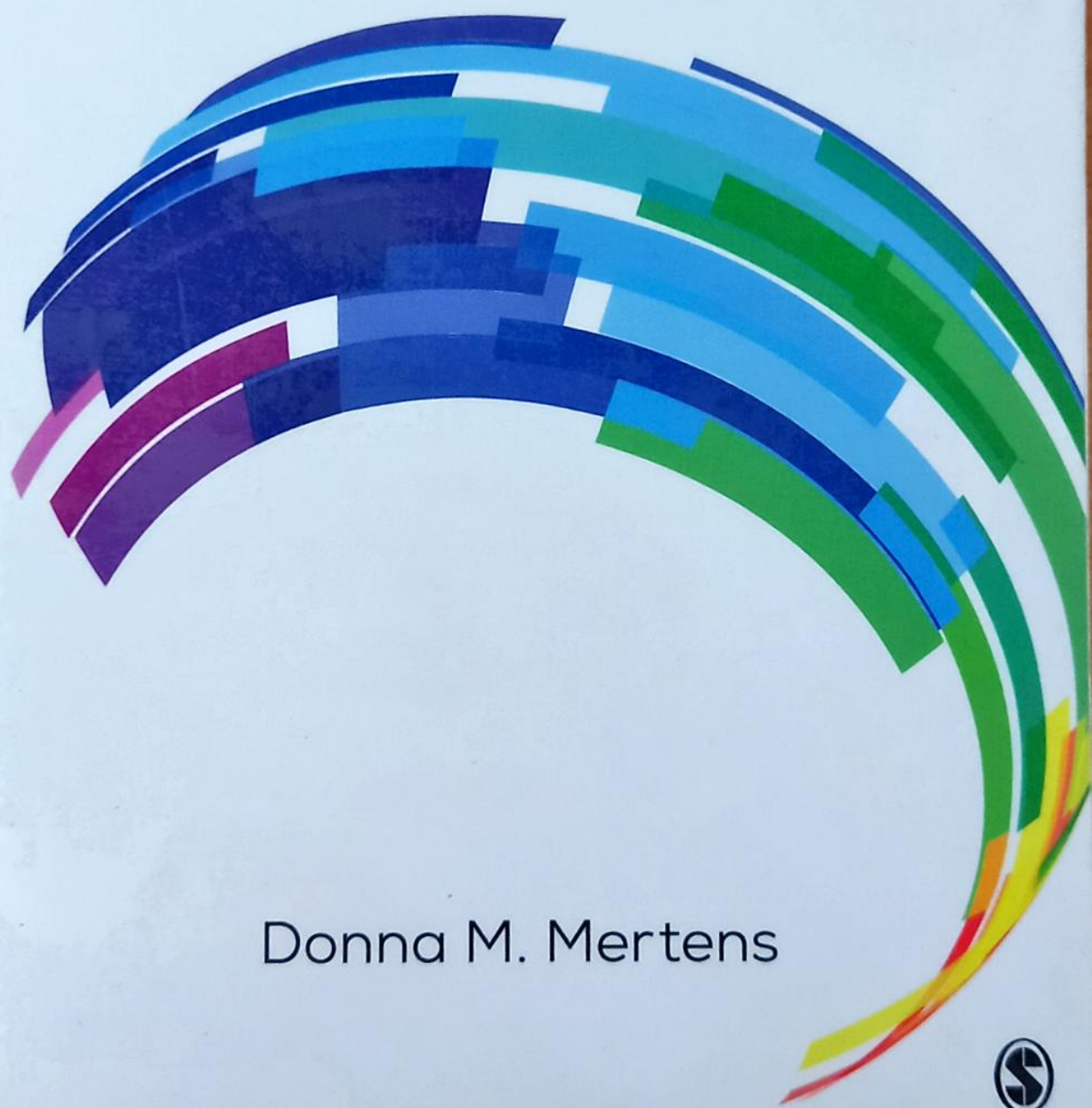


EVALUATION IN PRACTICE SERIES • 1

# Mixed Methods Design in **EVALUATION**



Donna M. Mertens



# Mixed Methods Design in Evaluation

**Donna M. Mertens**  
*Gallaudet University*



Los Angeles | London | New Delhi  
Singapore | Washington DC | Melbourne



FOR INFORMATION

SAGE Publications, Inc.  
2455 Teller Road  
Thousand Oaks, California 91320  
E-mail: [order@sagepub.com](mailto:order@sagepub.com)

SAGE Publications Ltd.  
1 Oliver's Yard  
55 City Road  
London EC1Y 1SP  
United Kingdom

SAGE Publications India Pvt. Ltd.  
B 1/1 Mohan Cooperative Industrial Area  
Mathura Road, New Delhi 110 044  
India

SAGE Publications Asia-Pacific Pte. Ltd.  
3 Church Street  
#10-04 Samsung Hub  
Singapore 049483

Acquisitions Editor: Helen Salmon  
Editorial Assistant: Chelsea Neve  
Production Editor: Kelly DeRosa  
Copy Editor: Mark Bast  
Typesetter: C&M Digital (P) Ltd.  
Proofreader: Lawrence W. Baker  
Indexer: Mary Mortensen  
Cover Designer: Candice Harman  
Marketing Manager: Susannah Goldes

Copyright © 2018 by SAGE Publications, Inc.

All rights reserved. No part of this book may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying, recording, or by any information storage and retrieval system, without permission in writing from the publisher.

Printed in the United States of America

*Library of Congress Cataloging-in-Publication Data*

Names: Mertens, Donna M., author.

Title: Mixed methods design in evaluation / Donna M. Mertens.

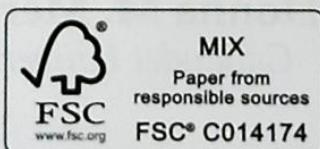
Description: Los Angeles : SAGE, 2018. | Series: Evaluation in practice series | Includes bibliographical references and index.

Identifiers: LCCN 2017004455 | ISBN 9781506330655 (pbk. : alk. paper)

Subjects: LCSH: Mixed methods research. | Social sciences—Research—Methodology.

Classification: LCC H62 .M423166 2018 | DDC 001.4/2—dc23  
LC record available at <https://lcn.loc.gov/2017004455>

This book is printed on acid-free paper.



17 18 19 20 21 10 9 8 7 6 5 4 3 2 1



# Brief Contents

Volume Editors' Introduction	xi
Preface	xv
Acknowledgments	xix
About the Author	xxi
Chapter 1. Mixed Methods in Evaluation: History and Progress	1
Chapter 2. Mixed Methods Designs to Evaluate Interventions	31
Chapter 3. Mixed Methods Evaluation Designs for Instrument Development	55
Chapter 4. Mixed Methods Evaluation Designs for Policy Evaluation	83
Chapter 5. Mixed Methods Evaluation Designs for Systematic Reviews	111
Chapter 6. Variations in Mixed Methods Evaluation Designs	133
Chapter 7. Trends, Challenges, and Advances in Mixed Methods Evaluation	175
Appendix. Key Resources for Additional Examples and Insights Into Mixed Methods Design in Evaluation	183
References	185
Index	197

# Detailed Contents

Volume Editors' Introduction	xi
Preface	xv
Acknowledgments	xix
About the Author	xxi
 Chapter 1. Mixed Methods in Evaluation: History and Progress	 1
History of Evaluation and Mixed Methods	2
Scope of This Book	3
Differentiating Mixed Methods Research and Mixed Methods Evaluation	3
Increased Interest in and Demand for Mixed Methods Evaluations	5
Professional Developments: Publications and Organizations	6
Complexity in Evaluation Contexts and the Role of Mixed Methods	6
Complexity Theory	10
Conceptual Framework: Paradigms and Branches of Evaluation	12
Philosophical Frames for Mixed Methods Evaluation	13
Connecting Paradigms With the Field of Evaluation	14
Postpositivism and the Methods Branch	17
Constructivist Paradigm and the Values Branch	18
Pragmatism and the Use Branch	19
Transformative Paradigm and the Social Justice Branch	20
Dialectical Pluralism and Mixed Methods Evaluation	21
Important Caveats and an Alternate Metaphor	23



Overview of Mixed Methods Approaches and Purposes	25
Criteria to Judge Quality in Mixed Methods	
Evaluation Design	28
Summary and Moving Forward: Overview of This Book	29
<b>Chapter 2. Mixed Methods Designs to Evaluate Interventions</b>	<b>31</b>
Evaluating Interventions	32
Methods Branch: Mixed Methods and Experimental	
Designs to Test Intervention Effectiveness	32
Values Branch: Qualitatively Dominant RCT	
Mixed Methods Design	37
Use Branch: Randomized Controlled Trial	
With Qualitative Methods	41
Social Justice Branch: Mixed Methods With RCT	
and Qualitative Designs	44
Dialectical Pluralism: Mixed Methods for	
Intervention Evaluations	48
Summary and Moving Forward	54
<b>Chapter 3. Mixed Methods Evaluation Designs</b>	
<b>for Instrument Development</b>	<b>55</b>
Instrument Development	56
Methods Branch: Mixed Methods and	
Instrument Development	57
Values Branch: Instrument Development With	
Qualitative Approach Dominant	60
Use Branch: Multiphase Instrument Development	67
Social Justice Branch: Instrument Development	72
Dialectical Pluralism: Instrument Development	76
Summary and Moving Forward	80
<b>Chapter 4. Mixed Methods Evaluation Designs</b>	
<b>for Policy Evaluation</b>	<b>83</b>
Policy Evaluation and Mixed Methods	84
Methods Branch: Mixed Methods Policy Evaluation	85
Methods Branch: Mixed Methods Survey/Interview	
Embedded Policy Analysis	88
Values Branch: Mixed Methods Policy Evaluation	92
Use Branch: Mixed Methods Policy Evaluation	95
Social Justice Branch: Mixed Methods Policy Evaluation	100
Dialectical Pluralism: Mixed Methods Policy Evaluation	105
Summary and Moving Forward	109


<b>Chapter 5. Mixed Methods Evaluation Designs for Systematic Reviews</b>	<b>111</b>
Mixed Methods and Systematic Literature Review	112
Methods Branch: Mixed Methods Systematic Reviews	113
Values Branch: Qualitatively Dominant Systematic Reviews	117
Use Branch: Mixed Methods Systematic Reviews	120
Social Justice Branch: Mixed Methods Systematic Reviews	123
Dialectical Pluralism: Mixed Methods Systematic Reviews	127
Summary and Moving Forward	131
<b>Chapter 6. Variations in Mixed Methods Evaluation Designs</b>	<b>133</b>
Mixed Methods Designs and Gender-Responsive Evaluation	134
Mixed Methods Designs and Indigenous Evaluation	140
Universal Design: Mixed Methods Designs With Persons With Disabilities and Deaf Persons	145
Mixed Methods Designs and Developmental Evaluation	151
Mixed Methods Designs and Needs Assessment	155
Mixed Methods Designs and Visual Spatial Data	159
Mixed Methods Designs and Arts-Based Evaluations	163
Mixed Methods Designs in Conflict Zones and Violently Divided Societies	167
Summary and Moving Forward	172
<b>Chapter 7. Trends, Challenges, and Advances in Mixed Methods Evaluation</b>	<b>175</b>
Trends and Challenges for the Future of Mixed Methods	175
Philosophy and Methodology	176
Innovative Designs	177
Technological Advances and Big Data	177



Preparation of Mixed Methods Evaluators	178
Responsiveness to Complex Social Problems	180
Integration and Dissemination in Mixed Methods Evaluation	181
Conclusions and Moving Forward	182
<b>Appendix. Key Resources for Additional Examples and Insights Into Mixed Methods Design in Evaluation</b>	<b>183</b>
<b>References</b>	<b>185</b>
<b>Index</b>	<b>197</b>



Christina A. Christie and Marvin C. Alkin  
Series Editors



*"This text provides students of evaluation an inspiring and thorough understanding of the variety of ways evaluation is made more complete and valuable through the use of mixed methods designs."*

—Kathleen Norris, Plymouth State University

*"A great resource for conceptualizing, designing, and implementing mixed methods evaluations for complex interventions or issues."*

—Sebastian Galindo, University of Florida

*"This text contains a wealth of information regarding mixed methods evaluation designs. It will be a go-to text for years to come!"*

—Jori N. Hall, University of Georgia

In this groundbreaking first volume of SAGE's *Evaluation in Practice Series*, best-selling author Donna M. Mertens explores the meaning of mixed methods evaluation, its evolution over the last few decades, and the dominant philosophical frameworks that are influencing thought and practice in the field today. Four chapters explore evaluation of the effectiveness of interventions, development of instruments, systematic reviews, and policy evaluations, while an additional chapter covers mixed methods designs appropriate to specific contexts. Practical in nature, the book includes definitions of relevant concepts, sample studies that illustrate mixed methods designs, specific steps for each design, and application exercises.

SAGE's *Evaluation in Practice Series* offers concise, practical books for students and professionals working as evaluators. To learn more about each text in the series, please visit [www.sagepub.com/eips](http://www.sagepub.com/eips).



Cover image: ©istockphoto.com/AliceLiddelle

ISBN 978-1-5063-3065-5



 **SAGE** [www.sagepublishing.com](http://www.sagepublishing.com)  
Los Angeles | London | New Delhi | Singapore | Washington DC | Melbourne