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【Research Note】

Graduate Education 1: Evaluation Education in the United States: Can Evaluation Be a Discipline?

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Abstract

The purposes of this study are to understand how evaluation education program is different from other programs and to make clear the general structure of evaluation education programs which might be generalized globally. I examined and categorized the courses offered by 48 evaluation education programs in the U.S. that LaVelle and Donaldson have identified (2010). Then one doctoral program and one public policy program are reviewed in order to make clear new aspects of evaluation education program as a start-up discipline.

Keywords

Evaluation education, Evaluation-specific logic, models, methods, public policy analysis

1. Introduction

Evaluation education at graduate school is one of the hottest topics in the field of evaluation. It is frequently observed that evaluation had emerged as one solid academic discipline in the last few decades. The purposes of this study are to understand how evaluation education program is different from other programs and to make clear the general structure of evaluation education programs which might be generalized globally. For these purposes, I examined the scene of evaluation education at graduate schools in the U.S.. This paper consists of four parts. First is the overview of graduate programs in the U.S. based on the past studies. Second part is the overview and examination of one of the most solid evaluation education programs, Interdisciplinary PhD in Evaluation at Western Michigan University. Third is the comparative analysis of this new discipline (evaluation) and a traditional discipline (public policy analysis) in order to make clear the difference between them. The last part is the discussion about the future of this new discipline and the future prospect of evaluation education.

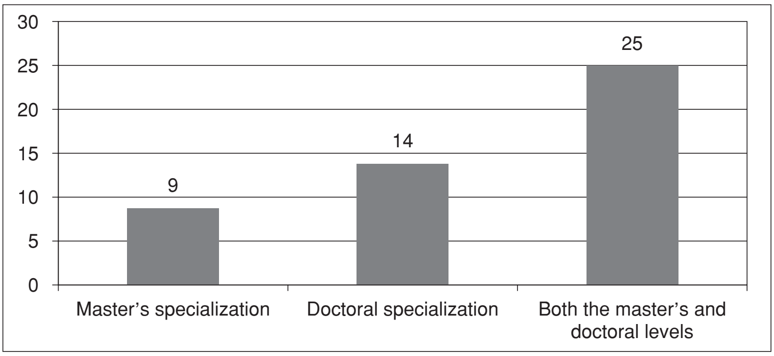
A few notes should be mentioned. This study is based on the past contribution of other researchers as many researchers do. Also, this study is heavily based on the author's personal experience including study experience in the doctoral program at Western Michigan University and the master's program at New York University. It would be safe to say that this paper is just a start and offers a basis for discussing how we make progress in our endeavor for evaluation education in the future.

2. Current trend of evaluation education in the U.S.

LaVelle and Donaldson (2010) recently made one excellent review of the evaluation education programs at U.S. graduate schools. They identified 48 graduate programs by using very systematic internet search. Some of their conclusions are as follows (LaVelle & Donaldson 2010, p.15).

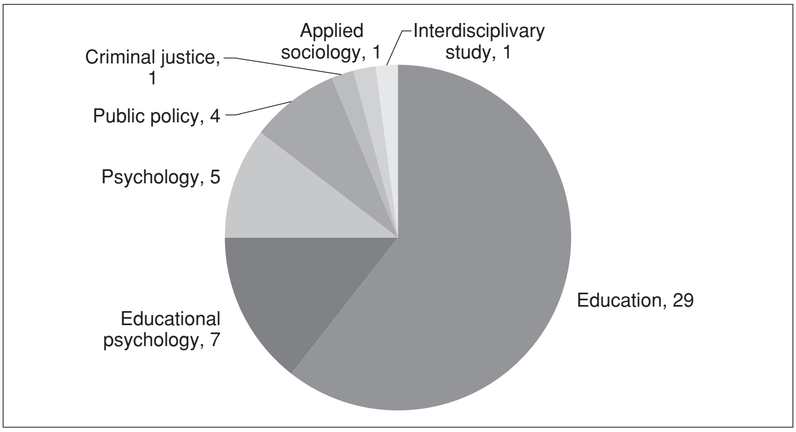
- 9 programs offer a master's specialization only (18.8%), 14 offer a doctoral specialization only (29.2%), and 25 offer specialization at both the master's and doctoral levels (52.1%)[1]. (See Figure 1)
- More than half of the programs are taught in schools of education (n=29, 60.4%), while others are taught in schools of educational psychology (n=7, 14.5%), psychology (n=5, 10.5%), public policy (n=4, 8.3%), criminal justice (n=1, 2%), applied sociology (n=1, 2%), and interdisciplinary study (n=1, 2%). (See Figure 2).

Figure 1 Level of evaluation education at U.S. graduate schools (n=48)a



Source: Data are adapted from LaVelle and Donaldson (2010)

Figure 2 Schools hosting evaluation education at U.S. graduate schools (n=48)



Source: Data are adapted from LaVelle and Donaldson (2010)

- 3 programs are regarded as "large" programs offering more than 7 evaluation-specific courses; 14 are "medium" programs offering 4 to 6 evaluation-specific courses; and 30 are "small" programs offering 2 or 3 evaluation-specific courses[2]. The study does not count programs offering only one evaluation-specific course, which numerous and various schools and departments do, such as education, health, social work, public administration, and international development.

Since the number of graduate programs has increased compared to the past similar studies[3], LaVelle and Donaldson make a conclusion at the end of their paper (p.21) that "By all measures, evaluation is a growing profession and many universities are now involved in the preservice training of evaluations".

In addition, I tried further analysis based on the list of evaluation-specific courses that LaVelle and Donaldson have identified. Based on this, I set general categories of courses[4] as *I. Foundation; II. Models and approaches; III. Methods; IV. Applications (subject-matter); V. Applications (field experience); VI. Advanced seminars; and VII. Others.* Sub-categories are set under those seven categories. The numbers of courses for each category and associated sub-category are presented in Table 1.

Table 1　Categories of courses offered by evaluation education

I. Foundation	(9)
● Introduction of (program) evaluation	5
● Foundations of (program) evaluation	4
II. Models and approaches	(45)
● Evaluation models	6
● Evaluation theories	9
● Evaluation methods (general)	6
● Program evaluation	17
● Program evaluation (advanced)	7
III. Methods	(23)
● Evaluation designs / procedures	5
● Measurement and evaluation	8
● Qualitative evaluation / methods	2
● Quantitative evaluation / methods	1
● Cost-effectiveness	5
● Needs assessment	2
IV. Applications (subject-matter)	(25)
● Evaluation of social programs	3
● Evaluation of health programs	1
● Evaluation of educational programs	16
● Personnel evaluation	5
V. Applications (field experience)	
● Practicum / Capstone	18
● Internship	6
VI. Advanced seminars	(19)
● Seminars / Workshops	19
VII. Others	(20)
● Others / Unable to be categorized	20
Total number	(165)

Source: Data are adapted from LaVelle and Donaldson (2010)

Several difficulties were found during this categorization work.

- Foundations of evaluation is so-called the 'pure' part of the discipline. It should offer definitions of the central concepts of evaluation (e.g., what is 'evaluation'?; difference between evaluation and research; and common procedures for evaluation). This is the essential part if a field is to be called as an academic discipline. However, it is not clear whether such topics are taught in the courses named "introduction of (program) evaluation". If these courses teach just an overview of the entire degree program, they do not deserve to be called as a foundation. It means such programs lack 'core' or 'pure' part of the discipline.
- I categorized courses titled 'program evaluation' as *II. Models and Approaches*. 'Program evaluation' courses are offered at many schools and often divided into two levels, Basic and Advanced (or I and II). Also, it is expected that there are great varieties and diversities in contents offered by different courses under this single name. Some courses offer foundations (as explained above) and models/approaches if the instructor uses model-oriented textbooks (e.g., Owen (2006); Fizpatrick, Sanders & Worthen (2004)). Others purely offer designs and procedures for evaluating 'programs' if the instructor uses method-oriented textbooks (e.g., Bingham & Felbinger (1999) and textbooks influenced by the tradition of Campbell and Stanley (1966)). It is difficult to distinct them by only names of courses.
- Only one course is counted as 'quantitative evaluation/methods'. However, it is generally recognized that most evaluation education programs require students to take at least one quantitative course for the completion of the program. It is understood that those courses do not include the word 'evaluation', and instead, they are offered under different names such as 'basic statistics' or 'statistical data analysis'. They are not captured in the procedure taken by LaVelle and Donaldson because they identified only courses whose titles include the word 'evaluation'.

Although the above concerns exist, the categorization indicates a kind of common structure of evaluation education programs. A need for further research clearly exists, and it should conduct in-depth analysis of respective evaluation education programs.

3. One solid exemplar: Interdisciplinary PhD in Evaluation at Western Michigan University.

It is quite difficult to understand the actual contents if we examine only titles and brief description of respective courses. Fortunately, the author (Sasaki) has completed one of the most solid evaluation education programs, the interdisciplinary PhD in evaluation organized by the Evaluation Center at Western Michigan University. Thus, I will explain what the program actually offers and degree of achievement of its goals.

As a start, let us see the stated mission and the officially offered course structure. First of all, the mission of the doctoral program is defined as "to develop evaluation scholars and practitioners who have deep knowledge of evaluation theory, methodology, and practice as well as superior critical thinking and problem-solving skills". In short, it states that the program will develop and nurture 'thought leaders' in the field. Secondly, the course structure is presented in Table 2.

The first and core of the program is *Foundations of Evaluation* under the cluster of *I. Evaluation.* This course is designed to provide an overview of both past and contemporary perspectives on evaluation theory, method, and practice. Topics include: fundamental evaluation concepts and definitions; the basic logic of evaluation; distinctions between evaluation and applied social science research, and evaluation-specific methods.

I observed quite many evaluation scholars, including some well-known scholars, fail to answer the difference

Table 2 Course structure, Interdisciplinary PhD in Evaluation

Name of Program: Interdisciplinary PhD in Evaluation, Western Michigan University	
I.	Evaluation competencies
	< Interdisciplinary evaluation courses>
	● Foundations of Evaluation (1 course)
	● Interdisciplinary Seminar in Evaluation (1-3 courses)
	● Practical Evaluation Experience (3 courses)
	< Evaluation-related courses offered by other graduate schools)
	● Program / Intervention Evaluation (1-2 courses)
	● Social, Political, and Cultural Context of Evaluation (1-2 courses)
	● Specialized Evaluation-Related Courses (4-6 courses)
II.	Research Methods
	The following courses are the ones the author (Sasaki) selected and completed.
	● Research Design (ANOVA)
	● Small ‘N’ Research Design
	● General Linear Model (GLM)
	● Qualitative Research Methods
	● (Two transferred courses from my master's completion)
III.	Cognate Areas
	Students choose one area and make specialized expertise. Possible cognate areas include:
	● Health
	● Education
	● Social work
	● International development
	● Organizational change, etc.
IV.	Dissertation
	● Doctoral Dissertation

Source: The Evaluation Center’s website (http://www.wmich.edu/evalphd/) and the author’s experience.

between evaluation and research, or the difference between evaluation and policy analysis. Some people explain that evaluation is applied and research is basic, and some others explain evaluation is retrospective and policy analysis is prospective. Those distinctions are relative nature and fail to make clear the difference between them. Evaluation is defined as determination of values (i.e., merit, worth and significance) of things. Thus, evaluation consists of two premises; (i) factual premise and (ii) value premise. In other words, evaluators should identify what the fact is and then make a value judgment based on the identified fact. Needless to say, several broader definitions have been proposed, but it is now generally agreed that something like value determination is the core of evaluation. Shadish, Cook, and Leviton published a landmark book of the field (1991) and introduced seven pioneers in the field. This work of Shadish, Cook, and Leviton followed the historical development of the field. They carefully reviewed the works of seven pioneers in the field of evaluation. They are as follows.

In this book, they clearly concluded that “nearly all the theorists in this book agree that evaluation is about determining value, merit, or worth, not just about describing programs” (p. 49). This was stated more than twenty years ago from now. Based on this fundamental definition of evaluation, various basic logics of evaluation and evaluation-specific methods are taught in the course of *Foundations of Evaluation.*

Then students take the second course, *Interdisciplinary Seminar in Evaluation,* which provides major debates and the current themes in the field. The third course, *Practical Evaluation Experience*, asks students to take opportunities to actually conduct an evaluation. A group of students conducted an evaluation of an international

Table 3 Stages in the evolution of theories of evaluation

Stage one theories: Bringing truth to social problem solving
Scriven, M.:The science of valuing
Campbell, D. T.: Methodologist of the experimenting society
Stage two theories: Generating alternatives emphasizing use and pragmatism
Weiss C.H.: Linking evaluation to policy research
Wholey, J.S.: Evaluation for program improvement
Stake, R.E: Responsive evaluation and qualitative methods
Stage three theories: Trying to integrate the past
Cronbach, L. J.: Functional evaluation design for a world of political accommodation
Rossi, P.H.: Comprehensive, tailored, theory-driven evaluation－A smorgasbord of options

Source: Shadish, Cook & Leviton (1991)

NGO's projects in Africa while I was taking this PhD program.

The PhD program asks students to take *evaluation-related courses* of other graduate schools of the University. They include sector-specific evaluation courses, such as evaluation of health programs, education programs, social work programs, and international development.

The second cluster is *Research Methods.* Under this cluster, students should take a set of courses in research methods. As previously explained, evaluation consists of two works; factual premise (fact identification) and value premise (value determination). This cluster is expected to contribute to the former, fact identification. This cluster equips students with solid knowledge and social science research skills. It includes both qualitative and quantitative knowledge and skills. These courses are offered by related schools of the University, including School of Education. The author took two advanced statistical courses, Research Design (ANOVA) and General Linear Modeling (GLM), from the School of Education.

The third cluster is *Cognate.* Under this cluster, students obtain subject-matter knowledge. The subjects include education, health, social work, public administration, international development, engineering and others. As taught in *Foundations of Evaluation*, people become able to conduct evaluation if they are trained in the basic logic of evaluation, but it is risky to offer recommendations, especially macro-level recommendations such as whether the evaluand (=the evaluated program) should be continued or not. In order to offer plausible and feasible recommendations, people should have three kinds of knowledge; subject-matter knowledge, solid evaluative conclusions, and the knowledge about the organization[5]. This cluster partially satisfies these conditions. Needless to say, the possibility that an evaluator generates a good evaluative conclusion increases if s/he has subject-matter knowledge.

Just recently, the program started offering several new courses. One of them is *Experimental and Quasi-Experimental Designs for Applied Research and Evaluation.* This course offers systematic training in the principles of designing experimental, quasi-experimental and, to a lesser extent, non-experimental investigations for applied research and evaluation. Another one is *Cost Analysis*, which provides an overview of cost analysis in evaluation, including cost-effectiveness analysis, cost-benefit analysis, and cost-utility analysis. It seems that these courses offered by the program (not by other schools in the University) fill the requirements for the second cluster (*II. Research Methods*).

4. Comparison of new and traditional disciplines: Evaluation and Public Policy Analysis

It seems that the education program which is the most similar (or the closest) to evaluation education, outside of education field, is public policy analysis. There are more than 120 schools of public administration in the U.S.; they offer PhD or Master in public administration (MPA), and many of them offer specialized courses in public policy. Some offer PhD or Master in public policy (MPP). Annual ranking of such schools with public policy analysis specialization is published in U.S. News and World Report[6].

Fortunately, I have been trained in one of those schools, Robert F. Wagner Graduate School of Public Service, New York University (NYU), which is one of the largest private universities located in New York City. I believe it is a good exemplar for examining how evaluation is different from this traditional discipline.

The courses that I completed at NYU are as follows.

This public policy program is not included in the evaluation education programs identified by LaVelle and Donaldson (2010) because the program has only one course whose title has the word ‘evaluation’ among core and required specialization courses. *Program Analysis and Evaluation* (in II. Required specialization courses) is the one including the word ‘evaluation’.

It is true that I cannot directly compare the program at WMU and the program at NYU because they are not at the same level of education (PhD program and Master’s program). However, it would be worth comparing them for examining characteristics of the newly emerging discipline, evaluation.

One similarity between the examined evaluation program and this traditional public policy program is that they both utilize analytical tools of economics and statistics. They share the same tools and techniques including regression analysis (statistics) and cost-efficiency analysis (economics). Thus evaluation programs and public policy

Table 4 Course Structure of Public Policy Program (Master’s level)

Name of Program: Pubic Policy Analysis specialization, Master of Public Administration (M.P.A.), New York University	
I.	Core courses ● Introduction to Public Policy ● Statistical Methods ● Microeconomics ● Managing Public Service Organizations ● Financial Management
II.	Required specialization courses ● Public Economics and Finance ● Program Analysis and <u>**Evaluation**</u> ● Multiple Regression and Introduction to Econometrics ● Policy Formation and Policy Analysis
III.	Electives (Education, Health, International Development, NPO Management, etc.) The following courses are the ones the author (Sasaki) selected and completed. ● Economic Development ● International Finance ● Understanding World Macroeconomy ● Regression and Multivariate Analysis ● Evaluation of Health and Social Service Programs (Master thesis)
IV.	Capstone ● Advanced Project in Public Policy

Source: Robert F. Wagner Graduate School of Public Service, New York University (http://wagner.nyu.edu/academics/)

programs do not seem much different if we compare only analytical tools offered.

On the other hand, the most important difference is that this public policy program seems not to distinguish evaluation from the general concept of policy analysis. As you see in Table 4, evaluation is regarded as just a part of one specialization course, *Program Analysis and Evaluation.* The textbook I used in this course was *Evaluation: A Systematic Approach 5th edition* (Rossi & Freeman1993). It is broadly recognized that this textbook is under strong influence of Campbell and Stanley's tradition, and the book defined evaluation as "systematic application of social research procedures for assessing the conceptualization design, implementation, and utility of social intervention programs" (p.5). This definition does not touch upon the value determination issue, and this definition might also be regarded as a definition of public policy analysis. The conclusion is that the emphasis of evaluation-specific logic, which essentially distinguishes evaluation from general public policy analysis, is not enough or weak in this program. And this conclusion would be applied to public policy programs in general to a certain degree.

5. Conclusion and limitations of the study

In this paper, I examined and categorized the courses offered by 48 evaluation education programs in the U.S. Then one doctoral program was examined to understand its structure and contents. Finally one public policy program was briefly reviewed in order to make clear new aspects of evaluation education programs. As previously stated, the purpose of this study is to understand how evaluation education program is different from other programs and to make clear the general structure of evaluation education program which might be applied to other parts of the world including Japan. I hope this study contributes to this purpose.

Scriven (1991) once explained 'cores' (= a general set of components) of an educational discipline in his landmark book (p.23). His writing is so sophisticated that it is sometimes difficult to clearly understand. However, in my understanding, the 'cores' he offered are; (i) metatheory, (ii) general theoretical component of the field, (iii) general methodology of the field, and (iv) a little assorted application work.

Evaluation education programs would consist of the following courses if we follow the list of 'cores' of a discipline. It generally matches the list of the categories that I developed in this paper. Needless to say, the difference in levels (doctoral, master's, etc.) should be kept in mind if someone is to develop an actual evaluation education program.

- Metatheory: Foundations or evaluation-specific logics
- Theory: Models and approaches, such as the categorization offered by Fitzpatrick, Sanders, and Worthen (2004) and the categorization by Owen (2006)
- Methodology: Methods or analytical tools, such as statistics (basic and advance), cost-benefit analysis, qualitative methods (observation, interview and text analysis), etc.
- Applied evaluation: Subject-specific evaluation practice, such as educational evaluation, health evaluation, social work evaluation, international aid evaluation, etc.

As stated in the beginning, this study is just a start of establishing general structure of evaluation education that is applicable globally. In fact, this study examined only two graduate programs that the author has completed. It is necessary to study more samples and conduct in-depth analysis for both master's and doctoral programs. Once enough analyses are made, research on general structure of evaluation education program should be re-examined. It would be a long road, but once it is completed, evaluation will be not a 'new' discipline any more but a well-established 'traditional' discipline.

Notes

1 The original text (LaVelle and Donaldson, 2010) indicated 12 programs offer a master's specialization only (18.7%), 16 offer a doctoral specialization only (29.2%), and 25 offer specialization at both the master's and doctoral levels (52.1%). If they are correct, the total number should be 53 (=12+16+25) which is more than 48. Thus the Author (Sasaki) counted numbers by hand again using the table included in original text (Table 2. in P.16, LaVielle and Donaldson, 2010) and concluded slightly different numbers and ratios.

2 If we add all three numbers, the total number becomes 47 (=3+14+30). One is missing, but it was impossible to identify it and the author (Sasaki) decided to maintain the original counts made by LaVelle and Donaldson.

3 One of the past similar studies is Engle, Molly, and James W. Altschuld (2004) "An update on university-based evaluation training," In *The Evaluation Exchange, IX-4*

4 Scriven (1991, p.23) proposed a general set of components which a discipline consists of, as mentioned in the conclusion part of this paper. The categories in Table 1 generally follow his proposal but are further extended, such as the addition of V. VI, and VII.

5 "Macro-recommendations—which are about the disposition or classification of the whole program (refund, cut, modify, export, etc.—which we might be call external management recommendations, or dispositional recommendations)—are usually another matter. These are important decisions serviced by and properly dependent on, summative evaluations, but making recommendations about the evaluand is not intrinsically part at of the task of evaluation." In Scriven, M. (2011).*Key Evaluation Checklist (KEC) [Edition of July 29, 2011]. http://michaelscriven.info/images/KEC_7.29.11.2011.pdf*

6 See the following website for the full list.
http://grad-schools.usnews.rankingsandreviews.com/best-graduate-schools/top-public-affairs-schools/public-policy-analysis-rankings

7 Their categorization is: Objective-oriented evaluation approaches; Management-oriented evaluation approaches; Consumer-oriented evaluation approaches, Expertise-oriented evaluation approaches; and Participant-oriented approaches.

8 His categorization is: Proactive evaluation; Interactive evaluation; Monitoring evaluation; and Impact evaluation.

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【Report】

Consortium of Universities for Evaluation Education and its Impacts on Professionalizing Evaluation in Canada

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Abstract

The Consortium of Universities for Evaluation Education is an unique collaborative partnership of post-secondary institutions, government and the Canadian Evaluation Society in offering *expanded graduate-level evaluation courses and programs for current and prospective evaluation practitioners (CUEE, 2011a)* transforming evaluation education in Canada. CUEE experience is examined to share how a vast and diverse country with limited graduate-level evaluation education opportunities can offer learning options to promote the practice of ethical, high quality and competent evaluation for the betterment of society.

Keywords

Evaluation education, evaluation competencies, consortium, collaboration

1. Transforming evaluation education in Canada

Evaluation education in Canada is going through a transformative experience through the successful establishment of the Consortium of Universities for Evaluation Education (CUEE) - a voluntary association of post-secondary institutions that is committed to expanding graduate-level evaluation courses and programs for current and prospective evaluation practitioners (CUEE, 2011a). CUEE is:

- a collaborative partnership among universities, government and the Canadian Evaluation Society (CES) for the purpose of building capacity in graduate-level education and training in Canada
- a voluntary association of institutions and programs that is dedicated to expanding graduate level opportunities for evaluation education and training across Canada
- part of a multi-organizational strategy to increase opportunities for current and prospective evaluation

professionals to acquire the knowledge and skills required to become credentialed evaluation practitioners. (CUEE, 2011b)

- providing learning opportunities for students/evaluators who are working towards the Canadian Evaluation Society's Credentialed Evaluator (CE) designation in fulfilling the requirement for education and training that can be satisfied by successfully completing a graduate-level credential in evaluation.

2. Need for quality evaluation professionals in Canada

Commissioned by the Federal Treasury Board Secretariat's (TBS) Centre of Excellence for Evaluation (CEE), Cousins and Aubry (2006) conducted a study to identify actionable strategies and options for government to foster advanced professional development for evaluators in the interests of enhancing quality assurance in the evaluation function. As part of this study, Cousins and Aubry conducted a survey of university-based evaluation training programs and options based on internet searches and telephone consultations and found that in Canada:

- *Advanced level university training opportunities leading to credentials* were limited (i.e., no degree programs in evaluation were available across the country; only three graduate certificate programs; one undergraduate diploma program at a community college; graduate study in evaluation offered in universities are often limited to course-level experiences; it is possible for students to complete thesis work in evaluation but only under disciplinary programs such as education, public administration, and applied psychology; etc.)
- *Evaluation training opportunities* were more widely available (i.e., university courses in evaluation and related topics exist on a broad basis, with several universities offering more than one evaluation course within faculties or departments.).

In October, 2006, Treasury Board Secretariat sponsored a national meeting of the federal government, selected universities, and the Canadian Evaluation Society to explore the interest of the university community in contributing to the education/training of the next generation of evaluators.(CUEE, 2008) During this meeting the idea of a Consortium was first raised by university representatives to address the federal government's need to build capacity to educate more evaluators and the CES's interest in professionalizing evaluators in Canada.

A draft business plan for CUEE was discussed in the March 2008 TBS sponsored second national meeting to propose the creation of CUEE with the goal of increasing access to graduate credentials in Evaluation by creating and sustaining opportunities for students and practitioners (in Canada and eventually abroad) to take courses for university credit that lead to graduate credentials in evaluation. This goal was intended to address the problems identified:

- A broad shortage of graduate level evaluation education and training in Canada, as well as barriers to access built into the Canadian academic system, both institutional and jurisdictional.
- While graduate certificate and diploma programs were starting to be developed, more programs were needed, and from a student perspective, there was much room for improvement in accessibility.
- With few exceptions, universities and university colleges in Canada required students to apply for admission to that institution (to Faculties of Graduate Studies for example) and to maintain an affiliation with that university throughout their graduate education.
- Although students could take coursework elsewhere and have those courses credited towards a credential in their "home" institution, typically the courses that a student takes have to be approved in advance. In effect,

students have to negotiate the transfer of courses from other institutions to their home institution.

The new Policy on Evaluation in the Canadian Federal government increased the need for an expanded pool of qualified evaluation professionals (TBS, 2009, 2011). The Policy mandated that all federal programs be evaluated on a five-year cyclical basis. Recognition of the need for the professionalization of evaluators influenced the development of the CES's CE designation and the CUEE (McDavid & Cousins, 2010).

3. Partnership to offer graduate education for evaluation practitioners

CUEE began in the fall of 2008 as partnership among universities, the federal government and CES to develop capacity in Canada to offer graduate education (courses and credentials) for prospective and current evaluation practitioners.

The vision is that students and practitioners will be able to access courses and programs from one or more of the Consortium institutions and have their coursework credited towards a credential in their "home" institution.

Objectives The Consortium of Universities for Evaluation Education aims to:

- increase the number of qualified evaluators in Canada by providing education opportunities for evaluators wanting to obtain the Canadian Evaluation Society's Credentialed Evaluator designation;
- build capacity among Canadian academic institutions to develop and offer advanced education/training for professional evaluators;
- enhance students' access to high quality graduate level instruction in evaluation;
- support the development of graduate certificate and degree programs in evaluation by sharing course syllabi, proposals for credentials and other materials;
- operate nationally;
- be self-sustaining; and
- be governed by the academic institution partners, with input from other key partners.

Guiding Principles The Consortium of Universities for Evaluation Education is committed to:

- increasing access to quality graduate level instruction in evaluation through a mix of in-person course offerings and internet-based (or distance mode) delivery mechanisms;
- providing pre-service and in-service professional development for evaluation practitioners that is informed by contemporary theory and professional practice;
- ensuring shared access to programs and courses among Consortium members;
- focusing on students' needs;
- maintaining high academic standards as defined within respective provincial jurisdictions and member universities;
- upholding the highest professional standards and ethics of professional practice in the field
- respecting evaluation as an interdisciplinary domain of inquiry;
- valuing the diversity of information needs of the evaluation community and contexts for practice
- respecting Consortium members' interests and autonomy; and
- responding to market trends and opportunities in government, voluntary, private and other sectors.

CUEE has since revised its business plan, established the governance (CUEE, 2011c) structure that includes the Consortium Council (CUEE, 2011d), co-Chairs, the Operations Committee(CUEE, 2011e) and the Secretariat (CUEE, 2011f) which is currently located at the University of Victoria, School of Public Administration. Memberships are renewed annually in September and include Canadian chartered universities, university colleges with an interest in developing and offering graduate level evaluation-related courses and credentials. TBS and CES are *ex officio* members of the Consortium Council (CUEE 2011a) CUEE conducted a cross-Canada inventory of university-based evaluation education (CUEE 2009) and updates that inventory on an ongoing basis. The Secretariat hosts a bilingual website (http://www.evaluationeducation.ca/) that features member institutions' courses, programs and more detailed information such as course syllabi to facilitate members' understanding of what is being offered elsewhere in the Consortium and to facilitate building complementary course offerings. Access to the 'SharePoint' website is restricted to members only and is intended to facilitate information sharing and collaborations among members.

CUEE Member institutions are encouraged to collaborate at several levels. These include information sharing - course syllabi, program proposals, and other materials to learn about existing and proposed evaluation-related educational opportunities to position their own initiatives so that they complement existing courses and programs, development and delivery of courses (and course modules), and credentials. (CUEE 2011a)

Since CUEE was created, members have expanded their graduate evaluation offerings. Four of the thirteen (2011 memberships) Consortium members have developed or are developing online graduate certificates in evaluation and these will be available across Canada. Having online credentials will facilitate collaboration among CUEE partners.

In addition to working on projects to facilitate collaboration, CUEE has undertaken a project for the CEE to cross-walk CUEE member evaluation curricula to the draft competencies for federal evaluators that are being developed to guide training for evaluators in the Federal Government of Canada. An additional and related project has seen the development of a crosswalk between CUEE member curricula to the core competences for professional evaluators that were developed by the CES as part of the Credentialed Evaluator professional designation project. A third project has been undertaken to assess the need for financial support and mentorship opportunities for students who graduate from CUEE member programs. This latter project is being conducted in collaboration with the Canadian Evaluation Society Education Fund (CESEF), which is committed to supporting students who wish to pursue graduate education in evaluation in Canada.

One of the most unique endeavours is the CUEE *Framework for Collaboration on Shared Inter-university Graduate Evaluation Education Courses* which will facilitate students from CUEE member institution accessing courses from other CUEE member institution programs and gain credits readily from their own universities without going through the more complicated procedures for individual pre-approval of credits gained from another post-secondary institution. Given that education in Canada is a provincial matter outside of federal jurisdiction, the agreement will also assist in harmonizing university level evaluation education across the country.

FRAMEWORK FOR COLLABORATION ON SHARED INTERUNIVERSITY GRADUATE EVALUATION EDUCATION COURSES (based on the Canadian Association of Graduate Studies template)

Purpose

- This Agreement is to provide students in good standing enrolled in a graduate degree or diploma program at a CAGS (Canadian Association of Graduate Studies) member university the opportunity to avail themselves of courses offered at another member institution (host) for transfer credit to the program at their institution (home).

- The definition of "home" is the institution in which the student applicant is enrolled and is expected to provide the graduate degree or diploma. The "host" is defined as the institution at which course credits can be obtained that can be counted toward a degree or diploma at the home institution. (CUEE 2011g)

For students this Framework addresses the limited availability of advanced-level university training opportunities, and allows for evaluation training to be widely accessible in multiple disciplines through CUEE institutional members across Canada, especially through online learning opportunities. For a vast and diverse country as Canada, globally ranking the second largest in total area, CUEE offers exciting possibilities.

4. CUEE and the CES Credentialed Evaluator designation

In May 2010, CES launched the CES CE designation designed to define, recognize and promote the practice of ethical, high quality and competent evaluation in Canada through a program for professional designations. The designation means that the holder has provided evidence of the education and experience required by the CES to be a competent evaluator. The designation is a service provided by CES to its members, who may elect to become credentialed on a voluntary basis. It recognizes those with the education and experience to provide evaluation services, and through its maintenance and renewal requirements, promotes continuous learning within our evaluation community. CES maintains a publicly available registry of CE's. CE is about providing a path for new evaluators and a clearer direction for more established evaluators for their ongoing development. It is about allowing CEs to be recognized for what they have achieved and for their ongoing commitment to learning and improving their practice as program evaluators. Qualification requirements for CE include:

- evidence of graduate level degree or certificate related to evaluation
- evidence of two (2) years (full-time equivalent) evaluation related work experience within the last ten (10) years.
- education and/or experience related to 70% of the competencies in EACH of the five domains of Competencies for Canadian Evaluation Practice (the list of competencies is available on the CES website, www.evaluationcanada.ca)
- evidence of ongoing learning and professional development - 40 hours of learning every three years - required for maintaining the CE designation (CES 2011a)

Critical elements of the CE designation include ethics, standards and competencies - all of which were addressed in the development of the CES Professional Designations Program (CES 2009). Competencies are the knowledge, skills, and dispositions program evaluators need to achieve standards of practice that constitute the basis for sound evaluations (Stevahn, King, Ghere & Minnema, 2005). CES National Council noted that a well-structured and agreed knowledge base is essential to any system of professional designation and proposed undertaking a crosswalk (cross referencing with the goal of determining points of overlap and difference) of different extant knowledge bases in order to develop a comprehensive list of evaluator competencies. CES Professional Designations Core Committee undertook a crosswalk of evaluator competencies building on the work of Establishing Essential Competencies for Program Evaluators (Stevahn, King, Ghere & Minnema; 2005). The crosswalk informed the development of the CES *Competencies for Canadian Evaluation Practice* by examining guidelines developed by organizations that primarily function to advance the professional practice of program evaluation (CES 2008). These included the 2002 version of TBS Competencies for Evaluators in the Government of Canada (as a major employer and purchaser of evaluation); the 2004 Joint Committee Program Evaluation Standards (adopted by CES National Council); the 2004 version of the American Evaluation Association's Guiding Principles for Evaluators; and the United Nations Competencies for Evaluators in the United Nations System (to provide a broader international perspective). After Membership consultations, Town Hall meetings across Canada and Expert consultations, the Competencies for Canadian Evaluation Practice were defined (CES 2010).

1.0 Reflective Practice competencies focus on the fundamental norms and values underlying evaluation practice and awareness of one's evaluation expertise and needs for growth.	
1.1	Applies professional evaluation standards
1.2	Acts ethically and strives for integrity and honesty
1.3	Respects all stakeholders
1.4	Considers human rights and the public welfare in evaluation practice
1.5	Provides independent and impartial perspective
1.6	Aware of self as an evaluator (knowledge, skills, dispositions) and reflects on personal evaluation practice (competencies and areas for growth)
1.7	Pursues professional networks and self development to enhance evaluation practice
2.0 Technical Practice competencies focus on the specialized aspects of evaluation, such as design, data collection, analysis, interpretation, and reporting.	
2.1	Understands the knowledge base of evaluation (theories, models, types, methods and tools)
2.2	Specifies program theory
2.3	Determines the purpose for the evaluation
2.4	Determines program evaluability
2.5	Frames evaluation questions
2.6	Develops evaluation designs
2.7	Defines evaluation methods (quantitative, qualitative or mixed)
2.8	Identifies data sources
2.9	Develops reliable and valid measures/tools
2.10	Collects data
2.11	Assesses validity of data
2.12	Assesses reliability of data
2.13	Assesses trustworthiness of data
2.14	Analyzes and interprets data
2.15	Draws conclusions and makes recommendations
2.16	Reports evaluation findings and results
3.0 Situational Practice competencies focus on the application of evaluative thinking in analyzing and attending to the unique interests, issues, and contextual circumstances in which evaluation skills are being applied.	
3.1	Respects the uniqueness of the site
3.2	Examines organizational, political, community and social contexts
3.3	Identifies impacted stakeholders
3.4	Identifies the interests of all stakeholders
3.5	Serves the information needs of intended users

3.6	Attends to issues of evaluation use
3.7	Attends to issues of organizational and environmental change
3.8	Applies evaluation competencies to organization and program measurement challenges
3.9	Shares evaluation expertise
4.0	**Management Practice** competencies focus on the process of managing a project / evaluation, such as budgeting, coordinating resources and supervising.
4.1	Defines work parameters, plans and agreements
4.2	Attends to issues of evaluation feasibility
4.3	Identifies required resources (human, financial and physical)
4.4	Monitors resources (human, financial and physical)
4.5	Coordinates and supervises others
4.6	Reports on progress and results
4.7	Identifies and mitigates problems / issues
5.0	**Interpersonal Practice** competencies focus on people skills, such as communication, negotiation, conflict resolution, collaboration, and diversity.
5.1	Uses written communication skills and technologies
5.2	Uses verbal communication skills
5.3	Uses listening skills
5.4	Uses negotiation skills
5.5	Uses conflict resolution skills
5.6	Uses facilitation skills (group work)
5.7	Uses interpersonal skills (individual and teams)
5.8	Uses collaboration / partnering skills
5.9	Attends to issues of diversity and culture
5.10	Demonstrates professional credibility

CUEE members are encouraged to use the Competencies for Canadian Evaluation Practice as a foundation for developing programs, courses, and syllabuses, in partnership with CES in expanding opportunities to acquire graduate credentials in evaluation - a key part of becoming a Credentialed Evaluator. (CUEE 2009) Preliminary findings from the CUEE-CES competencies crosswalk project suggest a high degree of overlap of CUEE member curricula and the CES Competencies for Canadian Evaluators.

5. Examples of Graduate Curricula in the Consortium of Universities for Evaluation Education

Among the Consortium members, there has been considerable development of new graduate credentials (Graduate Certificates and Graduate Diplomas) in the last three years. We will summarize a recent online program that was developed in the past two years, a program that is offered on campus at the University of Ottawa in a collaborative arrangement between the Faculty of Education and the Faculty of Social Sciences and an interesting case of bridging evaluation professional development and academic education at Carleton University (Ottawa). These programs suggest the range of delivery options and organizational arrangements for offering CUEE-related graduate credentials.

5.1 The University of Victoria Graduate Certificate and Diploma in Evaluation

These two programs were developed between 2009 and 2010 and are now being offered in the School of Public Administration at the University of Victoria. Both programs are offered entirely online, that is, all the courses are accessible to students anywhere as long as they meet the admission requirements and have appropriate internet connectivity.

The Graduate Certificate is a four course program that has three prerequisites (courses that must be taken before students can enrol in the program): introductory micro economics, introductory statistics and introductory research methods. The program is structured so that students take one online course each semester, completing the program in four semesters. The courses are sequenced as follows: introduction to program evaluation and performance measurement, qualitative evaluation methods and cases, economic evaluation methods and cases, and topics in evaluation, performance measurement, performance management and knowledge management. The latter course is currently focused on evaluating complex programs and policies. All four courses also can be taken as electives by students in the three Masters Programs in the School of Public Administration and it is possible for students to take the Graduate Certificate in Evaluation concurrently with their Masters Program.

The students apply to the program through the Faculty of Graduate Studies at the University of Victoria and are reviewed by an Admissions Committee in the School of Public Administration. Currently, the maximum annual intake for the program is ten students. Nearly all the students in the program already have Masters Degrees and most are practitioners. They come from all across Canada (Newfoundland west to British Columbia).

Students wishing to obtain the Diploma in Evaluation must complete all four courses in the Certificate Program and then complete a program evaluation project with an actual organizational client. The evaluation project is supervised by a faculty member in the School of Public Administration and upon completion the project is assessed jointly by the client and an academic committee in the School.

5.2 University of Ottawa Graduate Diploma in Program Evaluation

This interdisciplinary five course program was offered for the first time in 2006. It is a joint program developed and managed by the Faculty of Education and the School of Psychology and is offered in English and French. Although the program can be fast-tracked in 12 months, most students choose to complete it part time over two years. An upper level undergraduate research methods course with statistics is the only prerequisite for the program outside of normal admission standards for graduate programs. Students can be admitted on conditional basis by committing to complete the equivalent of the research methods course in their first term of registration. The program attracts a mix of in-service (practicing evaluators working full time) and pre-service (in-experienced evaluators choosing evaluation as a career path).

The sequence of coursers is as follows: (i) All students begin in the fall term with a course on methods and practice in program evaluation in which they plan an authentic evaluation as their major assignment. The course can be in education or psychology, English or French. (ii) Students then implement the evaluation in the winter term either immediately following the methods and practice course or one year later (depending on exigencies of the program in question). This is done as part of a field studies course and is supervised by the instructor. Also offered in the winter is (iii) a course on theory and contemporary issues in evaluation which can be taken in the first or second year of the program. (iv) An elective course in research methods (quantitative or qualitative), planned change, organizational theory, or some other relevant choice is taken in the first spring/summer or, more likely, in the second fall of the program. Finally, an integration (capstone) course is taken in the final spring/summer term. In that course students produce a 25 page paper that addresses a practical problem in evaluation and develops strategies and solutions on the basis of material covered in the program.

The annual intake for the program is about 20 students (15 English and 5 French speaking). While most courses are offered on a face-to-face basis several make use of online resources or may in fact be hybrid or blended courses with multiple modules being offered online. Currently one of the methods and practice courses is being offered completely online and available to eligible participants outside of the Ottawa area. The program has a strong social sciences emphasis with ties to educational evaluation and community psychology but it has been developed in such a way that it meets the needs of participants from public sector / governance sectors and non-profit organizations. The program is unique in that it is an inter-faculty entity which naturally augments its interdisciplinary character.

5.3 Carleton University Diploma in Public Policy and Program Evaluation (DPE) and International Program for Development Evaluation (IPDET) in partnership with the Independent Evaluation Group of the World Bank (IEG).

Another member of CUEE, Carleton University created its Diploma in Public Policy and Program Evaluation in 2007. The DPE comprises six courses (of approximately 40 hours of instruction each). Applications are through the School of Public Policy and Administration and require a Bachelor's degree with an average of B+ or better. There are four required courses: Policy and Program Evaluation (Evaluation Theory and Practice), Research Design I (Qualitative Methods), Research Design II (Quantitative Methods) and Cases and Applications in Evaluation (PADM 5424). Two optional courses are selected from one of the following areas: additional evaluation methodology or management of evaluation or policy fields[1]. The program is designed in an executive format which allows cohorts of students to complete the program in 15 months while working full time. The DPE attracts students from the governmental, private and non-profit sectors. While delivered as an in-person classroom program at present, there are plans to provide distance learning opportunities within the program.

IPDET (which started in 2001) is a collaborative program between the IEG of the World Bank and Carleton University. It is a four week in-residence program offered annually on the Carleton campus. It attracts roughly 200 students per year from over 60countries around the world. IPDET has two distinct components: a two-week, full-time core curriculum of 15 modules[2], followed by two weeks of selected 2 or 3 day workshops delivered by internationally renowned evaluation experts.

With the creation of the DPE, Carleton University and the IEG developed an interesting bridge between these two programs, which created a hybrid of professional development and academic approaches to evaluation learning. Participants in IPDET may acquire up the equivalent of three courses toward the six course DPE during their attendance at IPDET. The courses for which credit may be acquired are:

- Policy and Program Evaluation: requires completion of the two-week Core Course of IPDET and completion of assignments set by School of Public Policy and Administration (SPPA) instructors
- Research Design I (Qualitative Methods): requires completion of designated workshops (see equivalency table) and completion of assignments set by SPPA instructors
- Research Design II (Quantitative Methods): requires completion of designated workshops (see equivalency table) and completion of assignments set by SPPA instructors

IPDET participants may do one or all three of these courses for credit while they are attending IPDET, but must first, independently apply for admission to the DPE. The above stated DPE qualifications apply and admission to IPDET does guarantee acceptance to the DPE.

Similar to many professional development events, IPDET is attendance based. To bridge the benchmark of academic requirements, special post-IPDET assignments are set and graded by SPPA faculty. A grade of at least B+ is required to obtain the credit.

Conclusions and Challenges

CUEE's role in preparing new evaluators and providing ongoing development for the CEs through providing graduate-level evaluation education is critical to the success of the ongoing promotion of the practice of ethical, high quality and competent evaluation in Canada for the betterment of society. To our knowledge, the scale of the collaboration among Canadian evaluation-related academic institutions, governments and the CES, is unique. The transformation has just begun, CUEE membership is expanding and with it increased quality and diversity (methodological and in fields of specialization) in the evaluation learning opportunities in the programs and courses available among the CUEE-member institutions benefitting the evaluation community in Canada.

Collaboration encounters challenges in part because post-secondary institutions guard their autonomy vigorously. For CUEE, it is necessary to identify the opportunities for collaboration (courses in partner institutions that are appropriate as electives in other CUEE programs, for example) and work through the barriers to students being able to freely take courses in CUEE institutions and know that they will be credited towards the program in which they are enrolled in their home institution. Post-secondary institutions typically have limits on the numbers or proportions of courses in a credential that can be taken elsewhere and transferred into a given program. Fortunately in Canada, there is an umbrella agreement among all universities in the four Western provinces (British Columbia, Alberta, Saskatchewan and Manitoba) called the Western Deans of Graduate Studies Agreement that facilitates any graduate student being able to take courses at another university in any of those four provinces, transfer the completed course (grades) into their home institution while only paying tuition to their home institution. CUEE has developed a framework modelled on the Western Deans Agreement and is currently conducting a pilot project among members to develop regular ways for students to take and transfer courses among programs.

Realistically it will take several years to systematically reduce the barriers that currently exist among institutions. Once these barriers have been reduced (in some cases it will take universities changing their regulations) it will be possible for CUEE collectively to explore developing collaborative graduate degrees in evaluation-related fields.

Notes

1 Elective courses for the DPE can be selected from the Master's program and have included Strategic Policy Evaluation, Cost Benefit Analysis, etc.

2 IPDET Core program follows *The Road to Results: Designing and Conducting Effective Development Evaluations*, co-authored by IPDET founders Linda G. Morra Imas and Ray C. Rist, and is supplemented with small group work on actual evaluation cases, round tables discussions and guest lecturers.

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【Research Note】

Consideration of Potentials of Participatory Evaluation in Civil Society in Japan – From the Perspectives of Civil Society Governance

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Abstract

This article considers potentials and bottlenecks, promoting and hindering factors, and roles of civic organizations (COs) in introducing participatory evaluation (PE) to civil society, assuming PE as an effective means of active citizen involvement in civil society in Japan. Major indicative findings: 1) PE can accelerate collaboration between COs and other actors, and has merit for citizens with respect to accessibility to information, empowerment, awareness-raising, etc.; 2) legitimacy is an important factor for promoting PE in civil society; and 3) COs are expected to establish systems to support citizen participation in evaluation. Key issues for future consideration: 1) establishing PE criteria and indicators depending on the nature of collaboration among actors is useful for its application; and 2) the development of a tertiary sector built upon citizens' further understanding of COs' missions and roles is incumbent to balancing the three sectors in achieving development of civil society, and to citizen participation in decision-making in governing civil society.

Keywords

governance, collaboration, public interest, representation, legitimacy

Introduction

There are various ways for citizens to involve themselves in each of the actors that constitute civil society. For example, involvement through collaborative relationships between government or private corporations (hereinafter referred to as "corporations") and civic organizations (COs) is one way, while direct involvement with each actor is another. Considering the fact that each actor plays its specific role in society, such participation mechanisms need to be created that enable citizens to be involved with other actors while respecting their social roles.

This article considers, in a comprehensive manner, from the practical viewpoint, potentials of participatory evaluation (PE) as well as ways of citizen participation, mainly focusing on the public sector, on the assumption that PE is an effective means of active citizen involvement in civil society in Japan.

This article is structured as follows. Chapter 1 focuses on relationships between citizens and the major actors of

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the three sectors in society, based on the concepts of civil society, governance and collaboration that are crucial to better understanding the meaning of citizen "participation." Chapter 2 overviews discussions on PE in the past. Chapter 3 and 4 consider potentials in introducing PE, from the viewpoints of collaboration and direct citizen participation respectively, taking into consideration the status quo of evaluation activities in the public sector. Chapter 5 discusses on promoting and hindering factors in spreading PE. Finally in conclusion, future prospects regarding the roles of PE and citizen involvement in civil society in Japan will be given.

1. Citizen Involvement with Major Actors in Civil Society

The emergence of COs in international society in recent years has drastically changed the perception of relationships between the nation and COs. In Japan, the enactment of the law called Tokuteihieirikatsudo Sokushinho (the law to promote specified nonprofit activities), known as the NPO Law, and reforms of legal systems of public-service corporations have made it possible to easily establish COs and thus, vitalized civil society since the late 90s. The development of COs has led to active discussions on governance, mainly in Western countries since 1990. The fundamental question here is how civil society should be governed, and by whom. Before further arguing this issue, it is important to first overview the ways of relationships between major actors in civil society in clear distinction from one another, and consider methods for citizens, who are considered the main constituent in democratic society, to be able to involve themselves actively and voluntarily in civil society as well as roles that COs can possibly take part in.

This Chapter reviews the concepts of civil society and governance and the roles of COs in civil society, and discusses the relationships between citizens and each actor, as these concepts are important for understanding various ways of citizen "participation" in civil society.

1-1 Civil Society and Three Sectors

1-1-1 Concept of Civil Society

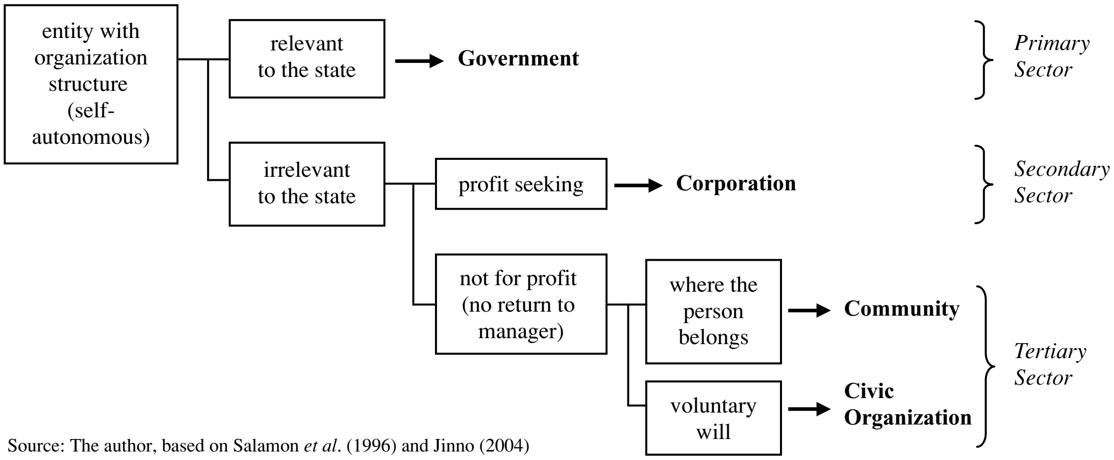
Many authors have considered that the concept of "civil society" is ambiguous and complex, and defined it in many different frameworks, such as political and economic ideologies, doctrines and systems, nation-forming history and philosophical ideas. Also, a number of authors have attempted to reframe civil society in relation to the raison-être and roles of civil organizations for not more than 20 years. This article focuses, from the practical viewpoint, on the roles and functions of each of the major constituents in society, assuming that "civil society" is a society to be perceived from the viewpoint of citizens who are at its center as the main constituent.

1-1-2 Three Sectors in Society

A social system is considered to be composed of three sectors including the primary sector (or the public sector), the secondary sector (or the private sector), and the tertiary sector (or the civic, voluntary, or non-profit sector). Figure 1 describes major entities in those sectors and classification criteria[1]. "Government" refers to governmental institutions including the Cabinet, the Diet and administrative agencies, whereas "Corporation" accounts for private entities that implement economic activities for seeking profit. "Civic Organization" applies to not-for-profit entities being active under a certain sustainable system, run mainly by citizens who are engaged by voluntary choice and without compensation (see later), whereas "Community" explains where each individual is from or belongs to[2].

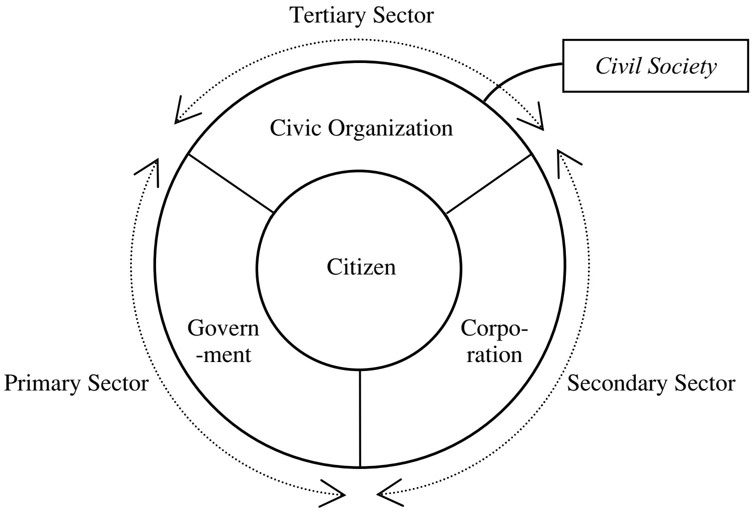
Figure 2 shows the range of each sector and the position where each major actor stands in civil society from the viewpoint of citizens at its center. The term "citizen" here refers to collective individuals who do not belong to any entity, or when they are released from any role they fulfill at the institution they belong to[3].

Figure 1 Major Entities in Three Sectors and Classification Criteria



Source: The author, based on Salamon *et al*. (1996) and Jinno (2004)

Figure 2 Conceptual Model of Sectoral Classification and Major Actors in Civil Society



Source: The author

1-2 Concepts of Governance

The development of argument about governance has led to the expansion of its concepts. Table 1 shows examples of definitions and interpretations of various concepts of governance. Among these concepts, (a) good governance is mainly applied to the primary sector, whereas (b) corporate governance and (c) NGO governance are to the secondary sector and (d) IT governance is to the tertiary sector. These four describe governance within internal organization of each major actor, focusing on a mechanism in which the major constituent of each sector actively involves itself in decision-making. It should be noted that the citizen, clientele and beneficiary, all of which enjoy services provided by

Table 1 Example of Definitions and Interpretations of Typical Governance Concepts

	Governance Concepts	Examples of Definitions and Interpretations
a	Good Governance	*Good governance refers to the management of government in a manner that is essentially free of abuse and corruption, and with due regard for the rule of law* (IMF 2007). * The term is often applied mainly in the context of development assistance for developing countries, but can be applied to any governments including those of advanced countries.
b	Corporate Governance	*The corporate governance structure specifies the distribution of rights and responsibilities among the different participants in the organization – such as the board, managers, shareholders and other stakeholders – and lays down the rules and procedures for decision-making* (ECB2004).
c	IT Governance	*IT governance is the responsibility of the board of directors and executive management…it consists of the leadership and organisational structures and processes that ensure that the organisation's IT sustains and extends the organisation's strategies and objectives* (ITGI2003).
d	(Good) NGO Governance	1) *A transparent decision-making process in which the leadership of a nonprofit organization, in an effective and accountable way, directs resources and exercises power on the basis of shared values;* and 2) *Good NGO governance is based on the distinction between organizational entities (management and the governing body) and the distribution of decision-making power between them* (Wyatt 2004). * These definition can be also applied to NPOs (see later).
e	Public Governance	*Public governance, whose authority is the State, government or public sector, relates to the process by which a society organizes its affairs and manages itself* (UNDESA 2007).
f	Private Governance	*Private governance is composed of the decision making processes and the binding decisions of private groups that affect the quality of life and opportunities of a larger public* (Rudder 2008).
g	Voluntary/Civic Governance	The decision-making mechanism or structure of civic organizations that affect the citizen or civil society (the author).

Note: NGO stands for non-governmental organization. Regarding the concept of (g), the author found very few references and thus, applied relevant elements of the other two concepts of sector governance ((e) and (f)) to tertiary sector.

Source: The author

the major actors respectively, are not considered part of the main constituents of three sectors. With regard to (e) public governance, (f) private governance and (g) voluntary/civic governance, all of which explain governance of each entire sector, there is no common understandings or interpretations yet, as seen in the fact that not many relevant references can be found.

Meanwhile, Yamamoto (2005) quotes, from Rhodes (1997) and other publications, a set of views on governance focusing on the relationships between major actors in civil society, and calls them (h) network governance, describing it as a complex concept. The argument behind the concept is that civil society is ruled through collaboration and coordination among major actors while each actor plays a complementary role to one another. He also quotes from Peters (2000) the concept of (i) participatory governance based on the view that a mechanism of wide citizen participation in policy-making is needed instead of the traditional hierarchical structure controlled by government in the relationship between the primary sector and the citizen.

Table 2 shows a classification of those various governance concepts at different governance levels in three sectors. Based on the model in Figure 2, these concepts are considered all relevant to *civil society governance*, a

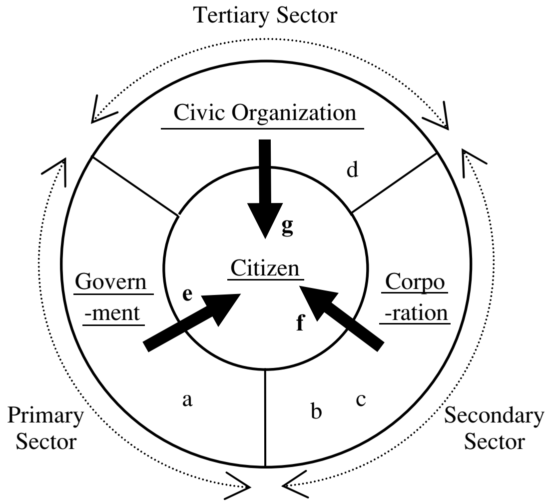
Table 2 Classification of Concepts Relevant to Civil Society Governance

Governance Levels / Three Sectors		Actor Level		Sector Level		Society Level
Primary Sector	**a**	Good Governance	**e**	Public Governance	**h**	Network Governance
Secondary Sector	**b**	Corporate Governance	**f**	Private Governance		
	c	IT Governance			**i**	Participatory Governance
Tertiary Sector	**d**	NGO Governance	**g**	Voluntary/Civic Governance		

Source: The author

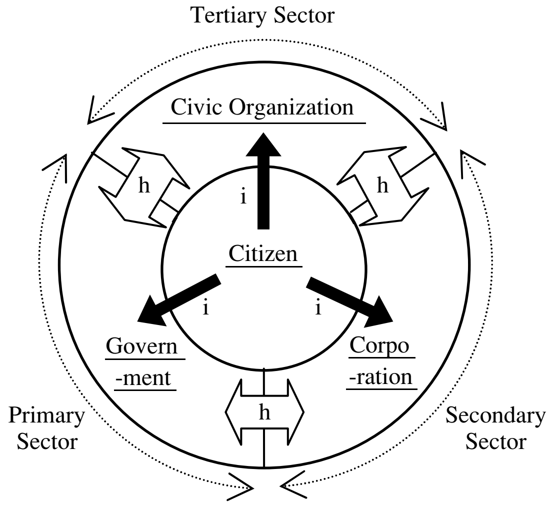
concept of decision-making mechanism or structure in governing civil society. As mentioned earlier, the four concepts ((a) to (d)) describe governance within internal organization of each major actor, meanwhile the three ((e) to (g)) explain governance of each entire sector and the two ((h) and (i)) of entire civil society. Table 2 is visualized in the two conceptual models in Figures 3 and 4. In Figure 3, the four ((a) to (d)) principally target internal systems and mechanisms of government, corporations, and COs, whereas the three ((e) to (g)) mainly focus on actions towards the citizen by those three actors. In other words, the three ((e) to (g)) focus on the functions of each sector to influence the “external” citizen as the main target to provide services to. This is different from “internal” governance as

Figure 3 Conceptual Model I — Major Actors of Three Sectors and Governance Classification



Source: The author

Figure 4 Conceptual Model II — Major Actors of Three Sectors and Governance Classification



Source: The author

described in the four ((a) to (d)). In Figure 4, (h) shows networks on the basis of interactions between sectors, whereas (i) refers to the application of citizen participation to each sector on the assumption that various stakeholders take part in the management of civil society. Understanding these governance concepts is indispensable for further considering various ways in which each actor relates to one another in civil society and the way civil society is.

1-3 Roles of COs in Civil Society

1-3-1 Characteristics and Roles of COs

In civil society in Japan, NPOs and public-service corporations[4] are leading the tertiary sector. This article mainly deals with NPOs since new public-service corporations are still in transition to new systems.

According to Salamon *et al.* (1996), COs in international society share the following characteristics: 1) organizations; 2) private; 3) not profit distribution; 4) self-governing; 5) voluntary; and 6) public interest. Among these, the issues of (3) and (6) are considered especially important and often discussed by many researchers[5]. Regarding the NPO Law of Japan, it is pointed out that there are legal systems to secure these two characteristics. In terms of the former, the term "non-profit" is part of the name of the law itself, and the law prescribes prohibiting the distribution of any profit or surplus to stakeholders of NPOs including their board members and the staff. With regard to the latter, the term "public interest" is not exactly defined in the law. However, the law prescribes that NPOs should, as an object, contribute to extending benefits to unspecific and numerous persons on the assumption that NPOs' areas of activities fall in specified areas by the law such as international cooperation, environmental preservation, and disaster relief. Accordingly, "public interest" is considered important[6].

Yamaoka (2004) points out that COs can play a variety of roles in civil society, such as: 1) surveillance or observing society; 2) social representative; 3) service provider; and 4) mediator as a third party. In other words, COs are considered to be entities who can implement non-profit activities or activities of public interest, and who can interact with each stakeholder from a more flexible standpoint, which distinguishes themselves from government or corporations.

1-3-2 Concept of Collaboration

With regard to governance of civil society, it is important to look at the way each actor's roles can complement to others' from the viewpoint of multidimensional management by major actors. The concept of "collaboration" is crucial in considering relationships and ways of interactions of COs with government and corporations. For example, Kanagawa (2008) quotes from Sullivan *et al.* (2002) three types of collaboration such as: 1) contract; 2) partnership; and 3) network. He also points out some characteristics of "partnership" as follows: 1) "partnership" involves negotiation and co-making decision among various parties under mid-/long term common goals and thus, differs from "contract;" 2) "partnership" requires officially setting objectives and plans among relevant parties and thus, differs from "network;" 3) creation of added values that one single organization cannot achieve is an important element in "partnership."

1-3-3 Relationships of COs with Government and Corporations in Japan

Based on the above-mentioned points, this article overviews first the current situation of collaboration efforts between COs and the local government in Japan. According to the survey results by the Cabinet Office (2004, 2007), the percentage of the local government implementing activities in collaboration with COs at the prefecture and municipality levels is high, and the percentage of NPOs working in collaboration or partnership with government is also high[7]. That is, both COs and government are eagerly involved in establishing collaboration with each other.

Meanwhile, it is incumbent to pay attention to the fact that many NPOs in general seek from government an understanding of the significance of establishing equal relationships (Cabinet Office 2004, 2007). Here, the way partnerships are built between COs and government is an important issue to be considered.

With regard to the relationships between COs and corporations, a larger number of corporations are actively involved in corporate social responsibility (CSR) activities in recent years[8] and providing CSR services in collaboration with NPOs. In the meantime, both COs and corporations are still groping for a way of establishing better collaboration towards the future[9]. Collaboration of COs with corporations differs in nature to a great degree from that with government. Many common values are shared under the goal of expanding public interest in the primary and tertiary sectors, and there are a number of cases in which government provides public services through funding COs, whereas corporations are usually assumed not to outsource profitable activities to COs for profit-making and commercial values (Sullivan *et al.* 2002, Kanagawa 2008).

1-4 The Citizen and Civil Society: Involvement in Three Sectors

1-4-1 Relationships of the Citizen with Each Major Actor

Next, this article considers relationships of the citizen with each actor in civil society in Japan from the viewpoint of representation—that is, who can represent and speak for the citizen, on the assumption, from the practical viewpoint, that the citizen is an independent entity of other actors as seen in Figure 2.

In government, the major actor of the primary sector, politicians are elected by the citizen through election systems and thus, represent the citizen. In this case, legal and political representation is ensured. Meanwhile, officials at administrative agencies who take charge of implementing policies, programs and projects are not elected by the citizen and thus, only function to provide services of public interest without representing the citizen.

Likewise, COs, the major actor of the tertiary sector, do not represent the citizen, but can also function to provide services of public interest. What distinguishes COs from government is that they can perform work while declaring their own visions and strategies that reflect public interest and non-profitability[10], not necessarily being bound to government's policies and plans. This makes it possible for COs to implement activities that better meet the needs of certain beneficiaries. In this regard, COs can speak for the citizen.

For corporations, the major actor of the secondary sector, profitability is the most important principle. There are occasions when corporations meet some specific needs or respond to some specific preferences of the citizen as customers or consumers, however corporations do not politically or legally represent the citizen, nor speak for the citizen for the sake of public interest and in line with non-profitability. In summary, relationships of the citizen with each actor are fundamentally all different in nature.

1-4-2 Citizen Involvement

In order for COs to be able to function to speak for the citizen, raising awareness of the citizen towards the raison-être of COs in civil society is indispensable. Also, from the viewpoint of participatory governance, it is assumed important for the citizen to be actively involved in each actor. Furthermore, citizen involvement is essential in the collaboration of COs with government and corporations from the viewpoint of network governance. Taking these points into consideration, this article mainly analyses the current situation of the primary sector mainly.

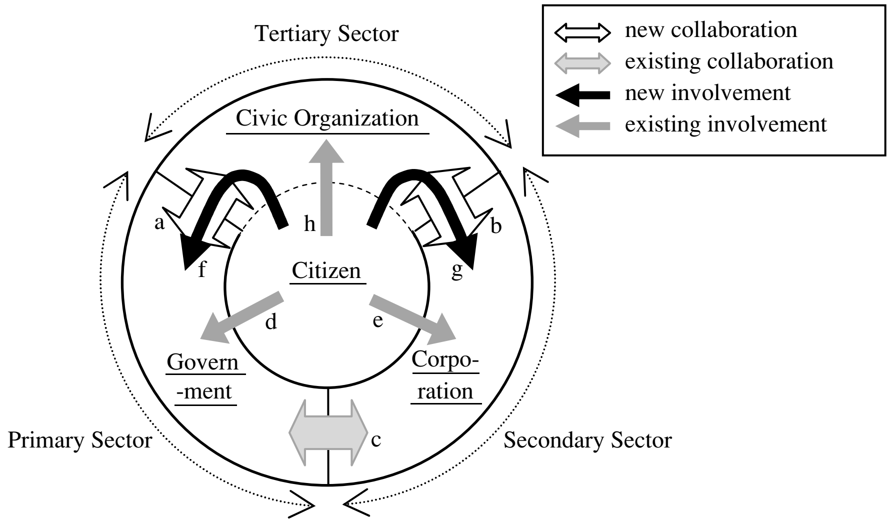
First, concrete means of active citizen involvement in government are secured in some legal systems that have recently been enacted at the country level in Japan. For example, *Gyoseitetsuzukiho*, or the Administrative Procedures Act (APA) took effect in 1994; *Johokokaiho*, or the Act on Access to Information Held by Administrative Organs came into force in 2001; and *Kankyoeikyohyokaho*, or the Environmental Impact Assessment Law was put into operation in 1999. These laws have increased opportunities for citizen participation and expanded the range of participants' rights (Okubo 2005). Also, a number of ordinances aiming at urging citizen participation and collaboration in administrative activities have recently been enacted at the municipality level[11]. In the meantime, there are more gaps observed between municipalities that are more advanced in introducing citizen participation and collaboration and those lagging behind — there are actually numerous municipalities that have not even considered about enacting ordinances (Okubo 2005). Citizen participation in administrative activities is not common enough yet, and opportunities and means for individual citizens to be directly involved in government are still limited. This is also true to the relationship between the citizen and corporations[12].

As a matter of fact, from the citizen's standpoint, corporations are not entities that can speak for the citizen. Also, very few citizens consider that public opinions are reflected on overall government policy[13]. Considering the current situation in which there have been increasing cases of collaboration of COs with government and corporations, establishing systems or mechanisms for the citizen to be actively involved with government or corporations through collaborative relationships is desired in civil society for the future.

Next, as a means of active citizen involvement in NPOs, citizens can become shain, or regular members and attend the general meeting of members[14]. The NPO law prescribes that "*…provisions regarding acquisition and loss of qualifications for membership are not unreasonable,*" and there is no judgment for membership by the board of directors. Therefore, there is no legal limit regarding membership and also no penal provisions for losing membership. In other words, such legal systems are established that make it possible for the citizen as insiders to participate in decision-making of the management of NPOs.

Figure 5 shows a conceptual model demonstrating the ways citizens involve themselves with government, corporations and COs in civil society, based on above-mentioned points. In the figure, (c) refers to the collaborative relationship between government and corporations that already has been in operation for a long time, whereas (a) and (b) describe relatively new collaborative relationships of COs with government and corporations respectively. Also, (d), (e) and (h) show already existing ideas of involvement of the citizen with government, corporations and COs respectively, while (f) and (g) represent new types of involvement of the citizen through the above-mentioned

Figure 5 Conceptual Model of the Citizen's Involvement with Government, Corporation and Civic Organization



Source: The author

collaborative relationships of COs with government and corporations respectively. Based on Figure 5, potentials of PE in civil society will be considered in the following chapters.

2. Overview of Participatory Evaluation (PE)

2-1 Streams of PE

According to Cousins *et al.* (1998), although the term "participatory evaluation (PE)" has been used in different contexts by different authors, there are two principal streams in PE. One is practical participatory evaluation (P-PE) focusing on the function of evaluation use. This stream has been formulated through the application of PE to decision-making or problem-solving in implementing social programs, developing plans and measures, and organization management in community, private corporations, schools, etc. in the United States and Canada since the 1960s. The other is transformative participatory evaluation (T-PE) focusing on the empowerment of the socially vulnerable and achievement of social-justice which are part of an important process of social reforms. This stream has been developed through the application of PE in the context of international development assistance in developing countries including Latin America and Africa since the 1960s.

2-2 Discussions on PE in Japan

It was not until 2000 that PE came to draw more attention and be often discussed in Japan. JICA (2001), for example, considers potentials of introducing PE to the organization through reviewing methods and practices of PE in the contexts of development assistance and international cooperation. Yamaya (2002) discusses PE in the contexts of policy evaluation and administrative evaluation (see later). Miyoshi *et al.* (2001) argues PE in a comprehensive way, applying case studies and statistic data, in relation to development assistance or policy evaluation and administrative evaluation. According to Miyoshi *et al.* (2001), PE generally refers to an approach that allows various stakeholders to actively participate in evaluation, principally with an emphasis on influencing stakeholders in the entire evaluation processes and improving on-going activities and projects as evaluation targets and thus, differs to a great degree in its objectives from conventional evaluation focusing on value judgment of meaningfulness or effectiveness of activities and projects. Miyoshi *et al.* (2001) explains that conventional evaluation mainly emphasizes ensuring accountability to fund providers and acquiring knowledge and information required for making decisions on whether to implement projects or for gaining lessons and making propositions, whereas PE basically focuses on building capacities and promoting ownership of, and sharing knowledge among those implementing projects and beneficiaries who participate in evaluation.

3. Current Situation and Future Potentials of Introducing PE: from the Perspectives of Collaboration

This chapter considers potentials of PE, recognizing the fact that collaboration of COs with government and corporations is especially important for accelerating active citizen involvement in governing civil society. The author assumes that introducing PE in collaboration approaches is effective from the two perspectives: 1) PE as a means to further accelerate active involvement of COs with other major actors; and 2) PE as a method for evaluating, with citizen involvement, collaboration efforts between actors. These two perspectives are not alternative to but can be complementary to each other. The former is applied to (a) and (b), while the latter to (f) and (g) in Figure 5.

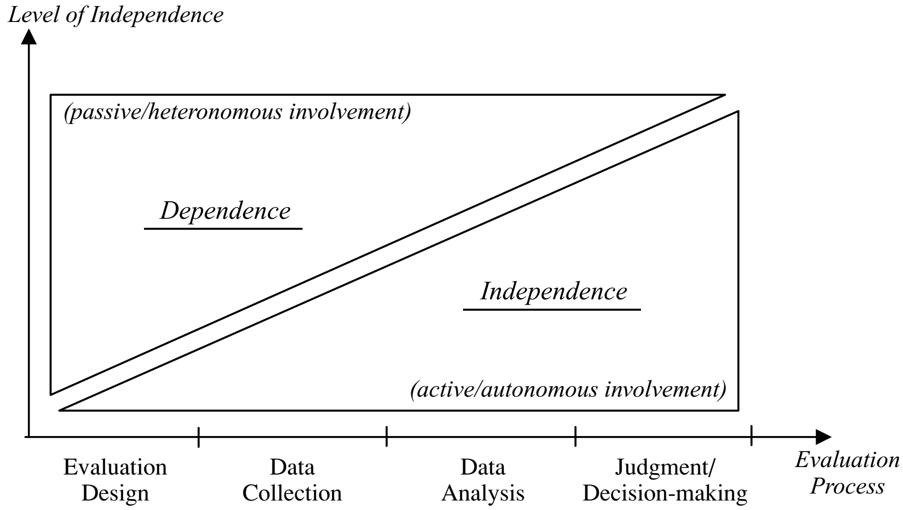
Theoretical grounds and supportive evidences for these two suppositions are provided in the following sections, based on the model of stages in evaluation process proposed by Iwabuchi (2005) (see later) and the current situation of collaboration efforts between COs and government in Japan, focusing on the characteristics of PE described by Cousins *et al.* (1998) as well as the differences between PE and conventional evaluation explained by Miyoshi *et al.* (2001).

3-1 PE as a Means of Collaboration Approach (a P-PE Model)

The first supposition is that introducing PE as a means to accelerate active involvement of COs with other actors ((a) and (b) in Figure 5) is effective. In general, the level of involvement of COs depends on the stage of evaluation process, and ways of involvement differ in nature accordingly. Especially in PE, opinions of COs tend to be more easily reflected at the stage of value-judgment and decision-making because the degree of their autonomy becomes higher compared to other stages of evaluation process. This characteristic provides grounds for the above-mentioned supposition which derives from the stream of P-PE.

This characteristic will be further explained as follows. Iwabuchi (2005) describes that a general evaluation process is classified into four stages along the timeline, such as: 1) evaluation design; 2) data collection; 3) data analysis; and 4) judgment/decision-making. He also discusses the relationships between ways of involvement of NPOs as a third party in evaluation activities at government level and the degree of independence of NPOs at each stage of evaluation. Figure 6 is a conceptual model by the author, demonstrating an analytical framework based on his discussions. According to him, “autonomous involvement” is a way of involvement with more independence, whereas “heteronomous involvement” is with less independence such as outsourcing to NPOs by government. The latter refers to passive involvement in evaluation activities. At the “design” stage, for example, NPOs often function as a contractor and government as an organizer and thus, the level of NPOs' dependence is higher, whereas at the “judgment” stage, it is assumed there is almost no occasion in which NPOs take part in evaluation in a dependent way. Meanwhile, the former refers to active involvement in evaluation activities. At the “design” stage, government

Figure 6 A Conceptual Model of Independence Level Depending on Ways of Involvement of a Third Party and Stages of Evaluation Process



Source: The author, based on Iwabuchi (2005) almost always makes decisions in light of internal rules, systems and budget and thus, again there is hardly an instance in which NPOs take part in evaluation in an independent way, whereas at the "judgment" stage, NPOs are assumed to participate in the entire value-judgment process. In summary, based on Iwabuchi (2005), the level of NPOs' dependence is higher at the earlier stage while the level of independence can become higher at later stages.

The author considers that the model in Figure 6 is relevant in discussing the potentials of introducing PE to government by COs. Conventional evaluation in a form of outsourcing to COs, for example, is deemed typical and a way of passive collaboration in evaluation between government and COs, whereas PE can be a way of more active collaboration in which COs involve themselves more independently. The application of PE enables COs to take part in the process of decision-making and value-judgment more actively than in the process of evaluation design as described in Figure 6 and thus, PE is considered an effective tool for reflecting opinions of COs on value-judgment in evaluation and decision-making at government.

3-2 PE as a Means to Evaluate Collaboration Efforts (a T-PE Model)

The second supposition is that introducing PE as a method for evaluating, with citizen involvement, already existing collaboration efforts of COs with government or corporations is effective. As described in the previous chapter, PE has many characteristics that are useful for accelerating active citizen involvement with government or corporations ((f) and (g) in Figure 5) through collaboration efforts of COs with other two actors ((a) and (b) in Figure 5), of which citizens are the beneficiaries. In addition to capacity building, fostering ownership and sharing knowledge, as mentioned earlier, PE has merit for citizens also with respect to accessibility to information, awareness-raising, empowerment, fostering leadership, etc. These characteristics provide grounds for the above-mentioned supposition which derives from the stream of T-PE. In concrete, citizens will have accessibility to wider varieties and larger amount of information by participating in evaluation activities. Also, through dialogues with other major actors, citizens will have more opportunities for gaining consciousness or awareness of themselves as "citizen" in comparative relationships with others in civil society, as well as for recognizing their roles and developing their capacities. These merits can greatly contribute to accelerating citizen participation in governing civil society.

As a matter of fact, there seems to be enough room for applying PE involving citizens, to collaboration efforts between COs and major actors. This is because each of those actors is already aware of the importance of evaluating collaboration efforts, although in many cases actors are still at an early stage of introducing evaluation or even considering appropriate approaches for applying evaluation. With regard to already existing collaboration efforts, each actor recognizes the necessity of evaluating its own collaboration activities. In the case of collaboration between COs and administrative organs, one of the requests to administrative organs from COs identified in the above-mentioned survey results of the Cabinet Office (2007) was the necessity of developing mechanisms for evaluating outcomes of partnership or collaboration between the two actors. On the other hand, the results of survey conducted earlier by the Cabinet Office in 2004 show that among 40 respondent prefectures three had already established evaluation systems for collaboration activities and 21 were going to establish such systems. In other words, 24 prefectures recognize the importance of evaluation of collaboration activities. Among them, 20 prefectures recognize the necessity of evaluating outcomes and processes of collaboration activities. Also, 18 prefectures attach importance to internal evaluation, whereas 11 incline towards external evaluation.

In the case of collaboration between COs and corporations, one of the requests to COs from corporations identified in the survey results of Fukuoka Prefecture (2009) was the necessity of reporting outcomes of collaboration efforts in an objective manner.

When citizens participate in evaluation of collaboration activities, there are many important roles that COs can play, such as providing knowledge of evaluation target projects and expertise of project evaluation in general, coordination between citizens as beneficiaries and other stakeholders, conducting public relations for civil society from the perspectives of ensuring public interest and transparency, declaring visions of envisaged civil society for the future from the standpoint of assuming accountability for civil society[15] or speaking for the citizen, etc. It is expected that COs establish supporting systems for citizens participating in evaluation by performing these functions with their expertise or through their own networks, since government/administrative organs or corporations cannot play these roles.

3-3 Current Situation of COs Participation in Evaluation at Administrative Organs

Based on the above-mentioned points, recent new evaluation systems in the government need to be drawn upon when considering potentials of introducing PE for urging independent involvement of COs in existing evaluation frameworks in the government. In April 2002, as part of Japan's administrative reforms, the law called *gyoseikikan ga okonau seisaku no hyoku ni kansuru houritsu* (the law regarding evaluation of policies undertaken by administrative organs), known as the policy evaluation law, was enacted for administrative organs, as the main entity, to make objective judgments on the effects of policies (in a wide sense) that are composed of three tiers, namely "policy (in a narrow sense)," "program," and "project," and provide information contributing to policy formulation, and the system commonly referred to as *seisaku hyoka* (policy evaluation) was introduced to all 12 ministries and government offices. Prior to that, since the mid-90s, in Japanese municipalities, evaluations targeting their own projects and activities have been implemented under the name of gyosei hyoka (administrative evaluation) and gradually become widespread[16].

With regard to these evaluation activities at administrative organs, Miyoshi *et al.* (2001) points out that there is a strong applicability of PE methods to policy evaluation and administrative evaluation because both of them in principle take a form of self-assessment, and that these two evaluation systems can be made more effective through the introduction of PE. In fact, in terms of the two suppositions proposed in this article, the author considers it possible to examine the effectiveness of applying PE to collaboration efforts between COs and government by analyzing cases of such evaluations.

In the meantime, many authors point out that there is virtually no case or example of COs involvement in policy evaluation or administrative evaluation, or applying PE based on collaborative relationships between COs and administrative organs (Moteki 2006, Yamaya 2002). It is necessary to keep an eye on future developments regarding the introduction of PE to administrative organs.

4. Potentials of Introducing PE－from the Perspectives of Direct Citizen Involvement

In continuation, this chapter overviews the current situation of introducing PE as a means to accelerate direct citizen involvement with major actors in civil society ((d), (e) and (f) in Figure 5), especially with a focus on the primary sector, following the discussions on potentials of PE in relation to collaboration among those actors. According to the results of survey targeting all 1,845 municipalities in Japan on the current situation of citizen participation in above-mentioned administrative evaluation, conducted by Mitsubishi Research Institute (MRI) in 2009, among 845 municipalities which count for 46 percent of the total: 1) those who responded that citizens directly take part in establishing systems for administrative evaluation account for about one percent at both policy and program levels; 2) those who responded that citizens' voices were reflected on the choice of evaluation indicators, for example, account for less than five percent at both policy and program levels; and 3) those who responded that citizen representatives take part in evaluation account for about six and 15 percent at the policy and program levels respectively (MRI 2009).

The municipality personnel mentions some reasons for all these low percentages, according to MRI's report, such as: 1) in general, among the municipality personnel, there is very little understanding of the objective for introducing administrative evaluation or of its systems, which in turn makes them feel that administrative evaluation is merely a routine work or an additional burden for them; 2) it is difficult for them to see the way evaluation results are utilized or the effectiveness of utilizing those results; and 3) there is no standard evaluation method including evaluation criteria at municipalities (MRI 2009). Under these circumstances on the ground, it is apparently not easy to raise motivation to accelerate citizen participation in administrative evaluation.

Also, according to MRI's report, municipalities that were expecting to receive feedback from citizens through the publication of evaluation results account for about 14 and 31 percent at the policy and program levels respectively and there were more numbers of municipalities that were not planning to reflect citizens' voices on their activities. In addition, the report draws upon the fact that in many municipalities, conventional evaluation is still commonly implemented only internally, also pointing out the importance of reconsidering evaluation approaches and the possibility of citizen involvement (MRI 2009).

Next, it is pointed out that there is no system established for citizen participation in policy evaluation. Yamaya (2002) mentions that policy evaluation was operated and managed under the control of administrative organs and that there was only very limited room for citizen involvement until then. The reason, according to him, was that the designing and development of policy evaluation systems was led by the bureaucrats. He also mentions the necessity of restructuring policy evaluation systems from the viewpoints of citizens as clients and allowing them to independently involve themselves in policy evaluation since they are the beneficiaries.

As Miyoshi *et al.* (2001) and other authors mention, the significance of introducing PE to government/administrative organizations is to allow them to adopt citizens' opinions and reflect their voices on decision-making through developing systems for citizens to participate in evaluations of its own policies, programs or projects. This is highly related to the issues of participatory governance of civil society. As many authors have already mentioned, in order to achieve democracy in civil society, reflecting pluralistic values on its process is extremely important, and PE can be an effective tool in this respect. For example, Yamaya (2002) points out that policy evaluation should not be regarded merely as a tool for improving the efficiency of administrative activities or disclosure of information, and asserts that policy evaluation will come to function and sound governance systems will be ensured only after incorporating elements for citizen participation, such as involvement and collaboration of stakeholders, empowerment of citizens for acquiring expertise and knowledge, policy proposals by citizens, etc. In any case, it is expected that citizen participation in existing evaluation systems at administrative organizations will be accelerated.

5. Promoting and Hindering Factors in Spreading PE

It is noted that citizens' willingness of “participation” is very low in general, which is a hindering factor for widely spreading PE. In relation to the primary sector, for example, according to the survey results by MRI (2009), quite a few municipalities responded that there was almost no feedback or response from citizens in general to the publication of results of administrative evaluation. In terms of the tertiary sector, according to the results of “public opinion survey concerning NPOs” targeting 3,000 persons over 20 years of age nationwide, conducted by the Cabinet Office in 2005, those who had took part in NPOs activities account for only less than 10 percent, and those who were unwilling to participate in such activities in the future account for up to 49 percent (Cabinet Office 2005). Underlying this situation is the lack of awareness of citizens as “a constituent of civil society” or recognition of their potential roles in civil society.

Even if this issue is solved, there would be no easy progress in widely spreading PE if there is no systematic framework to apply it. In this respect, it is pointed out that ensuring legitimacy, or legalizing PE is important. For example, as mentioned earlier, in recent years a number of ordinances aiming at urging citizen participation and collaboration in administrative activities have been enacted at the municipality level, and following these trends, it is assumed that ordinances prescribing principles and mechanisms of PE or concrete methods of citizen participation in administrative evaluation will possibly be enacted. As a matter of fact, considering that evaluation activities have been vitalized at administrative organizations through the legislation of policy evaluation and administrative evaluation, ensuring legitimacy is certainly a promoting factor for widely spreading PE since positive influences can be exerted on the spreading approaches as well as the degree of citizen involvement.

Conclusion: Issues regarding PE for Future Consideration

This article considered the ways of citizen participation mainly at administrative organizations in the primary sector based on two suppositions regarding the effectiveness of introducing PE. It will be beneficial to gain lessons and make proposals through case studies and analyses of PE in order to examine the effectiveness of introducing PE in the future. Meanwhile, as mentioned earlier, almost no reference or report can be found of cases of evaluation for collaboration activities between major actors, or of citizen participation in policy evaluation or administrative evaluation. Therefore, it is highly desirable that PE will be widely spread in each sector including at administrative organizations and that a number of cases of PE will be reported in the future. Also, through case studies, it is expected that: 1) the methodologies of PE will be developed and systems for its application will be established; and, in concrete, that 2) knowledge will be accumulated with regard to appropriate methodologies of PE and approaches for introducing PE depending on the entity of project implementation, the type of projects and the way of implementation systems.

When applying PE to collaboration activities of COs with government or corporations, it can be effective to establish new evaluation criteria, indicators and guidelines depending on the nature of collaboration from the viewpoint of, for example, the degree of maturity of civic society. Accumulating know-how and experience through developing such systems will lead to accelerating citizen participation in various activities in entire civil society in Japan in the future. COs play crucial roles for citizen participation in evaluation activities, and thus, are expected to establish good supporting systems as entities that can speak for the citizen. In the meantime, the raison-être and roles of COs are generally not understood well in civil society in Japan, and it is urgently needed to promote further understanding among major actors as well as citizens in order to accelerate citizen participation in civil society.

As for the side of the citizen, it is incumbent to clearly recognize the roles they can play in relation to COs, and it is expected that raising citizens' awareness will revitalize COs and lead to the development of a tertiary sector, which in turn will contribute to balancing the three sectors in achieving development of civil society. That is to say, sound, fair and better civil society will be realized, in the sense that citizens will be in an equal position to other actors, through citizens' understanding of their rights and duties, opportunities and roles as constituents of civil society, as well as participating in important decision-making in governing civil society by utilizing approaches such as PE.

The shortcomings of this article include the following: 1) it does not deal with public-service corporations or communities since it mainly focuses on NPOs among COs in Japan; 2) it does not discuss much about the situation surrounding corporations; and 3) it does not deal with concrete cases of collaboration among actors or citizen participation since it emphasizes overviewing an entire picture of the current situation of citizen participation in civil society in Japan. It is highly expected that knowledge and experience will be accumulated through studies of concrete cases of citizen participation in Japan by researchers and practitioners, research on different collaboration approaches among major actors in civil society in other countries, and comparative studies of the current situation surrounding the application of PE and citizen participation in civil society between various countries.

Acknowledgement

The viewpoints and thoughts covered in this article all come from the author. I would like to acknowledge those referees who provided me with instructive advice.

Notes

1 This article clearly distinguishes concepts such as citizen, civic organization, civil society and the tertiary sector, considering the fact that these concepts are sometimes confused with one another and their relationships are not clarified in many literatures.

2 This article focuses on the roles of COs and thus, does not deal with "community."

3 In Figure 2, "citizen" is independent of other three entities on the assumption that each individual who is a constituent of civil society can take different positions in different situations—that is, he/she becomes "a (general) citizen" once he/she is released from any role to play at the institution he/she belong to, no matter what entity it is. In this article, the terms "citizen" and "civic organization" are clearly distinguished.

4 Since the NPO Law came into effect in December 1998, the number of newly registered NPOs has been increasing. As of the end of August 2010, 40,689 NPOs are registered and certified (Cabinet Office 2010). Regarding public-service corporations, legal system reforms were carried out in December 2008. Some authors point out that COs in Japan generally include other types of institutions in addition to NPOs and public-service corporations. NIRA (2004) mentions that *Shohiseikatsukyodokumiai* (consumers' cooperatives), *(Danchi)kanrikumiaihojin* (home owners' association corporations), *Ninkachiendantai* (certified territorial organizations), and *Koekishintaku* (charitable trusts) can be included in a wide variety of COs. Yamaoka (2004) refers to civil society organization (CSO) as private organization of various standpoints or characteristics, and explains that CSO also can include residents' association such as neighborhood self-governing body or community, as well as civic organization without juridical personality. However, this article does not deal with these organizations.

5 In the United States, (3) and 6) are considered indispensable and important characteristics, whereas in continental Europe, (3) is not necessarily indispensable and (6) is excluded (Kanagawa 2008).

6 NPOs receive a certification by the administrative agency in charge at the time of their establishment. NIRA (2004) points out that not all NPOs are considered to be implementing activities of public interest because a high level of independence is ensured in NPOs organization management after having received their certification. Also, many cases of decertification of NPOs have recently been reported (Cabinet Office 2010).

7 According to the Cabinet Office (2004), 40 prefectural governments and 413 municipalities were implementing projects in collaboration with COs. Also, the Cabinet Office (2007) mentions that about 75 percent of 1,019 respondent NPOs among 3,000 NPOs as survey targets were being in collaboration or partnership with government.

8 According to the results of survey on CSR targeting member companies in 2009 by the Japan Business Federation, 74 percent of 437 respondent companies have stipulated CSR basic principles and strategies, appointed board members, and established

cross-company mechanisms as well as CSR-specific departments in order to promote CSR activities (Japan Business Federation 2009).

9 Refer to Ishikawa Prefecture (2005), Fukuoka Prefecture (2009) and CIRAC (2009), for example.

10 Refer to Morita (2009), for example, for discussions of the roles of COs in establishing strategies and visions as a social mission.

11 According to Okubo (2005), these ordinances are generally classified, based on the types of their provisions, as follows: 1) basic principles for autonomy; 2) principles for participation and collaboration; 3) systematizing participation and collaboration methods; 4) individual participation and collaboration systems; 5) provisions regarding support for NPOs; 6) combining principles for participation and collaboration and provisions regarding support for NPOs; 7) provisions regarding community organizations; and 8) participation and collaboration mechanisms for individual specific areas. Ordinances on the ombudsman system, the public comment system and the council system are mainly classified into (3) and (4).

12 With regard to citizen involvement in corporations, Kojima (2007), for example, asserts that the citizen essentially has rights to exercise influence over corporations and refers to the concepts of "right for reform" and "right for opposition" as a direct and an indirect right respectively. He explains that the latter is the citizen's action itself that is not prescribed in law, while the former has not been institutionalized yet although it needs to be legislated in the near future. Regarding CSR, it has not been legislated in Japan yet, and one main factor in the background is a strong opposition by the business circles against government to take the lead in the legislation process (Japan Business Federation 2004).

13 According to the polls carried out by the Cabinet Office in 2010, more than 70 percent of the respondents indicated that public opinions or ideas are not reflected on overall government policy (Cabinet Office 2010).

14 *Shain* here does not refer to the staff, but to members who have a right and a duty to vote at the general meeting of members, the highest organ of decision-making at an NPO, that must be held at least once a year where decisions on important matters are made (NPO C's 2010).

15 Refer to Morita (2009), for example, for detailed discussions of accountability of COs.

16 As of October 2008, administrative evaluation has been introduced to 864 municipalities including all prefectural governments and ordinance-designated cities among the all 1,857 municipalities in Japan (MOIAC 2009).

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Publication Policy of the Japanese Journal of Evaluation Studies

Last revised on 15th February 2005

The Purpose and the Name

1. The Japan Evaluation Society (hereinafter referred to as “evaluation society”) publishes “The Japan Journal of Evaluation Studies (hereinafter referred to as “evaluation study”) in order to widely release evaluation studies and outputs of practical activities to domestic and international academic societies, interested individual and institutions, and contribute to the advancement and prevalence of evaluation practice.

Editorial Board

2. The editorial board administrates editing of evaluation study based on the editorial policy stated below.
3. The editorial board is formed with less than 20 members of the evaluation society who are assigned by the board of directors. Terms of editors are two years but can be extended.
4. The editorial board assigns one editor-in-chief, two vice-editors-in-chief, and a certain number of standing editors among the members.
5. The editorial board may hold at least one meeting to discuss the editing policy, plans of editorial board, and others.
6. The editorial board reports activities to the board of directors as needed and receives approval. Also it is required to report the progress of the past year and an activity plan for the following year at the annual conference.
7. The editor-in-chief, the vice-editors-in-chief and the standing editors organize the standing committee and administrate editing on a regular basis.

Editorial Policy

8. The evaluation study, as a principle, is published twice a year.
9. The evaluation study is printed on B5 paper, and either in Japanese or English.
10. Papers published in the evaluation study are categorized as five types;

10.1. Review
10.2. Article
10.3. Research note
10.4. Report
10.5. Others

11. The qualified contributors are members of the evaluation society (hereinafter referred to as “members”) and persons whose contribution is requested by the standing editors. Joint submission of members and joint submission of non-members with a member as the first author are accepted. Submission by the editors is accepted.
12. Submitted manuscripts are treated as the above categories, however, the standing editors will decide based on the application of the contributors and the following guidelines;

12.1. “Review” is a paper, which provides an overview of evaluation theory or practice. The editorial board will make the decision regarding publication.
12.2. “Article” is considered as a significant academic contribution to the theoretical development of evaluation or understanding of evaluation practice. The standing editors committee makes adoption judgments following the referee-reading process described in the next section.
12.3. “Research note” is a discussion equivalent to the intermediate outputs of a theoretical or empirical enquiry. The standing editors committee makes adoption judgments following the referee-reading process described in the next section.

12.4. “Report” is the study report related to a practical evaluation project or evaluation. The standing editors committee makes adoption judgments following the referee-reading process described in the next section.

12.5. “Others” includes requested papers for special editions organized by the editorial board and announcements from editorial board to members regarding publication.

13. The editorial board selects two referee readers. For the “article”, the editorial board makes adoption judgments referring to the results from referee readings and comments provided by one editor assigned by the editorial board. For “review”, “research note”, “report” and “others”, the editorial board makes adoption judgments referring to the results from referee readings.

14. When editors submit a manuscript, the editors are not allowed to attend any of the standing editors committee meetings or editorial board meetings regarding the manuscript.

15. The standing editors have alternative of approval or not-approval for adoption judgment of manuscripts submitted to any categories. However exception is permitted if the editorial board approves the publication after minor rewrite. Even if the manuscripts are considered insufficient as an “article”, standing editors can decide whether the manuscripts are published as a “research note” or “report” if the authors wish to publish.

Formulation and Release of Submission Procedure

16. The editorial board formulates the submission procedure based on the editorial policy described above and release after approval from the board of directors.

Distribution

17. The evaluation study is distributed to all members for free and distributed to non-members for a charge.

Distribution of the Printed Manuscript

18. 30 copies of the respective paper are reprinted and distributed to the authors. The authors must cover any costs incurred by author’s requests for printing more than 30 copies.

Release on the Internet

19. The papers published in the evaluation study are released on the internet with approval from the authors.

Copyright

20. Copyright of papers which appear in the evaluation study is attributed to the respective authors. Editorial right is attributed to the evaluation society.

Office

21. The office is in charge of administrative works for editing, distribution, and accounting.

Information for Contributors
(For English Papers)

Last revised on 29th September 2008

1. "The Japanese Journal of Evaluation Studies" is the publication for reviews, articles, research notes, and reports relating to evaluation.

2. "The Japanese Journal of Evaluation Studies" is primary published to provide opportunities for members of the Japan Evaluation Society (hereinafter referred to as "members") to exchange findings, and to contribute to further development of the study of evaluation both domestically and internationally. As a principle, this journal publishes the contributions submitted by the members. With the exception of requested papers, the first author must be a member. A submission (as the first author) is limited to one manuscript that has not been published or submitted in any form for another journal of academic association etcetera.

3. Adoption judgments of the manuscript are made at the discretion of the editorial board. Comments from two referee readers who are appointed for every manuscript are referred to in the screening process (the editorial board requests referee readers without notifying the author of manuscript).

4. Payment for the manuscript is not provided.

5. Papers published in "The Japanese Journal of Evaluation Studies" are released on the Internet at homepage of this academic society.

6. Regarding submission, manuscripts must be identified as one of the following categories: 1) article, 2) review, 3) research note, 4) report, and 5) others. However, the final decision of the category is made by the editorial board.
   "Article" is considered as a significant academic contribution to the theoretical development of evaluation or understanding of evaluation practice.
   "Review" is a paper which provides an overview of evaluation theory or practice.
   "Research note" is a discussion equivalent to the intermediate outputs of a theoretical or empirical study in the process of producing an "article".
   "Report" is the study report related to a practical evaluation project or evaluation.
   "Others" are manuscripts for special editions requested by the editing committee.

7. Manuscript Submission
   (1) Manuscripts may be written in either Japanese or English.
   (2) Correction by the author is only for the first correction.
   (3) English manuscripts should be submitted only after the English has been checked by a native speaker.
   (4) Submit four hard copies (A4 size) of the manuscript. Contact information including mailing address, telephone number, fax number, and e-mail address, and the category of the manuscript should be clearly stated.
   For approved manuscripts, after necessary rewriting, the author needs to submit two hard copies of the final paper as well as a text file saved on a DOS/V formatted floppy disk. Original figures, charts, and maps should be provided.
   (5) Total printed pages should not exceed 14 pages. Any cost incurred by printing more than 14 pages must be covered by the author.
   (6) The layout for English papers should be 30 mm of margin at left and right side, 10pt for font size, 43

lines on A4 paper (about 500 words per page). An abstract of 150 words should be attached to the front. 14 pages are equivalent to 7,000 words but the body should not exceed 6,000 words to allow for the title, header, figure, chart, footnotes, and references. Please note that the number of pages may be more than expected depending on the number of figures included.

8. Mailing address
Office of Japan Evaluation Society at International Development Center of Japan
Hitachi Soft Tower B 22nd Floor, 4-12-6, Higashi-Shinagawa, Shinagawa, Tokyo,
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Writing Manual of the Japanese Journal of Evaluation Studies (For English Papers)

Revised on 18th September 2002

1． Text, Charts, Figures, Graphs, Diagrams, Notes, and References

(1) The paper should be written in the follow order:

First page: Title; the author's name; Affiliation; E-mail address; Abstract (150 words); Keywords (5 words)

Second page: The main text; acknowledgement; notes; references

(2) Section of the text should be as follow:

1.
1.1
1.1.1
1.1.2

(3) Source of the charts, figures, graphs, and diagrams should be clarified. Submitted charts and others will be photoengraved, therefore it is important that the original chart is clear. Pictures shall be treated as figures.

Figure 1 Number of Students in the State of ○○

Note:
Source:

Table 1 Number of Accidents in the State of ○○

Note:
Source:

(4) Citation of literature in the text should be, (Abe 1995, p.36) or (Abe 1995).
(5) Note in the text should be, (------.[1])

(6) Note and references should be written all together in the end.
Note
1 --------.
2 --------.

(7) Reference should list the literature in alphabet order, and arranged in chronological order. Follow the examples:

Book: author (year of publication). *Title of the book.* Published location: publishing house.

(e.g.) Rossi, P. H. (1999). *Evaluation: A Systematic Approach 6th edition.* Beverly Hills, Calif: Sage Publication.

Article from magazine: author (year of publication). Title. *Title of the magazine*, volume (number), page-page.

(e.g.) Rossi, P. H. (1999). Measuring social judgments. *American Journal of Evaluation*, 15(2), 35-37.

Article in Book: author (year of publication). Title. In editor (Eds.), *Title of the book.* Published location: publishing house, page-page.

(e.g.) DeMaio, T. J., and Rothgeb, J. M. (1996). Cognitive interviewing techniques: In the lab and in the field. In N. Schwarz & S. Sudman (Eds.), *Answering questions: Methodology for determining cognitive and communicative processes in survey research.* San Fransisco, Calif: Jossey-Bass, 177-196.

Book by two authors: surname, first name, and surname, first name. (year of publication). *Title of the book.* Published location: publishing house.

(e.g.) Peters, T., and Waterman, R. (1982). *In Search of Excellence: Lessons from America's Best Run Companies.* New York: Harper & Row.

Book by more than three authors: surname, first name, surname, first name, and surname, first name. (year of publication). *Title of the book.* Published location: publishing house.

(e.g.) Morley, E., Bryant, S. P., and Hatry, H. P. (2000). *Comparative Performance Measurement.* Washignton: Urban Institute.

(note 1) If some references are from the same author with the same publication year, differentiate by adding a,b,c as (1999a), (1999b).

(note 2) If the reference is more than a single line, each line from the second should be indented by three spaces.

(e.g.) DeMaio, T. J., and Rothgeb, J. M. (1996). Cognitive interviewing techniques: In the lab and in the field. In N. Schwarz & S. Sudman (Eds.), *Answering questions: Methodology for determining cognitive and communicative processes in survey research.* San Fransisco, Calif: Jossey-Bass, 177-196.

Referee-Reading Guideline

The Japanese Journal of Evaluation Studies Editorial Board,
The Japan Evaluation Society
Approved on 10th September 2005

1. Content of the Referee-Reading Guideline

This Referee-Reading Guideline is to provide explanation of the main publication judgment, procedure of the referee-reading, to the members who submit the manuscript and for the members who are requested to conduct referee-reading in order to carry out the procedure efficiently and effectively.

2. Purpose of Referee-Reading and the Responsibility of the Author

Referee-reading is necessary for the editorial board to make decisions of whether submitted manuscripts are appropriate to publish in the Japanese Journal of Evaluation Studies or not.

If there is doubt or obscurity identified in manuscripts during the referee-reading corrections may be required. Therefore, referee-reading also contributes to the improvement of the submitted manuscripts. However, although the manuscripts are requested corrections, the author is still solely responsible in regards to the contents and it is not attributed to the referee-readers.

Referee-readers are two persons who are requested by the editorial board depending on the specialty or the field of the submitted manuscript. People who are not members of this academic society also may be requested.

3. Items of Consideration in Referee-Reading

Five points are considered in referee-reading, however, the importance of each may be different depending on the type of manuscript.

(1) Importance and utility of the theme
(2) Originality of the study
(3) Structure of the logic
(4) Validity of verification and methodology
(5) Contribution to evaluation theory and practice

- For the article, all of above five are considered.
- For the research note, especially (1), (2), (3), and (4) are considered.
- For the report, especially (1), (3), and (5) are considered.
- For the review, especially (3) and (5) are considered.

4. Attentions in submission of manuscript

Besides above five viewpoints, basic completeness as a paper is also considered, for example;
- appearance of the paper is organized
- written according to the writing manual
- described simply and distinctive
- verification data is appropriately used
- notes and references are corresponding with the text
- terminology is appropriately used
- no wording and grammatical mistakes
- no errors and omission
- no punctuation mistakes
- expression in English abstract is appropriate
- word count is according to the manual

The above mentioned forms and contents are also considered. There have been cases in which graduate students and practitioners posted without organizing the manuscripts as a paper. On those occasions, referee-reading was not conducted. Necessary consultation is strongly recommended prior to submission.

5. Judgment Cases in Referee-Reading

(1) In the case of the manuscript which is considered acceptable for the publication but is not yet complete:
The referee reader should evaluate carefully whether the paper can contribute to the development of evaluation theory or evaluation studies.

- Verification is lacking but the theory and formulation are useful for academic development.
- Analysis lacking but useful for formation and promotion of new theory.
- The literature review is not of a high standard but, the overall study is meaningful.
- Comparative study is not up to standard but is meaningful as an example of application.
- Analysis is lacking but it is meaningful as an evaluation of socially and historically important cases.
- Analysis is lacking but it is meaningful as an evaluation of particular social activities.
- Organization and expression are not up to standard as a paper but the contents are worthy to evaluate.
- Logic is not strong enough but useful in practice.
- The paper has significance as a report.

(2) In case of the manuscript which is considered as difficult for publication:
- Awareness of the issue or setting of the problem is indecisive.
- Understanding or analytical framework of notion of basic terminology is indecisive or inappropriate.
- There is a lack in credibility of data for the grounds of an argument.
- There is no clear point of an argument or appropriateness of proof.
- Organization of the paper and presentation (terminology, citation, chart, etc) are inappropriate (or not consistent).

6. Judgment

The final decision will be made on publication at the standing editors committee following one of four patterns (listed below). However, these judgments are not based on the number of errors but on the strength of the overall report. In the case of (3) and (4), there is a possibility to be published as a different type of paper. If it is published as a different type of paper, major rewrite concerning the number of words may be required.

(1) The paper will be published.
(2) The paper will be published with minor rewrite.
(3) The paper will be published with major rewrite, however as a different type of paper (review, article, research note, or report).
(4) The paper will not be published; however there is the possibility that it will be published as a different type of paper (review, article, research note, or report).

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