what will experience will help a student learn) (Guskey, 2016)

Ultimately the aim is to improve the practice of professional teachers; therefore there is recognition of the individuals doing the evaluating (which reflects the evaluative mindset and a sense of devolved evaluation) along with a recognition that activities are not always well planned in terms of being directed clearly to what they are trying to achieve; Guskey suggests that while pedagogic activities are planned with care in terms of how they are structured and performed and the content they cover – there is less focus on how the intervention is meant to achieve the outcome in terms of learning (2014:12) (which resonates with Bartholomew and Curran, 2017 on course design)– and if that is the case assessing effectiveness is already made more difficult; in other words it is difficult to know which bit to evaluate without the strategy being clearly laid out at the start. It also has to be acknowledged that collecting rich data is complex and involving.

Guskey’s levels are summarised in table 1 and for each level Guskey offers guiding questions and types of data that can be used:

| LEVELS | Example |
|--------------------------------------|---|
| 1. Participant reactions | Student experience |
| 2. Participant learning | Meeting learning outcomes for unit |
| 3. Organisational change and support | Procedures and support for teaching activity/projects |
| 4. Participant use of new knowledge | Building on knowledge/extending learning next time |

| | |
|------------------------------|--|
| 5. Student Learning Outcomes | Longer term progression, attainment etc. |
|------------------------------|--|

Table 1 Summary of Guskey's evaluation levels.

The reason this can be useful is that it helps people identify the sort of evaluation they are doing and so what the data can be expected to show (and not show), as well as the expected methodologies for each level. It can therefore support *proportionality*, a central tenet of effective evaluation. This research is seeking to develop some evaluative practices suitable to be undertaken in a variety of contexts by different people, so frameworks like Guskey's are helpful in considering structure for setting up evaluative processes.

Further evaluation concepts and issues

Quality measurement

Quality sits at the heart of evaluation and for government education policy it reflects an important aspect of performance measurement. Quality assurance therefore often carries connotations of monitoring, ensuring a standard quality of provision. With that comes fatigue of evaluation rounds (Beerens, 2018) and anxiety around the impact of results on funding and reputation etc. (Brennan, 2018). However quality, when considered as more developmental, can also encompass positive aspects of continuous improvement: it can be as much about setting of quality standards as judging against pre-determined standards.

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Research-informed quality policy is increasingly required in HE sector; policy is therefore looking for more evidence about what is working and what is not (Leiber, 2015; Beerkens, 2018, Brennan, 2018). Critics note however that the evidence-gathering process for policy making can be flawed: in defining what that evidence should be, the link to student learning is not always clearly understood; the often linear approach to evaluation is not necessarily helpful where it reduces interventions to specifically measurable effects (Beerken 2018). It can at times feel like a scientific audit. In order to understand complexity decision-making needs to be more relational and negotiated: therefore, evaluation should be relatively **accepting of different sources** (Beerkens 2018). This recognises that sources of data can be very variable: academics have their own craft when teaching and garnering feedback, which is not necessarily encompassed in standard evaluation processes for quality assurance: yet it can still provide useful evaluative material: as Beerkens suggests that *'evidence in reality is incorporated into daily practices'* (2018:284)

This issue around **evidence** is key – what counts as good evidence for quality assurance? Some critics warn that individual experience is not always taken into account; where there is a focus on quality assurance at institutional levels it tends to centre on accountability and efficiency and as such looks for strict quality measures. This is not necessarily attuned to discourse of compassion, care and support (Di Napoli et al., 2010, Di Napoli, 2014) that is important for student experience. However, with evaluation themes emerging more overtly at QAA, QAA Scotland, the Office for Students and Advance HE, for example, comes a growing recognition that **quality** is not an assigned set of targets but a process of research and development. It is more important to understand how to do it well, in different contexts

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than to adhere to one approach that might be based on measurement only; the aim is essentially to gather good data; As noted by Thomas (2021) improved **quality of data and evidence collection** will in turn drive further change.

Experimentation

Quality suggests measuring effectiveness and evaluation and so is about assessing success. However, there is also a recognition that teachers need to be **experimental** (Postareff and Nevgi, 2015) and creative (di Napoli, 2014) and so there are tensions between conformity to quality measures and innovation to keep striving for new ways of teaching a changing student body (Beerens 2018:251). Instead a '*culture of compliance*' (2018:252) does not necessarily leave room for being self-critical and testing different methods for improvement.

Assessing impact when experimenting becomes more complex in this circumstance as it may well be that an innovative approach does not work and traditional frameworks do not always acknowledge that failure may be the result; where impact may be very low, learning will be high. Staff should be encouraged to recognise innovation is important and has value in itself; expecting high impact should not be the only objective. Innovation is only possible where one can understand where points of failure are (Christensen, 2011). Understanding what does not work is important too, as is knowing whether an action works for some groups but not for others; indeed, it maybe that impacts are actually negative and this is information that would be important to have. The Office for Students also acknowledges this in its evaluation toolkit for access and participation – evaluation is not just about

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validation, it is about recognising what didn't work: *'Learning about what is not effective is just as important as finding out what works because both contribute to making sure resource is directed appropriately'* (Office for Students, 2019: 13).

Brennan (2018) takes this further: **quality management** in itself can be innovative; a quality programme supports information flows, shares best practice, borrows and uses and removes bad practice, **is in dialogue** and so reflects developmental institutional learning, *'for learning across organisational and cultural boundaries'* (2018:256); evaluation of innovation is a mechanism for bringing good practice into local contexts and learning together. We will return to organisational learning later.

Evaluative thinking and evaluative mindsets

When evaluation is used in educational contexts it tends to be linked to the evaluation of a particular intervention. In these cases, the line between primary research for social science inquiry and evaluative practices for testing impact is blurred. In this context evaluation could be regarded as simply getting feedback from students – unit evaluations for example garner student views and can be used to understand how a unit has gone: it is evaluative and, in that sense, so are any other forms of student feedback. However, this research argues that while that is useful and important as part of an evaluative programme, getting student feedback is not the only source of evaluative information; furthermore, constructing student feedback occasions with a view to evaluation requires a bit more thinking through and acknowledgement of evaluative practices or processes to ensure it goes further than simply getting student feedback. In this sense those undertaking

evaluation need to **think in evaluative ways**. This is about being consistent and thoughtful in approaches as well as responsive to the results: as Earl and Timperley (2015) outline: *'Evaluation methods and evaluative thinking provide the tools for systematically gathering and interpreting evidence that can be used to provide information about progress and provide feedback loops for refinement, adjustment, abandonment, extension and new learning'* (2015:8). They also emphasise how this is a way to be innovative, as it helps people identify what is working and *'to chronicle, map and monitor the progress, successes, failures and roadblocks in the innovation as it unfolds'* (2015:1). By formalising this process those that approach student feedback with evaluative mindsets generate information that can be used more widely: it sets up a process of thinking innovatively about teaching.

Evaluation processes when consciously employed make the collection of this information more thorough; it may involve an understanding of the starting points, a more staged approach to examine specific actions, and processes to garner and analyse robust information. For example, as Donaldson and Lipsey (2006) would say – an understanding of *appropriateness* is important for constructing effective evaluation; taking a **pragmatic and realistic** approach is important as formal evaluative processes can be overwhelming when adopted on a big scale.

Donaldson and Lipsey (2006) also emphasise the enquiry side of evaluation in their exploration and they talk about the *'capacity for evaluative thinking'* (8) recognising that evaluation helps people dramatically **improve** their work. So even if one is not embarking on

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becoming a professional evaluator, those undertaking to assess the effectiveness of their work requires a level of evaluative thinking.

Concepts of **evaluative mindsets** also reflect a community of people who are able to use and adapt evaluative practices for different situations (STEER, n.d.). While big scale evaluations will have certain pre-determined evaluative processes put in place (eg those for the Office for Students frameworks) at a more local level understanding the ways in which to set up a bespoke and effective evaluation helps staff identify what does and doesn't work; it recognises that '*a realist small-step approach*' is valuable (Pickering, 2021: 4). This aims to give staff autonomy and responsibility for evaluating their practice and understanding how to gather evidence that is useful and shareable. Ultimately an evaluative mindset is part of what helps to building an **inclusive and transformative learning** environment – it brings with it concepts of social justice and aligns with the objectives of the office for students (STEER, n.d)

Stakeholders and student engagement within the HE sector

While evaluation can look like academic research or action research in education, one of the differences is the focus on stakeholders (Pawson and Tilley, 1997). In the case of more on-going developmental evaluation the stakeholders are less present; these are not large-scale funded projects with different funding partners who would be regarded as stakeholders in a more traditional sense (though we can talk about the university as a stakeholder for any

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teaching activity for example, and specific programmes such as Blueprint, and the funding that brings, might also reflect a stakeholder).

However, the QAA Quality Code says that **students are stakeholders** (2018:4) and Stern notes that *'learners themselves engage in an active process of interpretation and dialogue in order to construct their own meanings'* (2004: 36). Drawing on Wenger and Lave's communities of practice (1991) students and staff together form a **community of practice** as they are all active participants in evaluation. However, students are not necessarily as aware of this role (depending on how the intervention is set up); unlike traditional stakeholder relationships they are not always asked to present their views of what they expect from the intervention at the start in order to design effective evaluation. Training sessions or the first day of courses might routinely ask what students want to get out at the end, but a tutor might not always ask these sorts of questions at the start of a relatively small and precise intervention; additionally, students may not know what they want if they are not aware what the intervention is or could be trying to achieve.

While we will look at student voice in more depth later, it is worth noting here that student engagement is supported where students find a *'meaningful role'* (Thomas et al., 2017:18 – they are part of the change process in one form or another, whether they are part of the co-creation of the intervention or are providing data or have a voice around inclusion for example.

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Staff as stakeholders challenges

Staff are also stakeholders though they are not often explicitly called this. Thomas et al. point out in the What Works report for Advance HE (2017) that staff engagement is also central to effective implementation of interventions. This is discussed in some depth as staff are seen as central to the activities of pedagogical interventions and their effective evaluation. However, the authors note *'Providing staff with time to undertake the work associated with managing planning implementing and evaluating change was widely recognised as a challenge'* (Thomas et al., 2017: 15). By viewing evaluation work as *'pedagogical research'* *'can help staff develop expertise, capacity and to gain recognition as experts'* (2017:15): this in particular draws attention to the importance of staff knowledge in evaluation (both to undertake it and to learn from it) while also reinforcing the link between evaluation and research. The staff role in evaluation remains an under-researched area – notwithstanding the concepts of responsibility noted above.

Theory of change and theory-based evaluation.

Given this emphasis on pedagogic interventions as something worthy of evaluation, it is useful at this point to draw upon **theory of change** which helps set up pedagogic interventions or practices and show the processes that need to be in place to achieve certain outcomes. It becomes much easier to evaluate **progress** of any sort of activity with a structure in place. Theories of Change is at heart a mapping process helps spot assumptions and gaps (Thomas, 2021: 12). They are related (though distinguished from –) to logic models (Dhillon and Vaca, 2018). Staff identify, examine and evaluate the stages that can bring about change, with particular focus on the **connection** between activities and outcomes at

each step (Davies, 2018, Weiss, 1995): essentially change proposed in the logic chain can be articulated as a theory of change statement. It is helpful way to pin down why an intervention is expected to work as well as the wider part it may play in a strategy.

The theory of change model breaks down the evaluation as well, not just the planned activity– so that one evaluates the effectiveness of each stage of the action in order to check progress and inform the next stage (as the example in figure 1 shows). It can often sit at a high level, though it can be taken at any scale, and can be helpful to encourage staff to consider why they are doing something – ie the end result - and, in a way, set up a hypothesis or innovative intervention that is testable.

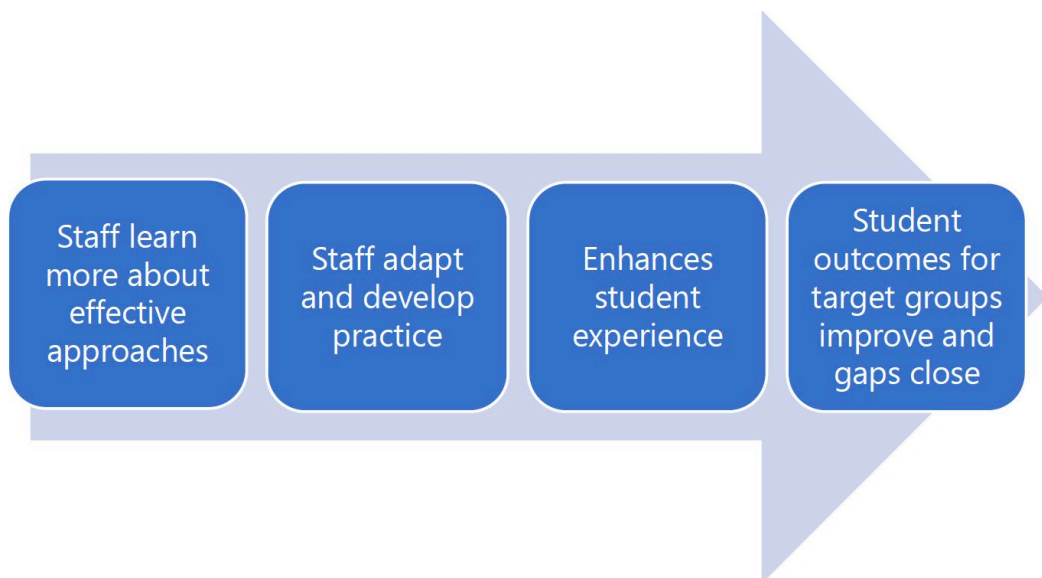


Figure 1 Theory of Change model

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The problem when assessing the effectiveness of a change model is how one can know if the interventions caused the changes in question – so evaluative methodologies become important to assess that (Leiber et al., 2015:292). Though at one level we cannot necessarily prove causation fully, any sort of closer analysis of the intervention will have some useful learning from it, even if it cannot be fully evidenced as directly causal: to identify all the relevant causal possibilities and relationships is too time consuming for local level evaluations but that does not devalue what does emerge. In application Thomas suggests that theory of change process can lead to surprises – *‘any deviation from the logic chain is welcomed as a type of new knowledge’* (Thomas, 2022:12).

Using theories of change

If a level of flexibility is accepted, then it is possible to think of theories of change as a loose and adaptable framework that may be useful for staff to use to set up an intervention and consider more closely what is being tested by that intervention: by identifying both **process and output** of the intervention staff can create a structure that can then be tested more precisely as the intervention progresses (Noble, 2019). It requires considering what it is that is expected to change and starting to unpick the logic to identify the different parts and the effects they may have, asking of the project: *‘if this is done, will that happen?’* and then planning the evaluation around those expectations.

There are benefits in this approach. Austen et al. (2021) note that where an intervention is identified in the literature as having evidence to support its effectiveness, it can be difficult to work out how to enact this effectively in teaching; a theory of change principle, however,

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provides a process that helps staff break down an activity into elements, each with objectives, so step by step working towards the longer-term goal. It also helps **prioritise** so evaluations do not try to do too much; it allows for considerations of proportionality.

Theories of change are also very often represented in visual way (Dhillon and Vaca 2018) that can be very detailed (Davies, 2018) and literature examines many of the different sorts of diagrammatic frameworks of theories of change (Dhillon and Vaca 2018). Visual representations can be used to identify the key elements of an intervention quickly and hone in on the processes of change that are hoped to sit behind it. This can be important for getting buy in and sharing responsibility for an action: *'For the communities involved, a well-articulated Theory of Change allows them to better understand the purpose of an intervention and how it is achieving its objectives.'* (Dhillon and Vaca, 2018:3).

A Theory of change approach also ensures focus on short term, medium terms and long-term outcomes. A long-term outcome such as student progression to employment may not be possible to examine until some way in to the future; this theory of change process allows one to focus on the steps along the way so that one can get results straight away and act on them. Additionally, one can map gaps, spot assumptions and use logic to assess the short term and longer-term outcomes to assess on (QAA Scotland, 2023). It is important to note that the theory of change explores how and why an initiative works (Davies, 2018; Weiss 1995); meanwhile the emerging Theory of Action looks at how an action might contribute to change – not just the process of change itself (Davies, 2018).

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It is significant that these sorts of processes encompass a recognition of the context, of those participating and sequencing, while also acknowledging where there may be assumptions made along the way (Noble, 2019). Theories of change therefore provide a useful insight into how to design pedagogic interventions and then link evaluations to them. This all of course requires **collecting data effectively** to build the **evidence-base** for the action and to have the evidence on which to base further interventions and activities. Having good evidence, where you can see the journey mapped, assess progress and see what happens on the way to the longer term impact is critical (Thomas, 2021)

Theory based evaluation and change

Linked to theories of change is a key strand of theory of evaluation not yet mentioned: **theory-based evaluation** (Austen, 2020, Austen et al., 2021; Austen and Hodgson, 2021; Austen and Jones Devitt, 2019a, 2019b; 2020, Stern 2004, Thomas et al., 2017a, 2017b, 2021). If interventions take change-oriented approaches (Stern 2004:16) then what is the theory and the evidence that the initiative is based on? Theory-based evaluation therefore aims to provide this evidence. It recognises that situations for evaluation may have been set up with specific tests in mind or to explore particular theories that, if workable, may lead to change. In this situation, directing the information that emerges from evaluation directly into a series of subsequent actions in itself leads to change.

Furthermore, as the theory being tested is evaluated, the evaluation analyses aspects of the theory at different stages, to identify where change may happen, pin point why it works and to explore linkages between those changes (Intrac, 2017, Stern, 2004). What is central to

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this is evidence – whether evidence from external research or from internal results.

Evaluation therefore is a way to gain evidence in effective and useable way. In this sense evidence is not about proving impact but about building an iterative approach to enhancement and providing evidence on which to make decisions and enact change.

Thomas (2017) reinforces the need for evidence-informed interventions as do Austen et al who following their report on Access, Retention, Attainment and Progression (2021): developing evaluative practices for each step in the chain, where each step is logically connected to the last means that the understanding of the process goes hand in hand with the evaluative questions. This can be seen to be applicable to a variety of different teaching situations where staff may want to try out a pedagogic theory or test a particular idea within of their practice (eg how to get students to engage with feedback) and need to examine how it worked and understand what about the intervention brings about change. This requires some explicit application of an idea, theory or concept; it also has a variety of different requirements to be done properly (Davies, 2018, Dhillon and Vaca, 2018, Intrac, 2017; Stern, 2004) and sets up a series of challenges or questions around design, implementation and monitoring, to ensure the theory of change is evaluable (Davies, 2018). Thoroughly breaking down the theory to understand how it works therefore provides **knowledge** in itself, which then makes it potentially easier to evaluate, as individual criteria have been already been identified.

Theory-based evaluation has challenges; it is multi-layered, definitions can be quite specific, processes are often detailed in order to be robust, change can take place anyway unrelated

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to the intervention, and it can be difficult to separate out effectively what is happening (Dhillon and Vaca, 2018). As such it not always appropriate – it may still over-engineer the evaluative process for what might be a relatively small focused intervention or be part of an iterative research process for which this sort of evaluation, in its purest form, is not intended.

However, this approach to evaluation has some benefits for the smaller interventions as it can report on changes and point to issues while **in process**– unlike a formal impact evaluation which waits for a full conclusion; it also can be seen to be generalisable (partly as based on theory in the first place) and as such encompasses change; and it pays attention both to what is working and what isn't so leads to effective learning (Weiss, 1995 cited in Stern 2004:31). It is also a collaborative, dialogic process (Stern, 2004: 31)

Theory-based evaluation, therefore, has wider pedagogic uses, and encompasses a variety of pedagogic practices in a process of change. At the same time, it draws upon a variety of evaluative processes in a collaborative way: institutions including UAL are interested in embedding an understanding of this **evidence-based change process** throughout the organisation, as shown in the enhancement themes of QAA Scotland (Parks, 2022) for example and in interventions like *Change Busters* (STEER, 2023).

Organisational learning

So having drawn up definitions of evaluation that reflect continuous improvement and linked them to educational interventions and actions that reflect evidence-based theory and theory of change, it can be seen that there is a firm trajectory of educational evaluations that reflects **knowledge-building and learning**. This developmental and iterative approach to change is key to a learning organisation. This is one where *'employees are engaged in lifelong learning'* (Picciotto, 2013:6). Torres and Preskill, (2001) emphasise the importance of evaluation for learning, not just for the individual running an intervention, but for the wider learning of an organisation. Learning and evaluation can provide fresh understanding. Torres and Preskill emphasise **a link between evaluation and organisational learning**, so that evaluation can *'play a more expanded and productive role'* within an organisation (2001:1); this recognises that evaluation is contextually sensitive, on-going, supports dialogue, reflection, decision making at department and programmatic levels as well as organisational-wide levels (Torres and Preskill, 2001). This definition seems to play to the context of college-level and school-level evaluation in UAL, where potential evaluators are on the ground, are already participating in levels of reflection and dialogue and are taking into account the processes – the learning is there but not fully documented so not always useable by others.

The **dissemination** of information for learning is an important aspect of organisational learning. In formal evaluative processes, driven more by the need for accountability and governance, evaluation is seen as specialist work in part because of the need for lack of bias (Picciotto 2013). However, the problem here is that the learning from the evaluation is limited as it is focused on providing information at specific times to decision makers;

instead, evaluation, especially if adopting theories of change approaches, can connect knowledge with strategy, doing so in real time so learning can happen. Organisational learning is important for sustainability, building growing understanding of issues and considering transformative processes from the point of view of that knowledge (Thomas et al., 2017).

Evaluative culture, capacity & people

This, together with notions of evaluative mindsets mentioned earlier, starts to bring together concepts for developing an **evaluative culture**. While in some circumstances evaluative culture might have negative connotations as representing a culture that is focused on monitoring and scrutiny, if one is building on a concept of evaluation that aligns to pedagogic practices and strategies for change, then a culture of evaluation can be a **productive and learning space**. Embedding evaluation in the culture supports an evidence-informed programme of teaching and learning actions (Thomas et al., 2017). The second of the guiding principles of QAA 2018 UK guide on monitoring and evaluation is to normalise these activities (QAA, 2018:4): as Stewart says, *'Organisations with a culture of evaluation and research deliberately seek evidence in order to better design and deliver programs.'* (2014:1).

There are two aspects to what might be termed an evaluative culture – first recognition of **processes** that are required and the **embedded** within an organisation; second **capability and capacity** of people doing the evaluation. Methods, frameworks and tools – in other

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words the processes - are covered widely in the literature (Sun et al., 2022). What is less overtly addressed in the literature are those undertaking the evaluation. There are discussions in the literature of professional and formal roles of evaluators as well as recognition of evaluators and evaluation designers as a specific role in funded academic research projects. This is different from the on-going evaluative work of teaching staff. At times teachers do not always feel they can be self-evaluators (McGee et al., 2013:6) partly due to a need to recognise that evaluation is not strictly the same as pedagogical research. The evaluative mindset can lead to a more distributed way to think about evaluation.

People within an evaluative culture

When considering the people involved in building an evaluative culture, as noted the issues coalesce around two key points: capability and capacity. The staff need to know how to do evaluation effectively and feel comfortable to doing it (to see it as non-threatening, non-technical and doable). They also need to have the ability to do evaluations under the day-to-day pressures they face of lack of time, avoiding layering up more admin. As there is a recognition of the importance of collecting info on small scale projects (QAA Scotland, 2021:8), so proportionality is key as evaluations cannot be too onerous if they are to be done more widely– so devising frameworks that can be used easily by everyone and tailored is an important aspect of a supportive evaluative culture. Training is key and can take time.

A further way to support staff is to ensure **evaluation is built into a process of learning**, to make students feel part of the process and highlight its **value** to them at that point in time as well as to ensure effective dissemination of results. Adopting an emphasis on evaluation

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as participative, sharing responsibility, rather than one of accountability is important (Stern, 2004); this includes empowering staff and students to use data and evidence, (Thomas et al. 2021:12).

Building an evaluative culture

What are the characteristics of an evaluative culture? Stewart (2014) typifies an organisation with an evaluative culture as one which deliberately **seeks out evidence** in order to inform part of daily practice (integral to and valued by the organisation); it also is committed to findings, is systematic in approach, **shares knowledge** and is critical about its activity. There are benefits to this sort of organisation, around gaining skills and confidence.

To do this an organisation needs to build a **regime of evaluation** which can ensure it can capture quality information: this is good, useable data, that is accessible in a variety of ways. Staff also need to have an awareness of using this data (eg through annual reviews), to carry out analysis of the data and disseminate it. Critically, therefore, staff need to be able to do and use evaluation (Nygaard and Belluigi, 2011, Stewart, 2014)

Vengrin et al., typify an evaluative culture as one that *'has transparent practices, high levels of evaluation engagement. High level of use of evaluation, high levels of evaluative training'* (2018:76). The overt recognition of the **value of evaluative processes** makes it important and organisations need to gain buy in from staff who may have had negative experiences of it, with in-house support and organisation (Vengrin et al., 2018). The aim is to have a vision,

reaching a position of **shared values, beliefs and expectations** alongside a defined process that enhances quality (Stewart 2014, EUA, 2006:10 cited by Brennan, 2018): it is seen as a culture of quality and shared learning, and not of compliance. This reinforces the importance of '*collective ownership of evaluation*' (linked to notions of responsibility covered earlier) as well as inclusive evidence gathering methods. (QAA Scotland, 2023).

Imperative of developing evaluative cultures

There is also literature that explores wider imperatives around developing evaluative cultures, connecting it to strategies for institutional change (QAA Scotland, 2021); this emphasises the link between evidence-informed culture and evaluation. Because there is a recognition of the iterative process of capturing and then using evidence, '*providers commit to and prioritise a culture of evidence*' in order to bring about change (Austen et al., 2021) . Thomas (2021) notes that embedding evaluation is key to this, as is the use of theory-based evaluation tools because this maps the journey towards impact and that can be used to assess progress. This is not, therefore an audit culture (Scott 2016) but one that centres the importance of evaluation for a **learning organisation**. Winter et al also note the need for transformational reform of institutional culture to support *links between evaluation and good [teaching]: Cultures need to tackle head on the thorny issue of evidencing student learning.*' (Winter et al., 2017) 2017:1); they need to move beyond traditional modes of evaluation and show that this is particularly important to test things like resilient student learning (Winter et al., 2017).

Conclusion to part one

This first part of the literature review has surveyed theories around evaluation and framework development as well as issues that emerge in relation to quality and understanding. In examining the nature of evaluation within education, approaches like Theories of Change and theory-based evaluation help to create a link between pedagogy and evaluation. What emerges is that evaluation for a teaching and learning context:

- Is a way to learn what works and doesn't work in pedagogy
- Centres on quality enhancement and value creation
- Requires a framework for a consistent and focused process – ensuring the evaluation is effective and useable
- Involves all stake holders
- Requires an evaluative mindset to be most effective in evidence gathering
- Is a shared responsibility, where staff take ownership with a shared vision for why and what they are evaluating
- Linked to processes of sustainable change and development
- Supports organisational learning
- Is participatory and
- Allows experimentation

An evaluative culture manifests these characteristics in a supportive environment, taking evaluation seriously by **embedding evaluative practices and evaluative mindsets**. However how does work in practice? What are the criteria required to ensure an evaluation can be

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undertaken and embedded effectively, given constraints of capacity and capability? How does this relate to the on-going expectations of organisations like the Office for Students that educational intuitions evaluate effectively? Part two will explore how evaluation works in practice.

PART TWO - PRACTICALITIES

Practical frameworks for setting up an evaluation processes

What part one shows is that evaluation is a wide discipline, underpinned by extensive theoretical analyses and a range of frameworks, drawing upon notions of quality, responsibility, mindsets and knowledge building, as well as aligning with strategies for change. This understanding of evaluation is one which is not necessarily very useful for a member of staff who is undertaking a small intervention, maybe just testing one class activity. Yet underlying it is essentially a research process that is familiar to many teachers; it is one which is incredibly useful for developing pedagogical practice, if understood more closely. Evaluation can offer ways to capture information effectively and provide useful benchmarks and processes to **map the activity**; this avoids relying on loose reflection about what worked.

While there are tools (explored later) for collecting evidence, the first step in any evaluative process is to set up a plan for the evaluation. Outlining the overall evaluation then makes it possible to develop the criteria – and from there establish appropriate data collection

instruments. Frameworks like Guskey's as outlined above set out the big picture. The theories of change as we have seen tie evaluation closely to every step of a particular plan of action. While theories of change are relatively big picture too, the aim is to set up a cycle of evaluation that breaks it down at each stage, establishing the criteria which will be used for exploring the effectiveness, or otherwise, of the initiative: the key here is having the frameworks and criteria established at the start.

Part two therefore explores the key elements required when setting up evaluation, looking at it from a more practical angle and identifying from the literature characteristics that should feature in any robust evaluation process. It draws on the specific evaluation approaches presented by education policy institutions who are concerned to help staff understand and set up evaluation properly.

The Office for Students and the evaluation imperative.

Educational organisations have to set up detailed evaluation processes for reporting purposes and they offer approaches to establishing criteria at the start. The Office for Students for example reinforces the importance of evaluation, providing practical frameworks and guidelines that can be adopted to assess teaching and learning initiatives. They have a model that reflects theories of change and evidence-based actions – with evaluation as the third stage in the cycle, together with learning and sharing, as reflected in figure 2.

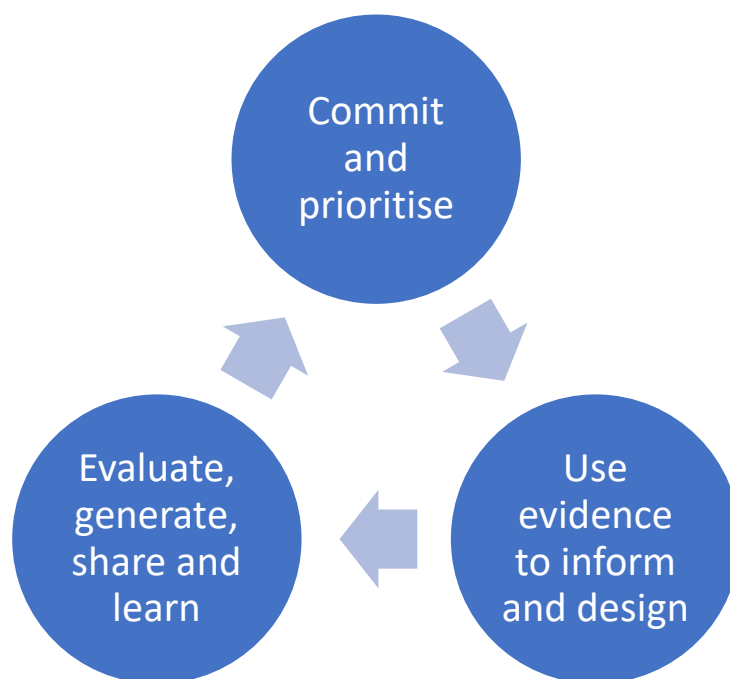


Figure 2 The Office for Students model to achieve outcomes

The Office for Students is particularly invested in evaluation as one would expect. It has a number of areas that it prioritises, such as equality and the design of impactful programmes. They have their own set of indicators for these, articulated so that HE providers can align with them, and they have strategies in how to achieve them. Because of this they recognise necessity of helping HE providers evaluate effectively, in particular to support APP plans; their guidelines aim to help providers undertake robust evaluation of their programmes and strategies with a view to reporting their impact. They also have strategies in place to support institutions to share best practice, to make better use of data and to establish consistent frameworks for funding initiatives, (Office for Students, 2023). To this end they have created a self-evaluation tool for institutions with a focus on setting standards for evaluation. They present three types of standards for evaluation. These take rather different angles on the process of evaluation and centre on different sorts of

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evidence : type 1 a **narrative, theory of change**-based approach to reflect on evidence to support decision for change ; type 2 is **empirical data** whereby there is specific testing of activities with qualitative or quantitative data and type 3 **causality** – where the impact evaluation must involve a control group in order to identify causality directly (which is perhaps the most difficult to achieve). These are explored in some depth in the UAL access and participation evaluation report (Thomas, 2022). Of particular note are the claims you can make using the evidence you have, depending on the type of evaluation you do – for example with a theory of change approach you can say you have an *explanation* of what you do which is based on research. Overall the aim is to allow institutions to plan their own evaluative approach around these overarching guidelines, following standards that ensure accountability and learning (Thomas, 2022).



Figure 3 The Office for Students' dimensions of evaluation

The Office for Students is concerned that institutions build evaluative strategies and as such much of their focus is on providing models to help institutions do this. Their dimensions of evaluation (figure 3) are their way for institutions to consider the key stages required around building and embedding an evaluation strategy: starting with **setting strategies**, **through stages of design and implementation of evaluation**, and leading to learning, it is still generally focused the big picture of an institution as a whole: however it reflects a **logical, staged process** in developing an overarching approach to effective evaluation and it shows how central this is in their expectations of institutions.

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The toolkit they provide for self-evaluation is a detailed spreadsheet designed to capture a wide range of information that informs an evaluation strategy (ie it is a self-evaluation about an organisation's evaluative capacity). Each area presents a series of prompt statements (which you agree or not with, some of which are more essential than others), serving as a thorough reporting mechanism. From that a score can be derived. Areas of exploration include things like strategic direction and programme design as well as evaluation design, implementation and learning (here really reflecting organisational learning). These prompts are useful for thinking about how to set up robust evaluation while recognising that evaluation needs to be tied to clear strategies. Within this it focuses on particular aspects such as data and risk. There is an optional section on evaluation activities which provide an indication of how the 3 types of evaluation (noted above) might be evidenced.

While it is possible to adapt it to a local level generally it is more focused at an organisational level; however, the prompts are valuable not only for some insights into structuring and planning for evaluation but also for seeing how the Office for Students understands evaluation – in a detailed, relatively technical and thorough way.

Framework design approaches from the QAA and other professional institutions

While the Office for Students sets out standards for undertaking evaluation and outlines models around becoming a more evaluation-centred organisation, other organisations also provide support with practical advice focused not only at the strategic level but also on how

to evaluate effectively. QAA advice and guidance document (2018) aggregates advice on how to plan evaluations. It establishes guiding principles. It divides out monitoring and evaluation in their model whereby after planning an initiative the on-going evaluation is regarded as monitoring, and evaluation happens at the end; theory of change literature suggests that this approach may now be changing as the **monitoring and evaluation becomes more blended**. Their guiding principles reinforce that an approach to evaluation must be established where objectives are clear, how roles are defined, where they make use of the data effectively and communicate it, and how to do all this in an ethical way.

They offer structure for setting up evaluation to ensure the aims, methods and resources are captured at the start. These stages may be more usefully summarised by the model proposed by Parsons (2017): the **ROTUR process** (figure 4). Although this process is perhaps more engineered than would be required at a more local level, this model nevertheless presents a useful set of requirements and prompts for developing an effective evaluation programme.

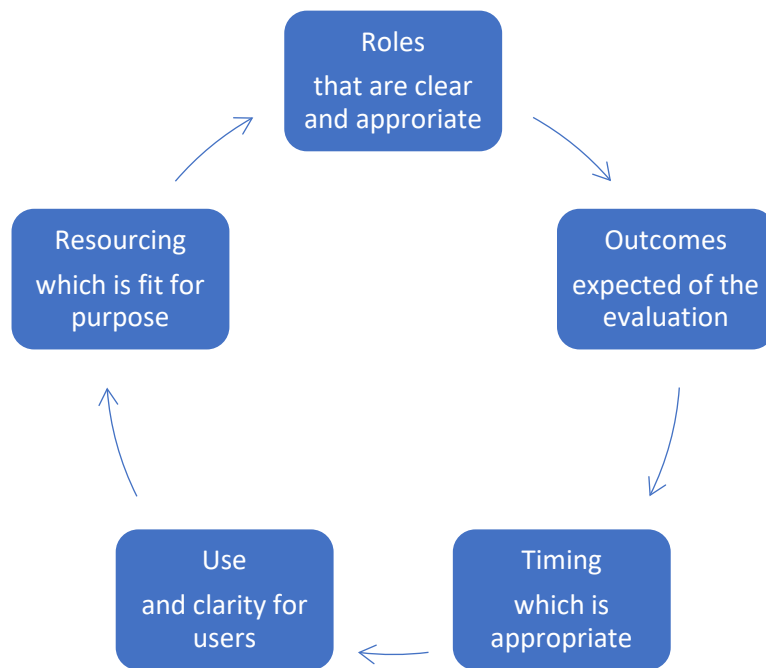


Figure 4 ROTUR approach to evaluation after Parsons 2017

Frameworks laid out by HEA reports such as Evaluating Teacher Development (Kneale et al., 2016) also offer practical applications for HE environments, translating some of the theoretical aspects of evaluation into implementable actions. For example, a further simplified process is presented by the What Works project (Thomas et al., 2017); given that many interventions happen at more local levels this 3 step approach is one that is more directly applicable to a range of situations.

- Stage one covers **planning** to be clear what you are looking for,
- Stage two establishes the way you want to **test** this happens and, after testing,
- Stage three, **uses this information** to evidence the impact.

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In stage one it is suggested a level of theory of change could be overlaid to identify where the innovations or key stages are. Stage two can then adopt a range of primary methods while stage 3 presents and disseminates this information – in order to capture the key aspects that ensure learning for the future, so contributing to the nature of the learning organisation. This highlights the fact that planning is key to designing an appropriate evaluation, linked to what you want to test; rather than testing everything a much more targeted approach is the most effective.

While designing frameworks sets up a focused and consistent approach to evaluation, processes are needed to collect data. Organisations like Advance HE have created toolkits of questionnaires and targeted surveys to help people collect evidence. However, these templates are prepared for evaluating CPD initiatives (such as the HEA report by Kneale et al., 2016) and as such are often quite detailed, as they are focused on teachers; this makes it more difficult to impose on students directly, but does frame ways of setting up evaluation that is meaningful (p5).

What makes an effective evaluation look like – What Works report

The focus of What works (Thomas et al., 2017) is on projects and interventions that try to support retention – trying out a variety of activities that seek to engage students in different ways. Central to the report therefore is the exploration of ways to evaluate these initiatives (and through that, they are able to identify characteristics of effective evaluations). They are concerned to ensure institutions are able to evaluate their initiatives – adopting a theory

of change approach by the mapping of the stages through which participants pass that may lead to retention and success. This sort of cross-institution set of evaluations, using similar approaches while understanding local contexts (p10), enable the what works project to identify characteristics of what will support student learning: they use the critical mass of the evaluations across a series of projects to draw out generalisable ingredients of successful interventions. This sort of practical approach to evaluation leads to a clear and tested list of guidelines (in this case for what makes an effective intervention); however, it requires time for the analysis to be done and data to be triangulated.

When exploring ways to evaluate such interventions specifically, the What Works report outlines the characteristics of a good evaluation and the effects one is looking for from such an evaluation. In particular it discusses what characterises a robust evaluation so that the data can be used for learning and developing. These are summarised as:

- **Mixed methods** evaluations are regarded as very sound
- **Local** activities allow staff to **own the evaluation strategy** – this makes it more useful/useable
- Disseminating impact means that organisations avoid repeating things which are not working – it is important to **understand failures** as well
- **Stronger organisational learning** comes from evaluation, disseminating what is working effectively as we know why they work
- **Time for reflection** is important for all teachers in order to evaluate effectively

- **Timeframe** is extended so the benefits can be considered in the longer term not just immediate impacts and/or projects revisited
- It should be **connected** to the wider organisation (capturing evaluative information could be part of this)

(Thomas et al., 2017)

As can be seen this reflects some of the literature already explored: the nature of a learning organisation for example, as well as devolved approaches to evaluation. The implication here is that staff can take ownership for their interventions through their engagement with the evaluative process (which they design for themselves). It also builds a connectivity between the implementation and the results; as we have seen continually through this analysis, basing activity on evidence is one of the determining factors of successful interventions; in turn the importance of collecting evidence in an effective way is central to setting up the next intervention.

Characteristics

Overall what emerges from the various reports by organisations like Advance HE and QAA is that there are key characteristics for most types of practical evaluation.

Reflection

Reflection is important to these methods and there is emphasis on reflection models and reflective processes to capture qualitative information, (Guskey, 2014; Kneale et al., 2016; Thomas et al., 2017; Trigwell et al., 2012); it is built into the exploration of the initiatives;

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this requires time however, and capturing it in formal ways is important. However, it is also important to make use of information you already have (Parsons, 2017): this becomes meaningful when people reflect on these varied sources of data, undertaking a formal process of reflective analysis.

Qualitative data

Value of **qualitative** data is clearly stated (Thomas et al., 2017:68) and it can be embedded into reporting processes such as annual course monitoring (Thomas, 2021). Quantitative data does not expose students learning processes (Nygaard and Belluigi, 2011) while qualitative data assesses soft or less tangible project outcomes (Guyan, 2020) for example around confidence. This is particularly important where there may be small samples which can be the case with some diversity initiatives for example: qualitative findings therefore are not regarded as less representative. Advance HE specifically provide guidance on how to use it effectively (Guyan, 2020).

Targeted and iterative

The literature throughout reinforces that trying to evaluate everything in one comprehensive way is not very effective, when one is trying to identify what is working or not working. Precision around what one is trying to find out and setting **clear objectives** means the evaluation design is more effective at reaching findings that are useful and will lead to new actions. In very general evaluations one can get information back that is rather generic and loose and so quite difficult to interpret. Hence theories of change approaches and logic chains, as well as evaluation frameworks as shown above, emphasise breaking

things down, testing something specific out and then embedding it into practice, so then moving onto to the next thing in an iterative way.

Mixed methods

While qualitative data is affirmed as robust, throughout the literature there is emphasis on collecting data from different sources, (Beerkens, 2018; Leiber et al., 2015, 2018; Stewart, 2014; Thomas et al., 2017, also creative and credible blog (University of the West of England, n.d.)). This strengthens evaluation: *'hybridisation is a cornerstone of customising evaluation designs and ensuring their appropriateness to different needs and circumstances'* (Parsons, 2017:51). Choice is central to evaluating effectively, understanding what is required and what is already available is central to evaluation design. A **range of evaluative methods** all regarded as robust are acceptable, from questionnaires and focus groups to thematic content analysis and observations; learning journals, peer review portfolio evaluation and role play are also included (Kneale et al., 2016:15).

When building a tool kit therefore, it is more useful for individuals carrying out evaluation to feel flexible, to choose methods that are appropriate for different situations, confident that all these methods are robust. This allows methods to be selected that meet specific needs at a local level (Nygaard and Belluigi, 2011; Thomas et al., 2017). Triangulation of data is time-consuming and yet it is central to an evaluation: *'determining whether students have developed particular competencies requires the triangulation of data collected from more than one source using appropriate instruments and preferable at more than one point in time'* (Nygaard and Belluigi, 2011:669).

Proportionate

A **pragmatic** approach to what is realistically doable and what can be reasonably captured is important as well. This proportionality is particularly noted in developing evaluative mindsets (Austen and Jones Devitt, 2020). Proportionality in making choices is a cornerstone for practical evaluation (Parsons 2017); it acknowledges context and uses existing data evidencing student learning (Healey et al., 2014; Kneale et al., 2016)

Actions-oriented

What is central is that **action plans** emerge from the evaluations – so the link between the evaluation and the process of reflection is important to ensure targets and actions are key outcomes from the evaluation (Guskey, 1999; Healey et al., 2014; Thomas et al., 2017; Trigwell et al., 2012).

Contextual

Context is key for evaluation recognising not just what works but also under what circumstance and conditions things work (Beerkens, 2018; Leiber et al., 2015). Creative environments, for example, often state that traditional evaluation practices (for assessing learning, judging success) can be restrictive in a creative arena (Gunn et al., 2019). Furthermore, within a social constructivist approach, learning is contextual, so it is important to recognise a system of on-going social relations as well as the fact that different students learn in different ways. Evaluation therefore needs to consider context – studying an activity in a classroom in isolation is not as helpful where it does not consider the wider

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setting of the school or university (Stern 2004, Nygaard and Belluigi, 2011). This is also apparent in Thomas et al., which emphasises ‘one size does not fit all’ (2017:10). What is being evaluated must take context into account, to make the results meaningful, ensure effective interpretation of findings and understand the situation in which this learning could then be applied. This also impacts ways to capture evaluative information; one has to consider context to utilise appropriate data collection tools.

Inclusive

Evaluation has to be representative and this can add challenges. Inclusivity here means a variety of things – for example ensuring everyone’s voices are captured (staff and students) and response rates are robust; also ensuring the language is appropriate and understood by all, and that data is captured in a way that make sense for the people providing it (eg in the appropriate format). This might be a matter of time and resource for people to undertake the evaluation, or for them to be evaluated. Avoiding bias and ensuring that the evaluation processes in place are achievable is part of this too; at times this may mean paying special attention to certain groups to ensure well-rounded evaluations, for all participants, both staff and students.

Ethics and quantitative data

This is not the focus of this report but it is important to note that ethical frameworks are central in capturing, storing and using data from people for evaluation: the HEA outlines ethical approaches which must be integrated into evaluative practices.

Notwithstanding the focus on qualitative data, it is important good quality **quantitative** data is captured and made accessible with staff understanding how to use it. This comes up throughout the literature and is part of a toolkit for staff to assess their practice in annual monitoring (QAA Scotland, 2021). Data at UAL is provided by the University's Central Planning Unit and is an extremely valuable resource for staff (though not everyone is confident using it). However, the focus of this research is on actions academic staff at the local level can do, which is most likely to be qualitative. Part three looks more closely at methods for capturing qualitative information.

Conclusion to part two

This section has explored the way frameworks need to be developed in order to implement evaluations within a HE organisation or department. While there are many frameworks that can be adapted as noted above, each institution or local arena can develop its own process and the literature outlines approaches to undertaking that developmental work. However, to ensure it is robust any effective evaluative process should be:

- Reflective
- Qualitative
- Targeted and iterative
- Mixed methods to capture depth and nuance
- Proportionality
- Actions-oriented
- Contextual
- Inclusive and ethical

PART THREE – CAPTURING VOICES FOR EVALUATION

Methods and Toolkits

The blurred lines between evaluation and an on-going action-research style of pedagogic research have already been discussed. Methods for collecting data do not necessarily diverge from other social-inquiry methods but as Winter et al note evaluation is often *'misaligned with academic development themes, particularly around student learning'* (2017:1511). There are many toolkits that have been developed using a variety of robust methods in an attempt to offer new, constructive and flexible approaches to evaluation. Evaluative cultures need to acknowledge and introduce these approaches, recognising that there are processes that are specific to evaluation. Winter et al note that evaluation needs to be implemented with some level of precision and depth to ensure it is effective and leads to change: as they suggest: *'current evaluation methodologies do not effectively exploit the full potential of evaluation data. This calls for transformational changes to evaluation practices'* (2017:1511).

In order to add **robustness** to evaluation then, there are many data collection methodologies presented by institutes and organisations, some more highly technical than others (Leiber et al., 2015 and 2018; Nygaard and Belluigi, 2011). Recent research acknowledges there are many different ways to capture data, including making use of data that is already collected (such as tutorial records or reflective assessments) and formalising

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processes such as peer evaluations. There is also guidance for evaluating different sorts of activities (eg online learning, peer to peer learning). All these are often formulated as **toolkits** – allowing a level of selection and choice, according to context. Templates, for example, help people collect qualitative information consistently and robustly (Thomas, 2021). They can also incorporate existing or naturally occurring data (Thomas, 2021). They include new ways of collecting data: Artworks (2012) for example looks at creative approaches; digital storytelling is a process that tries to help build impactful responses from participants which also help identify what it was that worked about an activity (Austen, n.d.). While the precise methods/tools for collection are, according to Nygaard and Belluigi (2011) less important than the planning, conceptualisation and analysis of an evaluation, nevertheless there has been a proliferation of toolkits, including those to assess effectiveness of evaluation itself and even tools to assess organisational readiness for evaluation (Stewart 2014).

Toolkit design can be challenging – individual organisations are complex and contexts variable, so creating **adaptable methodologies** is difficult; it can be tricky to pin point causal links (Leiber et al., 2018). Toolkits need time and training to implement confidently and can be quite a significant change of activity (Kneale et al., 2016, Winter et al., 2017). As Winter et al. note there is *'a plethora of ideas, frameworks and instruments claiming best practice exist but that take-up of these is inconsistent.'* (2017:1503).

What is increasingly recognised is that people may be designing their own approaches, so the literature offers guidelines to ensure techniques are sound (Jones-Devitt and Austen,

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2021). Austen et al., in a digital storytelling example provide a set of criteria to help ensure methods are robust, even as they are innovative: this ensures evaluative processes are dialogic, empowering, inclusive and ethical: in this sense it is about '*making evidence work*' (Austen and Jones Devitt, 2019, 2020).

What is apparent is that these tools have to **face two ways** – both so that they make sense to participants being evaluated and they are implementable by those conducting an evaluation. In a staff-student situation there will be many types of staff and students, exploring many different practices and actions, so evaluation requires a framework that is flexible and tools that are adaptable. As collecting qualitative data can be quite complex, making the whole process **meaningful** to both staff and students is key. Given that staff will mostly be assessing teaching and learning with students, understanding how to collect and analyse student participation is particularly important.

STUDENT VOICE

Central to the collection of qualitative data in educational environments is the importance of capturing student voices: for many this is a central way to gather data for evaluative purposes (Parsons, 2017) but it can be challenging to do. It leads to a set of understandings about how to work with students that examines not just evaluative practices but teaching and learning practices as well – the two are so intertwined it can be difficult to unpick them. Yet, given the iterative aspect of evaluation and its embeddedness within teaching and learning, it is perhaps more productive to see the two – research and evaluation - as working together in a **pedagogic process**.

This section explores the different relationships staff and students have, seeking definitions for **co-creation and partnership**, before exploring in more detail practical approaches to collecting student feedback.

Student voice and pedagogy

Capturing the student voice is acknowledged as an important part of researching the effectiveness of pedagogies as well as for understanding and reporting on student experience of higher education in more general terms (Cook-Sather, 2020; Ramsden, 2002; Seale, 2009; Tucker, 2013; Wharton et al., 2014). This ‘foregrounding’ of interest in **students’ perspectives** is part of a repositioning of the student within the teaching and learning context (Sun et al., 2022). It also reflects a way to enable and empower students to be part of solutions, around, for example aspects of attainment (Thomas, 2022) and ‘*to capture a range of activities that strive to reposition students in educational research and reform*’ (Cook-Sather, 2006:359). This is not just a way of listening to students, to inform educational planning research and reform; it recognises the ‘*collective contribution of diverse students’ presence, participation and power in those processes*’ (Cook-Sather, 2018 18): in this sense too they are **equal partners** in the evaluation of teaching and learning (Cook-Sather 2018).

Research in the area of student voice looks at it from broadly two angles: the first is the importance of using student voices and participation as a **research method** – and *how to do it* effectively; the second it to show how **valuable** it has been to understand student

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experience in key aspects of teaching and learning - ie showing *how* student voice once collected is useful for our understanding. This is particularly the case with exploring issues around assessment and feedback (for example, Blair and McGinty, 2013; Deeley & Brown 2016, Deeley and Bovill, 2017; McCallum and Milner, 2021; Molloy et al., 2020; Nixon et al., 2017).

Ultimately it is about seeing learning through the learner's eyes (Ramsden 1998).

Listening to students is a way for academics to experience what it feels like to be a student, hearing their voices, as well as to understand more closely their learning and teaching preferences (Therrell and Dunneback, 2015; Wharton et al., 2014); it helps tutors to recognise how student identity and sense of belonging plays a part towards attainment (Sabri, 2017) and to understand issues of accessibility and inclusivity; as assessment and feedback are acknowledged as the weakest link for teaching and learning effectiveness (Deeley and Bovill, 2017) so understanding the **student's experience** of these things is critical. Overall therefore '*Student voice itself is a project of ethical responsibility*' (Taylor and Robinson, 2009: 71, cited Bovill 2016:9).

Student voice and evaluation

Student voice can support the evaluation of specific teaching practices and interventions to test effectiveness – in this case it is focused on understanding what about an activity works and why. Student voice can also be associated with aspects of quality assurance, monitoring benchmarking and accountability, which link to a more performative type of evaluation.

However, student voice can, in itself, be a process for the development of interventions and

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inclusive pedagogies through the embedded evaluations that take place throughout a teaching session – in this way it can **transformative or empowering** (Seale, 2009; Young and Jerome, 2020). This sort of evaluation around enhancement can involve students taking an **active** role (Cook-Sather, 2019) in pedagogic design and testing, though this has challenges – staff can feel vulnerable, students can feel overwhelmed and it takes time and effort to negotiate an inclusive and effective relationship.

These studies, reviewed by Sun et al. (2022), also centre on the more general value of capturing student voices in research – not just to test specific interventions but at the more abstract level of academic pedagogic research (Seale, 2009, Cook-Sather, 2006). Seale however, considers the blurred line between evaluation and research, as not all research is particularly evaluative in nuance: as Seale says *'the majority of the work [into student voices] is descriptive rather than evaluative'* (2009:1) as many articles essentially focus on teaching and learning research rather than on testing effectiveness of specific interventions.

Active students

While student voice is acknowledged as key there is an increasing attention paid in the research to the **learner with agency**: what Sun et al. (2022) note is that there is a the *'shift in how research is framed, from research on [students] to research with students, acknowledging the critical roles of students in making sense of their own experiences'* (Sun et al., 2022:8), reinforcing the research undertaken by Cook-Sather (2018).

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This is reflected in the fact students have shifted over the past decades from being **passive learners to active ones** (Bovill. 2020, Sun et al., 2022:3), though understanding how to be active learners requires some skills development. Teaching in this sense is not a 'delivery system' (Cook-Sather, 2018; Robinson and Taylor, 2013). Students want challenging curricula but ones that make real-world connections (Therrell and Dunneback, 2015:13) and their focus on this when they consider their experience in Higher Education is becoming increasingly apparent.

The student plays several roles. There are many ways in which students are '*positioned in within the HE data landscape: as representatives, stakeholders; consumers; teachers; evaluators and informants; partners; storytellers; and change-agent*' (Trowler et al., 2018, cited by Austen and Jones Devitt, 2019:3, also Bovill et al., 2016; Tsinidou et al., 2010).

'Consumer' is also used and this can appear a loaded term implying transactional undertaking, at odds with educational enterprise. However, stakeholders and consumer are still only two of many student identities noted; and none of these identities are passive.

Where one considers higher education as a **cooperative enterprise then co-creation** can be a key part of this (Bovill et al., 2016). The arenas in which students play more active roles are reflected in the typology Bovill et al., (2016) put forward, one that is used and adapted by other researchers in this field and which, in describing the many facets of the staff-student relationship, include the terms co-researcher, co-designer, consultant and representative.

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With this in mind, the principle of student engagement then is not just about getting student to focus attention on a course or unit, but is a more **active process**: research shows for example that where students have greater agency, where they can democratize assessments and by making them more inclusive they can achieve more (Deeley and Bovill 2017, Sun et al., 2022). This reflects one of many ways in which students can become more closely involved in the **design of their learning**. However, as Nixon et al., (2017) note if students are more active learners then there need to be ways make them active participants.

Co-creation

Co-creation is increasingly cited as a way to encourage student engagement and active participation. Co-creation is a broad concept and used in different contexts (Kaszynska, 2021). As researchers have tried to pin this down within the context of education, one definition states that: *‘Co-creation of learning and teaching occurs when staff and students work collaboratively with one another to create components of curricula and/or pedagogical approaches’* (Bovill et al 2016: 1); the close connection to the learning process here is key. There is recognition, particularly more recently, in the power of co-creation with students (; Cook-Sather, 2019; Deeley and Brown, 2016; Deeley and Bovill, 2017; Healey et al., 2014; Sun et al., 2022) to improve their experience, in areas such as curriculum design, and assessment and feedback processes.

Co-creation implies agency (Kaszynska, 2021) and needs to be meaningful to all those involved. This can give both sides confidence, with co-creation even being called a catalyst

‘to a transformed sense of self and self-awareness’ (Cook-Sather 2019:899). In searching for definitions for evaluating co-creation within community projects, Kaszynska (2021) suggests some key characteristics of co-creative activities, noting in particular the democratic, ethical and impact imperatives of co-creation projects. Theories of collaboration and creativity also apply to the extent that diverse voices come together and bring new ideas and enhancements (Hall, 2014).

Further **benefits** of co-creation include engagement motivation, meta-cognitive awareness and focus on identity; it enhances teaching and classroom experience, leads to better, empathetic staff-student relationships, enhanced graduate attributes and inclusivity by understanding and drawing in different viewpoints, (Bovill et al., 2016; Cook-Sather 2019, 2020). However, there are **challenges**: while it can support inclusivity it can also be difficult to ensure co-creation participants are diverse; it also means that staff have to move beyond traditional roles (Bovill, 2020). It can be difficult in evaluating co-creation activities as they draw on many different motivations across different stakeholders and it is important to consider the different connections between why something is being done, how it is being done and what results might be. However, while evaluating something that has many different layers can be difficult, the range of reasons in itself around why it is being done can become the starting point of a framework for evaluation.

Co-creation of value and meaning-making

While co-creative activities provide the opportunity to capture student voices for evaluative purposes, co-creation sets up its own challenges for evaluation. How can co-creation itself

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be evaluated for success? There are multiple-impacts not just for student learning priorities but for the process itself; has being a participant in the co-creation itself had outcomes (in terms of collaborative skills for example)? identifying these benefits and evaluating those can be challenging. Making evaluation meaningful to students remains central, establishing value to all parties is key. By thinking of the reasons for undertaking the co-creation activities (eg for ethical reasons, creative reasons etc,) the value of that action can be assessed – these can form an evaluation framework for co-creation. The contexts of the different co-creators need to be understood and how participants value something – in a way this is meaning making for different stakeholders (Kaszynska, 2021) In an education context students and staff need to establish value and reasons behind the participation, equally and with transparency.

Student partnership

Research also explores partnership with students – with definitions reflecting an **equality** between staff and students, with contributions from each side in a dialogic and partnership reciprocity (Deeley and Bovill, 2017). Cooke-Sather (2018) calls this a form of pedagogic partnership, related to student-centred learning.

Research outlines several **benefits**. Students gain confidence and independence if they are active in their own learning supported via partnership approaches (Deeley and Brown, 2016). While co-creation can often suggest one specific project, partnership is not one thing or activity but an ongoing approach (Deeley and Bovill, 2017) manifest in lots of ways through the course/unit. Research regards this as form of knowledge production in itself (

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(Bergold and Thomas, 2012; Nixon et al., 2017). The value of the student voice **in curriculum development** is that it provides an important lens through which to implement pedagogic knowledge (Nixon et al., 2017 (Brooman et al., 2015). As an example, partnership with students over curriculum design can ensure that staff do not perpetuate irrelevant curriculum, that they recognize context of the student and how to make things relevant while avoiding the **over-stuffed curriculum** (418); it helps people challenge what is being taught and think critically about different forms of knowledge (Bovill and Woolmer, 2019). Further benefits of partnership approaches include supporting inclusivity, aligning values about teaching and learning, and building sense of community and belonging, all of which are beneficial for improving results (Healey et al., 2014).

Limitations in a partnership approach however must be taken into account: Young and Jerome, (2020) summarise several issues that can be found in the literature, from the lack of diversity in students who respond to calls for feedback to a certain distortion that can emerge where capturing the student voices is conflated with surveys that focus on consumer satisfaction (Healey et al., 2014). Nygaard and Belluigi (2011) also reflect on limitation around the quality of feedback from students which can be mixed and which can depend on the collection instruments. Furthermore sometimes capturing student voice has been regarded itself as a process of co-creation but as the 2014 HEA study comments: '*listening to students does not in and of itself constitutes a partnership*' (Healey et al., 2014:15).

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It is important to note that models of partnership with students do not necessarily all relate to evaluating effectiveness (Bovill, 2015). However one can utilise the active engagement of students in the process of their learning for evaluative purposes; as Ramsden says *'in these contexts they understand themselves as active partners with academic staff in a process of continual improvement of the learning experience'* (2008 cited by Healey et al., 2014:24); this has qualities of communities of practice concepts as students and staff come together in the shared process of teaching and learning (Cook-Sather, 2018).

This **reciprocity** is an important part of academic engagement reflecting respect between staff and student – and, while learning in this way is not always 'comfortable', structures can be put in place to enable participation can help this (Cook-Sather, 2019). This opens the way to staff and students to undertake joint negotiation, share responsibilities and develop inclusive and positive relationships (Bovill, 2020: 1026)

Capturing student voices

One of the challenges however is how to **capture representative student voice** in order to draw sound conclusions. There is a growing number of academic studies that look at student voice in evaluating various aspects of teaching and learning where the focus is on how to do it effectively (Sun et al., 2022; Young and Jerome, 2020). Sun et al. (2022) explore this in some depth, examining the different methodologies used to garner student voices – from questionnaires and focus groups to workshops and observations, though they note that these sorts of evaluative research projects are not often longitudinal: teaching and learning approaches established in light of student research are not necessarily tested once

embedded into the classroom work. They argue for the importance of mixed method approaches which allow *'researchers to generate critical insights that would not have been captured otherwise'* (2022:8), recognising in the benefit of more qualitative research processes alongside the more traditional quantitative methods.

Gaining **authentic responses** can be difficult. Many processes are not always designed along lines that staff are used to working (eg partnership-style conversations) which makes them challenging to implement effectively. Some actions (certain types of surveys for example) can be reinforcing, rather than uncovering what students perhaps really think: situations can be managed so that they *'re-describe and reconfigure students in ways that bind them more securely into the fabric of the status quo'* (Fielding, 2004: 302 cited by Young and Jerome, 2020:2). There are other **challenges** such as problems of representation, of active silences, or regulatory demands and codified processes (Canning, 2017). Cultural tensions and power imbalances inherent in this add complexity (Cook-Sather, 2019). There are also challenges of evaluating student activity which have soft impacts such as self-confidence self-efficacy, thinking differently, willingness to change (Spowart et al., 2017).

Nevertheless, it is hoped co-creation as an evaluative approach will avoid to some extent the problems identified by Seale whereby evaluation with students can sometimes be a one-way, teacher-centric relationship (2009:1000). There are also modes that do not have to go all the way to the level of partnership but which have value: studies show the value of student involvement in curriculum development by way of enhanced dialogue, which may

fall short of full partnership, but which still build **valuable relationships** (Brooman et al., 2015, Nixon et al., 2017:10).

With these issues in mind this study is interested to explore both **what methods** are effective when researching with students, as well as **ways to work** with students to co-create evaluation techniques; this idea is to design and use methods that are meaningful to students, while providing effective data for staff developing their courses.

Methods for student voices

The problems with surveys

One default way to capture student voice is through the survey. Throughout the research there is consistent commentary on the nature of traditional survey-style approaches to evaluation (or 'happy sheets' (Spowart et al., 2017)). These are methods can be '*blunt and limited snapshot instruments*' (2017:361) and can only capture a brief reflections of a particular moment in time (Chalmers and Gardiner, 2015 cited by Spowart et al., 2017).

Course evaluations of this sort do not provide the in-depth research that explores students' perceptions of the purpose of the differing learning environments they are exposed to (Burke et al., 2005, cited by Wharton et al., 2014).

Surveys are already biased to those who decide to fill them in (which can be positive or negative) and can lead to a level of homogeneity (Sabri, 2013). Survey fatigue among students is a well-known problem. This reduces responses, but the need to be

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representative and have robust response rate is important for staff to be confident if the findings, (Nygaard and Belluigi, 2011; Tucker, 2013). Furthermore, it often tests expectations of students more than experience and learning (Nygaard and Belluigi, 2011). There is an implication that the necessity of capturing some sort of evaluative information sits behind these sorts of traditional but limited approaches: *'The current focus on using questionnaires immediately post-event to establish participant satisfaction generates unreliable and largely irrelevant data with which the sector is trying to respond to increasingly pressing and specific questions about value and impact.'* (Winter et al., 2017:10).

While they are time and cost effective, questionnaire information is not often formally triangulated with other data nor can it capture much qualitative information, though standardization can be useful for comparison purposes. Questionnaires do not naturally enable a deep level of imaginative thought or complex recollection of events- questionnaires (Artworks Creative Communities, 2012). Lack of benchmarking is also significant as end of unit surveys do not link to any capture of information at the start of unit either (Spowart et al., 2017)

As Nygaard and Belluigi (2011) discuss, the link between improvement is dubious as the way students learn is not really unpicked in them – rather it reveals more about whether they like a particular teacher; as such it is not decontextualized. The focus is on students and less on learning processes; this means they are not especially useful for evaluations around interventions and specific pedagogic practices nor for wider learning gains;

Qualitative approaches

So the question is, what methods to capture student voices do work effectively? If the aim is to pin point what works and what doesn't then more involved processes are required. As Tucker notes '*the quality of learning and teaching should also be based on multiple sources of information*' (2013:8). The research shows that **reflexive approaches** offer a **more holistic** approach to evaluation, where there is the opportunity for **dialogue**: focus groups and interviews, which lead to more nuanced findings ((Spowart et al., 2017) are arguably more useful and useable. Effective methods of evaluation are essentially qualitative and semi-structured as they can probe and get more depth; meanwhile mixing a variety of different approaches provides more types of data that can enrich understanding of the student experience and so get closer to learning what needs to be done. Combining different methods supports a holistic view of evaluating with students, triangulating outside experiences with staff and student voices –avoiding one-directional research.

However, there is a recognition of the **challenges** of doing mixed methods, iterative data collection effectively, given the sheer amount of evaluation going on and the exhortations of articles to do more (Sun et al., 2022). There is a proliferation of ways to garner student voices – from providing various mediums of participation (Seale, 2009) to reflections aligned to Gibbs (1988) (McCallum and Milner, 2021) which can lead to confusion or saturation.

However, there is an acknowledgement that different existing sources of information can be used (eg in-class discussions) and that they do not have to be consistently applied across all evaluations, though that requires some level of analysis using thematic coding (Braun and

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Clarke, 2021). This can avoid problems with **survey-fatigue** for example as data already exists. The fact that this is not a linear model can be beneficial – as the nature of evaluation as we have seen from the frameworks above can be iterative.

What is noticeable in the research is that students are not often asked about their experience of the evaluation process itself. The challenge is not to overload students with yet more requests to capture their experience; students express ‘voice fatigue’ (Seale, 2015:404): they can be continually consulted and required to report back on their experiences and the benefit for them may be less obvious or only be a benefit for a future cohort. Ensuring the evaluation is meaningful for students is important while varying means of data collection to keep it interesting and stimulating.

Other methods of evaluation

Co-evaluation

Qualitative methods mentioned already are generally well-known and established processes of social-science enquiry. There are other more specific methods that should be mentioned.

Participatory evaluation is a method of evaluation that has emerged out of projects with local people, groups or communities at the heart of the evaluation process (STEER, n.d.).

The benefit here is that it can be more sustainable, strengthening partnerships or relationships. One approach, as an example, is talking with prompts and facilitating natural conversations (Emadi-Coffin, 2008), though it needs a level of training to participate in it most effectively, ensuring honesty, good listening and respect. The expectation is that

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better consultation will lead to better outcomes and active involvement leads to empowerment of stakeholders.

Co-evaluation of this sort has been tested in HE environments. Bovill (2015) presents a case study that engages students specifically in **designing the evaluation** – though this is quite an involved process. What emerged in this case was that students identify things to learn that are not necessarily things that staff had thought to evaluate (such as usefulness of reading list) which is valuable insight. There may be a simpler approach to co-evaluation design than this as this is quite involved so it is difficult to replicate widely; instead there may be an approach is more facilitated and structured, but still involves students.

Formative assessments

Another method for capturing student learning is making use of formative assessments as staging posts (Braun and Clarke, 2021). Students can feel the regular formative assessment effective at: helping them learn to monitor their own progress; encouraging further study; and increasing a student's perceived level of learning and understanding. Staff get sense of progress, and while this is ongoing activity, it can nevertheless be used as information suitable for evaluation.

Friendship conversations

This is a method outlined by Heron (2020) that allows students to converse more informally by talking to each other. It is designed to avoid students feeling over-surveyed. In this they have open conversations with each other (rather than with staff as mentioned above), using

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prompt cards, which are recorded and analysed afterwards. Conversations are ‘privileged insight’ (2020:399). There are benefits of students reinforcing and motivating each other with a kind of peer learning; it builds a sense of belonging because participants are *‘supportive and reflective of each other’s circumstances’* (2020:399).

In Heron’s description it is noticeable a lot of other aspects emerge as well as specific feedback on a particular point of learning: staff can see how students interpret words (eg on prompts), how they prioritise (what cards to do first) and how they articulate their journey (the order they do the cards in – eg where does employability go).

Creative evaluation

Creative evaluative approaches encompass a range of tools that take alternative approaches to capturing learning and experiences – perhaps to accommodate the type of learner or the context of the activity. These are frequently developed in community engagement and charity sectors where they may be dealing with complex groups of people or may need in-depth information to assess impact without burdening their participants overly: *‘Creative evaluation uses creative tools and techniques to make an evaluation accessible to a wide range of people.’* (STEER, n.d.). Austen et al. note further that this can in itself make the activity more attractive, as well as providing more accessible approaches for a variety of different participants, with different learning approaches. These can often be used as a way to evaluate creative activities which can pose challenge when evaluating something that may have a less tangible, more subjective outcome: (Gunn et al., 2019; Thomas, 2021:54).

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Creative evaluation can take many different forms: it can involve activities and props, some of which are generally likely to be beyond the realm of HE (using rubber ducks for example was more directed to evaluating with children). However, what these methods can do is provide opportunities not just for accessibility but for uncovering unexpected things – which straight forward questions in a questionnaire do not always uncover (Artworks Creative Communities, 2012). These might include writing poems, singing songs, scrapbooking, gamification methods (eg circle games and prioritising games), acting, mapping and drawing and symbols, digital story telling. This can also include ways to quantify responses (eg via symbols). Not all are suitable for a typical HE teaching and learning setting but can still provide inspiration around more creative ways to capture data.

The main concern for those in this arena is to ensure approaches are **robust** (STEER, n.d.; Artworks Creative Communities, 2012; University of the West of England, n.d.) engaging with the challenge of making evaluation attractive to encourage participation, while capturing the sort of data they require. These creative tools can be fun and engaging, but they also they need to be properly facilitated (Artworks Creative Communities, 2012), tangible and in that end storable: this means they have to be conducted effectively: *‘Some gain really rich participant centred feedback but require a high level of skill from the facilitator or need specialist resources’* (Artworks Creative Communities, 2012). The same overall principles around setting up an evaluative framework apply here in terms of creating a **reflective event** that is also designed to capture evidence. Whatever creative approaches you take you need to take note of the event itself as an evaluative place, consider how to present the

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evaluative data and assign value (maybe through discourse analysis approaches for example): this framework ensures a robustness.

What sits at the heart of creative evaluation tools is ensuring that they engage participants in a level of reflection on their own knowledge, as Artworks states: *'to enable participants to engage in understanding and share their feelings and opinions in a reflective manner. It gives guidance on how the material gained through creative techniques can be used to prove the value of [the] work.'* (2012:4) This linkage is important, as it is a way to make evaluation **meaningful** to participant as well as to those running the project.

These further methods of evaluation provide examples of thinking more widely about where evaluative data can sit when dealing with students, whether through existing activities such as formative assessments or by developing specific activities that help to get richer information from students in more natural ways. What they share is the fact they help to make the evaluative process meaningful to students own learning journey while gathering important data to inform staff.

Staff voices

The literature around student voice is extensive, whether capturing it in terms of evaluation of student experience and learning, or terms of co-creation of active learners. As shown literature looks at the way student voice can be heard, as well as how it has been used to evaluate the interventions that are focused on engaging students. It covers the limitations and challenges of capturing student voice and explores how partnership approaches lead to

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shared value creation. This literature, as we have seen, also includes acknowledgement of the challenges faced by staff undertaking co-creation and partnership activities in general and specific of capturing student voices to use for evaluation.

However, the literature is less extensive when exploring the way staff feel about evaluation and the challenges they face. Cooke-Sather (2019) pays some attention to this, acknowledging where staff can feel like their voices are not always heard in certain aspects of policy. If co-creation is defined as *‘a collaborative, reciprocal process through which all participants have the opportunity to contribute equally, although not necessarily in the same ways, to curricular or pedagogical conceptualization, decision making, implementation, investigation, or analysis’* as outlined by Cook-Sather (2014:9) then the other side of the partnership, the staff, must also be respected. This reflects not just the need to work closely with students (in terms of their involvement with and participation with evaluation) but also the centrality of recognising the voices of the staff too – so that their voices and reflection are heard as part of the evaluation rather than separate to it.

In her article Cook-Sather suggests that staff become more **confident** about their pedagogic philosophies when they have had conversations with students; while it takes some experience to undertake **pedagogical partnerships** in the first place, it allows staff to develop their own voice as they understand diversity, develop ways to discuss inequality and construct equitable classroom approaches (Cook-Sather 2019:891). As she notes, this is aligned to Freire (1996) to speak by listening. Respecting staff voices is part of the 2-way

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construction of the staff/student relationship and so this research is interested to explore what staff feel about evaluation.

Staff voice also forms the cornerstone of the evaluative process – as Nygaard and Belluigi, (2011) note, self-evaluation as key also to triangulate data. **Reflection** is a valuable skill (Schön, 1992) and the value of reflective practice is well documented, building on the four lenses outlined by (Brookfield, 2017). The reflective process is a way to capture evaluative data; it builds on evidence through reflection and analysis, and is a form of evidence itself. Studies also indicate that group self-evaluation (among staff) can be effective and Brookfield (2017) highlights the value in engaging with peers for problem-solving and support: activities between staff lead to *'creation of networks and cooperative interactions'* (Fernández Ruiz and Panadero, 2023:2) though sharing best practice can be difficult to do consistently.

The task of self-evaluation as Nygaard and Belluigi, (2011) point out avoids it becoming an administrative or non-creative part of teacher's role. However, it is important to allow for staff to take a more active role in the evaluative process. As Nygaard and Belluigi say *'encourage teachers to claim the right to valid, rigorous and creative approaches to the evaluation of their courses and teaching'* (2011:670). This links back to the importance of **responsibility** in teaching and learning as explored earlier.

Concluding thoughts

This survey starts with an exploration of definitions of evaluation and concludes with a survey of more general aspects of working with students in co-creation and partnership ways in order to capture student voice effectively. The overall aim has been to present a comprehensive survey of the key elements of evaluation including:

- Tensions between different theoretical standpoints
- Definitions of evaluation suited to HE
- The value of evaluation to change strategies
- Specific issues in relation to evaluation in HE settings – including issues around frameworks, responsibility and stakeholders
- Notions of evaluation for knowledge building, quality enhancement and continuous improvement which are particularly suited to local level HE settings
- Ways to develop frameworks and required characteristics for establishing effective evaluation
- student roles, co-creation and partnerships
- Methods and toolkits for data collection
- And the importance of staff voices.

Evaluation is a vast area and as such the literature survey is somewhat sprawling to encompass the many strands of evaluation as a discipline, but overall it has led to in a closer understanding of:

- What an evaluative culture and evaluative mindset could mean – an approach that is centred on learning and developing while being robust and formalised

- The importance of evaluation for continuous improvement and iterative approaches to pedagogy
- The centrality of evaluation to a learning organisation (ie an organisation that sees itself as learning and improving)
- The adaptability and proportionality of evaluative frameworks to build sound but flexible approaches to evaluation
- The way students and staff can be engaged in this process to ensure its effectiveness and durability

As Parson says: *'At its heart effective evaluation is about the quality of choices made in balancing realistic expectations and needs of it with judgements about focus, scope and methods.'* (2017:1), stressing the importance of appropriate, adaptable approaches that are sensitive to context while remaining robust. Above all the literature shows that evaluation is central to an effective organisation and it can be designed and implemented as a positive influence which empowers those involved in it.

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