



AgEcon SEARCH
RESEARCH IN AGRICULTURAL & APPLIED ECONOMICS

The World's Largest Open Access Agricultural & Applied Economics Digital Library

This document is discoverable and free to researchers across the globe due to the work of AgEcon Search.

Help ensure our sustainability.

Give to AgEcon Search

AgEcon Search

<http://ageconsearch.umn.edu>

aesearch@umn.edu

*Papers downloaded from **AgEcon Search** may be used for non-commercial purposes and personal study only. No other use, including posting to another Internet site, is permitted without permission from the copyright owner (not AgEcon Search), or as allowed under the provisions of Fair Use, U.S. Copyright Act, Title 17 U.S.C.*

Utilization-focused evaluation for agricultural innovation

Michael Quinn Patton and Douglas Horton

Utilization-focused evaluation (UFE) is based on the principle that an evaluation should be judged by its utility. So no matter how technically sound and methodologically elegant, an evaluation is not truly a good evaluation unless the findings are used. UFE is a framework for enhancing the likelihood that evaluation findings will be used and lessons will be learnt from the evaluation process. This Brief, based on the book *Utilization-focused evaluation*, introduces this approach to evaluation, outlines key steps in the evaluation process, identifies some of the main benefits of UFE, and provides two examples of UFE in the context of programmes aimed at promoting agricultural innovation.

Introduction

Programme evaluation is the systematic collection of information about the activities, characteristics, and outcomes of programmes¹ so as to make judgments about the programme, improve programme effectiveness and/or inform decisions about future programming. Utilization-focused programme evaluation, or more simply utilization-focused evaluation (UFE), is done for and with specific, intended primary users for specific, intended uses. This ILAC Brief provides a brief introduction to UFE. Readers interested in additional information on the reasons for adopting a utilization-focused approach to evaluation, the logic of the approach, and detailed methods for implementing it are referred to the fourth edition of *Utilization-focused evaluation* (Patton, 2008).

Evaluation use is too important to be merely hoped for or assumed. Use must be planned for and facilitated. Therefore, utilization-focused evaluators design evaluations and facilitate their implementation carefully considering how everything that is done, from beginning to end, will affect use. The focus in UFE is on intended use by intended users.

UFE requires moving from the general and abstract to the real and specific – from *possible* audiences and *potential* uses to *actual*, primary intended users and *concrete*, specific uses. The evaluator facilitates decision-making by intended users rather than acting simply as an independent judge.

UFE is highly personal and situational. The evaluator develops a working relationship with intended users and helps them determine what kind of evaluation they need. The evaluator offers a menu of possibilities and highlights the effects that specific methods might have on the evaluation process and results. But s/he does *not* depend on or advocate any particular evaluation focus or method, theory, or even use. Rather, s/he works with primary intended users to select the most appropriate evaluation focus, design, methods and uses for their particular situation.

In considering the rich and varied menu of evaluation, UFE can include any evaluative purpose (summative, formative, or developmental), any kind of data (quantitative or qualitative), any kind of design (ranging from naturalistic to experimental) and any kind of focus (e.g. on programme design, implementation, or results). *UFE offers a process for making decisions about these issues in collaboration with an identified group of primary users focusing on the intended uses of the evaluation.*

A psychology of use underpins and informs utilization-focused evaluation. Research on evaluation use (cf. Patton, 2008) has revealed that:

- Intended users are more likely to use evaluations if they understand and feel ownership of the evaluation process and findings
- They are more likely to understand and feel ownership if they've been actively involved
- By actively involving primary intended users, the evaluator is preparing the groundwork for use.

To target an evaluation on the information needs of a specific person or group of identifiable persons is quite different from what has been traditionally recommended as 'identifying the audience' for an evaluation. Audiences are amorphous, anonymous entities. Nor is it sufficient to identify an agency or organization as a recipient of the evaluation report. People, not organizations, use evaluation information – thus the importance of what we call the *personal factor* (Box 1).

Box 1. The personal factor

Studies of evaluation use have looked at the importance of a long list of factors that may affect the use of evaluation results. These factors include the quality and appropriateness of methods, timeliness, positive or negative findings, political factors, resources available and interactions between evaluators and decision makers (Patton, 2008: Chapter 3). Results have highlighted two key groups of factors: (1) political considerations, and (2) what we refer to as the *personal factor*.

The personal factor refers to the presence of an identifiable individual or group of people who genuinely care about the evaluation and its findings. Where such a person or group is actively involved with and interested in an evaluation, the results are more likely to be used. When the personal factor is absent, the evaluation is less likely to be used and to have an impact. When the personal factor emerges, when some individuals take direct, personal responsibility for getting findings to the right people, evaluations have an impact.

The importance of the personal factor leads directly to UFE's emphasis on working with intended users to specify intended uses. The personal factor directs us to attend to specific people who understand, value and care about evaluation, and further directs us to attend to their interests. This is the primary lesson the profession has learned about enhancing use.

Source: Patton, 2008: Chapter 3.

¹A programme is defined here as any set of activities designed and implemented to achieve specific objectives. A programme may consist of a small set of activities, often referred to as a project, or to a set of projects designed to achieve a common goal.

July 2009

ILAC Brief 22

While concern about utility drives a UFE, the evaluator must also attend to the evaluation's accuracy, feasibility and propriety (Joint Committee on Standards for Educational Evaluation, 1994). As the evaluator negotiates with intended users, whether the evaluator is internal or external, whether the relationship with intended users is a new or longstanding one, and regardless of the primary purpose (e.g. programme improvement or accountability), the evaluator is mindful of both the evaluation's credibility *and* the evaluator's credibility. These are integrally linked. The evaluator represents the larger profession and is expected to adhere to its standards as a matter of professionalism but also because credibility is critical to use. Evaluations that are fair and balanced are more credible and therefore more likely to be useful – and actually used. This sometimes means that evaluators must help intended users see why it is in their own best long-term interest to have high quality, credible evaluations that report on both strengths and weaknesses.

Steps in the UFE process

1. Identify primary intended users

The first step in UFE is to identify potential users of the evaluation. It's important to explicitly identify key stakeholders of the evaluation – people who can use or are likely to be affected by the evaluation, either positively or negatively. To identify stakeholders, it's useful to ask three questions:

- Who knows about the programme to be evaluated?
- Who cares about the programme to be evaluated?
- Who can use the evaluation to change the programme?

In any evaluation, there are many possible stakeholders, including programme funders, managers, staff, programme participants, and clients. Since no evaluation can answer all possible questions for all stakeholders, priorities need to be set. The UFE process begins by narrowing the list of potential stakeholders to a specific group of primary intended users whose interests and information needs focus the evaluation.

Selecting a set of primary intended users is an inherently political process, in which the evaluator and the evaluation contractor need to balance concerns for openness, participation and empowerment on the one hand, with concerns for practicality and feasibility on the other.

An important task for the utilization-focused evaluator is to make the person(s) who are requesting or contracting for the evaluation aware of the diverse groups of stakeholders and the potential benefits (and drawbacks) of involving them directly in the evaluation process, as primary intended users. Expanding the range of stakeholders directly responsible for the evaluation helps ensure that the evaluation will be useful for the groups they represent. But it also increases the cost and complexity of the evaluation. Ultimately, the evaluation contractor must decide on the breadth of stakeholder involvement s/he wishes to pursue. Where possible, intended users, representing diverse stakeholder groups, are brought together in some way (for example, in an evaluation task force), to work with the evaluator and share in making major decisions about the evaluation.

2. Gain commitment to UFE and focus the evaluation

Once a set of primary intended users has been identified, the next step is for the evaluator to gain their commitment to a set of intended uses of the evaluation and determine the focus of the evaluation, which might be summative, formative, or developmental (Box 2).

Prioritizing and selecting a short list of key evaluation questions generally involves considering the relative importance of focusing on the adequacy of the programme's theory of action, programme implementation, achievement of objectives, programme impacts, or sustainability of the intervention or its results. The evaluator works with intended users to determine priority issues and evaluation uses, paying attention to political and ethical considerations. S/he also helps the group appreciate the time and resources that will be needed to

Box 2. Summative, formative and developmental evaluations

Evaluations are carried out for many different purposes. Among them, three main purposes stand out: (1) reaching critical judgments about a programme, (2) programme improvement, and (3) programme and organizational development over time.

Summative, or judgment-oriented evaluations are carried out to determine the overall merit, worth, significance, or value of something. These evaluations are generally carried out to provide judgments that can inform major decisions, for example, whether or not to continue a programme, expand it, or change it in some basic way. The intended users of summative evaluations are often external to the programme, for example, the agencies that fund the programme or potential users (customers) of programme outputs.

A *formative, or improvement-oriented evaluation* is carried out to improve a programme. Whereas a judgment-oriented evaluation requires preordained, explicit criteria and values that form the basis for judgment, improvement-oriented evaluations tend to be more open-ended, gathering a variety of data about strengths and weaknesses with the expectation that both will be found and each can be used to inform an ongoing cycle of reflection and innovation.

A *developmental evaluation* involves changing the intervention, adapting it to changed circumstances, and altering tactics based on emergent conditions. Developmental evaluations are designed to be congruent with and nurture developmental, emergent, innovative, and transformational processes. In this sense, they can be particularly useful for programmes that evolve over time as they address emerging issues in changing environments.

Source: Patton, 2008: Chapter 4.

undertake a UFE, and to ascertain their readiness to participate in the evaluation. In a style that is interactive and situationally responsive, the evaluator helps intended users answer the following types of question:

- "Given the available resources and expected uses, is the evaluation worth doing?"
- "Are we as a group ready to make the investment of time and effort needed to conduct a useful evaluation?"
- "To what extent are we committed to using the results of the evaluation?"

3. Decide on evaluation methods

The third overall stage of the UFE process concerns methods, measurement and design decisions. Primary intended users are involved in making methods decisions so that they fully understand the strengths and weaknesses of the findings. A variety of options may be considered, including the use of:

- Qualitative vs. quantitative data and methods
- Naturalistic, experimental, or quasi-experimental designs
- Purposeful or probabilistic sampling approaches
- Greater or lesser emphasis on generalizations (vis-à-vis context-specific conclusions and recommendations)
- Alternate ways of dealing with potential threats to validity, reliability and utility.

In some settings (for example in agricultural research organizations with strong bio-physical research traditions), potential users may have a strong preference for experimental designs and quantitative methods, whereas in other settings (for example in non-profit organizations) there may be a preference for the use of naturalistic designs and qualitative analysis.

Discussions at this stage will include attention to issues of methodological appropriateness, relevance and believability of the data,

understandability, accuracy, credibility, balance, practicality, propriety, and cost. As always, the overriding concern will be utility. Will results obtained from these methods be useful – and actually used?

4. Analyze and interpret findings and reach conclusions

Once data have been collected and organized for analysis, intended users are actively and directly involved in interpreting findings, making judgments based on the data, and generating recommendations. Specific strategies for use can then be formalized in light of actual findings, and the evaluator can facilitate follow through on actual use. *A critical point here is that the evaluation is not complete when the final report is written.* UFE involves follow through after findings are generated to facilitate and monitor use. For this to happen, it needs to be built in to evaluation budgets.

5. Disseminate evaluation findings

Finally, decisions about the dissemination of evaluation findings can be made beyond whatever initial commitments were made earlier in planning for intended use. This reinforces the distinction between intended use by intended users (planned utilization) versus more general dissemination for broad public accountability (where both hoped-for and unintended uses may occur). Follow-up studies of evaluation use show that indirect and unanticipated uses of evaluation do occur, and unintended users emerge through dissemination of findings. Such additional uses are often the ripple effects of intended use by intended users, as they play a role in disseminating findings to their own networks. Thus, thoughtful and targeted dissemination is important, and can lead to secondary use, but the first priority remains intended use by intended users. Dissemination decisions and processes flow from there.

In practice, it's usually two steps forward and one step back...

While in principle there is a straightforward, one-step-at-a-time logic to the unfolding of a UFE, in reality the process is seldom simple or linear. For example, the evaluator may find that new users become important or new questions emerge in the midst of methods decisions. Nor is there necessarily a clear cut distinction between the processes of focusing evaluation questions and making methods decisions. Questions inform methods and methodological decisions can inform questions.

Throughout this back-and-forth, non-linear evaluation decision-making and negotiating process, the evaluator is learning what is most relevant and meaningful to intended users, and they are learning what evaluation can provide that will make a difference to what they do. This mutual learning helps focus the evaluation's utility and increases the willingness of busy decision makers to spend time on evaluation. They will spend time on what they find valuable and relevant. The evaluator has to figure out what that is.

Evaluator roles and competences

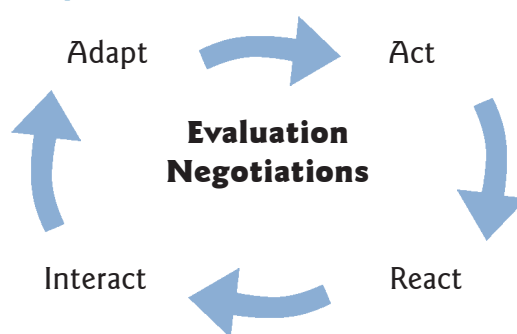
UFE involves negotiations between the evaluator(s) and intended users throughout the evaluation process. The design of a particular evaluation depends on the people involved and their situation. The standards and principles of evaluation provide overall direction, a foundation of ethical guidance, and a commitment to professional competence and integrity. But there are no hard and fast rules an evaluator can follow to know exactly what to do with specific users in a particular situation. This means *negotiating* the evaluation's intended uses. A successful evaluation (one that is useful, practical, ethical and accurate) emerges from the special characteristics and conditions of a particular situation – a mixture of people, politics, history, context, resources, constraints, values, needs, interests, and chance.

The phrase 'active–reactive–interactive–adaptive' describes the nature of the consultative interactions that go on between utilization-focused evaluators and intended users. The phrase is both descriptive and prescriptive. It describes how real-world decision-making actually unfolds. But it is also prescriptive in alerting evaluators to consciously

and deliberately act, react and adapt in order to increase their effectiveness in working with primary intended users.

Utilization-focused evaluators are, first and foremost, *active* in deliberately identifying intended users and focusing on useful questions. They are *reactive* in listening to intended users and responding to what they learn about the particular situation in which the evaluation unfolds. They *interact*, in back-and-forth dialogue, to figure out what is important, relevant, credible and useful. They are *adaptive* in altering evaluation questions and designs in light of their increased understanding of the situation and changing conditions. Active–reactive–interactive–adaptive evaluators don't impose cookbook designs. Nor do they use the same evaluation approaches and methods time after time. Arriving at the final evaluation design is a negotiated process that allows the values and capabilities of the evaluator to intermingle with those of intended users (Figure 1).

Figure 1. Working with primary intended users: Adaptive cycle



In addition to negotiation, the utilization-focused evaluator at times plays the role of facilitator, advisor, trainer, and manager. In light of the multiple roles that need to be played, utilization-focused evaluators require a broad range of competences that go beyond the skills of traditional academic disciplines related to a narrow range of 'best practice' research designs, data sources and analytical methods. Utilization-focused evaluators need to possess skills in a wider range of applied research designs and methods as well as skills in inter-personal communication, negotiation and facilitation of teamwork and group decision making. Professional evaluation associations around the world provide communities of practice and professional development opportunities to hone these essential competencies. The International Program for Development Evaluation Training (IPDET) offers courses that emphasize these non-technical but critical aspects of evaluation.

Benefits of UFE

Process use

Most discussions about evaluation use focus on the use of findings. However, being engaged in the processes of evaluation can be useful in itself, quite apart from the findings that may emerge from those processes. Reasoning processes are evaluation's donkeys – they carry the load. If, as a result of being involved in an evaluation, primary intended users learn to reason like an evaluator and operate in accordance with evaluation's values, then the evaluation has generated more than findings. It has been useful beyond the findings in that it has increased the participants' capacity to use evaluative logic and reasoning. Participating in a UFE can also contribute to the formation of productive working relationships and teamwork.

Process use refers to using the logic, employing the reasoning, and being guided by the values that underpin the evaluation profession (Box 3). Any evaluation can, and many do, have these kinds of effects. What's different about UFE is that the process of actively involving intended users increases these kinds of evaluation impacts. What's more, the possibility and desirability of learning from both evaluation processes and findings can be intentional and purposeful. In other

words, instead of treating process use as an unintended secondary benefit, paying explicit and up-front attention to the potential impacts of evaluation logic and processes can increase those impacts and make them a planned purpose for undertaking the evaluation. In this way, the evaluation's overall utility is increased.

How funders and users of evaluation think about and calculate the costs and benefits of evaluation are affected by whether or not process use is considered. The benefit–cost ratio of an evaluation increases if the evaluation goes beyond producing a report with findings and also contributes to staff development and organizational learning.

Building capacity for evaluation use

Just as students need experience and practice to learn to do evaluations, programmes and organizations need experience and practice to become adept at using evaluations for organizational learning and programme improvement. The field of evaluation is paying more and more attention to building capacity for evaluation into programmes and organizations (Horton et al., 2003; Preskill and Russ-Eft, 2005). An organization's openness to evaluation increases when its members and other stakeholders have positive experiences with evaluation – and learn to reflect on and take lessons from those experiences. A common problem in introducing evaluation to organizations has been attempting to do too much too fast, before sufficient capacity was developed to support useful evaluation. Capacities needed include management and staff understanding of the logic and values of programme evaluation, developing organization-specific processes for integrating evaluation into planning and programme development, and connecting evaluation to the latest understanding about organizational learning (Preskill and Torres, 1999).

Box 3. Process use

Process use occurs when those involved in the evaluation learn from the evaluation process itself or make programme changes based on the evaluation process rather than the evaluation's findings. Process use, then, includes cognitive, attitudinal, and behaviour changes in individuals, and programme or organizational changes resulting, either directly or indirectly, from engagement in the evaluation process and learning to think evaluatively (for example, goal clarification, conceptualizing the programme's theory of action, identifying evaluation priorities, struggling with measurement issues, participation in design and interpretation). Process use is reflected in statements like this:

"During the evaluation, we realized some ways to improve our work with partners, and we began implementing them even before the evaluation was done and the report was written."

Process use includes the effects of evaluation procedures and operations. Such uses of evaluation processes can affect programmes as much as, or even more than, the use of evaluation findings disseminated in evaluation reports.

Examples of UFE in agricultural research

UFE, like many other approaches developed in the field of programme evaluation, is not widely known in the field of agricultural research. Nevertheless, it builds on a long tradition of participatory and collaborative monitoring and evaluation (Estrella et al., 2000; Guijt, 2007). The following two cases illustrate how UFE has been applied in an international network and a regional Andean initiative.

International Network for Bamboo and Rattan

In late 2006, the International Network for Bamboo and Rattan

(www.inbar.int) engaged one of the authors (Horton) to evaluate its programmes. Headquartered in Beijing, INBAR's mission is to improve the wellbeing of bamboo and rattan producers and users while ensuring the sustainability of the bamboo and rattan resource base. The Dutch Government had initially requested and funded the evaluation as an end-of-grant requirement.

Step 1. Identify primary intended users. The first task was to ascertain the 'real' purposes and potential users of the evaluation. This process began with a face-to-face meeting with INBAR's Director and a call to a desk officer at the Dutch Ministry of Foreign Affairs, which revealed that the intent of both parties was for the evaluation to contribute to strengthening INBAR's programmes and management. During an initial visit to INBAR's headquarters, additional stakeholders were identified, including INBAR board members and local partners.

Step 2. Gain commitment to UFE and focus the evaluation. From the outset, it was clear that key stakeholders were committed to using the evaluation to improve INBAR's work. So the main task was to identify key issues for INBAR's organizational development. Three methods were used: (1) a day-long participatory staff workshop to review INBAR's recent work and identify main strengths, weaknesses and areas for improvement; (2) interviews with managers and staff members; and (3) proposing a framework for the evaluation that covered the broad areas of strategy, management systems, programmes and results.

Step 3. Decide on evaluation methods. After early interactions with the Dutch Ministry of Foreign Affairs on the evaluation TOR, most interactions were with INBAR managers, staff members and partners at field sites. It was jointly decided that INBAR would prepare a consolidated report on its recent activities (following an outline proposed by the evaluator) and organize a self-evaluation workshop at headquarters. The evaluator would participate in this workshop and make field visits in China, Ghana, Ethiopia and India. INBAR regional coordinators proposed schedules for the field visits, which were then negotiated with the evaluator.

Step 4. Analyze and interpret findings and reach conclusions. At the end of each field visit, a debriefing session was held with local INBAR staff members. At the end of the field visits, a half-day debriefing session and discussion was held at INBAR headquarters; this was open to all staff. After this meeting, the evaluator met with individual staff members who expressed a desire to have a more personal input into the evaluation process. Later on, INBAR managers and staff members were invited to comment on and correct a draft evaluation report.

Step 5. Disseminate evaluation findings. The evaluator met personally with representatives of three of INBAR's donors to discuss the evaluation's findings, and the final report was made available to INBAR's donors, staff members and the Board of Trustees. A summary of the report was posted on the INBAR website.

Utility of the evaluation. The evaluation process helped to bring a number of issues to the surface and explore options for strengthening INBAR's programmes. For example, one conclusion of the evaluation was that INBAR should seek to intensify its work in Africa and decentralize responsibilities for project management to the region. There has been a gradual movement in this direction, as new projects have been developed. INBAR has recently opened a regional office for East Africa, in Addis Ababa and is putting more emphasis on collaboration with regional and national partners.

Papa Andina Regional Initiative

In early 2005, the Papa Andina Regional Partnership Program engaged one of the authors (Horton) to facilitate a process of reflection and evaluation over several months. Based at the International Potato

Center (Lima, Peru), Papa Andina aims to contribute to sustainable poverty reduction in the Andes through the promotion of innovation in Andean potato-based farming and marketing systems. Papa Andina works through a network of about 30 partners in Bolivia, Ecuador and Peru. Papa Andina coordinates its activities with a 'strategic partner' in each country that plays a leadership and coordinating role in market chain innovation. Papa Andina was nearing the end of its third funding phase, and the initiative's main donor, the Swiss Agency for Development and Cooperation (SDC), needed an evaluation report. But, Papa Andina's members also wanted the evaluation to help them improve their work. In previous evaluations, Papa Andina's members felt they learned and benefited little from the traditional external evaluations. This was partly because the evaluators did not have enough time to understand the Andean context in which Papa Andina worked and the strategies it had developed over time to foster pro-poor innovation. It was also because the members were hardly involved in the evaluation and had not read the report. The intent now was to involve the evaluators more in Papa Andina's work and to involve the members more in the evaluation process, to improve mutual comprehension and use of the evaluation's findings.

Step 1. Identify primary intended users. In initial meetings with Papa Andina's coordinator and a few members, several groups of key stakeholders were identified, including members of the Coordinating Unit, Strategic Partners, Steering Committee, CIP and SDC.

Step 2. Gain commitment to UFE and focus the evaluation. Papa Andina's coordinator was careful to ensure that SDC, the Steering Committee and CIP were on board with the approach. There were initial questions and concerns about the amount of time the approach would demand of network members. However, when it was explained that evaluative activities would contribute to knowledge sharing, learning and programme improvement, and would feed directly into planning for the next phase of the programme, commitment to UFE was secured. Through discussions with key stakeholders, it became apparent that the key purposes of the evaluation were to: (a) produce an adequate report to satisfy the accountability requirements of SDC; (b) analyze critically the progress made by the programme with the partners; and (c) contribute to planning the next phase of Papa Andina's activities. The evaluation was subsequently designed to fulfil these purposes.

Step 3. Decide on evaluation methods. The evaluator and Papa Andina's Coordination Team jointly prepared an initial proposal for the evaluation, including timeline and budget. The Coordination Team then negotiated the evaluation proposal with CIP, SDC and the Steering Committee. The final proposal combined Horizontal Evaluations (Thiele et al., 2007), preparation of synthesis reports on major activities, a participatory evaluation workshop, and preparation of an evaluation report by two external evaluators. Efforts were made to combine the evaluation with activities and events already planned by the Program in the three countries that would bring together partners; to minimize the additional time and financial resources needed for the evaluation and the disruption of normal activities.

Step 4. Analyze and interpret findings and reach conclusions. Several events including one horizontal evaluation workshop were organized in each country to analyze and evaluate the major methodologies and activities developed by the programme. Papa Andina's members were involved directly in data collection, analysis, interpretation, and reaching conclusions. Meetings were also held in each country to assess progress on issues of gender and empowerment. Finally, a regional evaluation workshop was organized in which participants assessed the strengths and weaknesses of Papa Andina's work and identified priorities for the future. The two external evaluators were involved in planning the various evaluative activities; they participated in most of the meetings, and then prepared an evaluation report based on these and other inputs. The evaluators presented

preliminary conclusions and recommendations during the regional evaluation workshop, and reactions from participants were taken into account. The evaluators then prepared a draft evaluation report that was presented verbally to Papa Andina's Steering Committee, which includes representatives of each participating country programme, CIP and SDC. These interactions between the evaluation team and Papa Andina's stakeholders allowed for the clarification of points, correction of errors, and dialogue concerning the main findings. Based on these exchanges, the evaluation report was finalized and formally submitted.

Step 5. Disseminate evaluation findings. The materials prepared for the evaluation and the final evaluation report were disseminated in numerous ways. Highlights of the evaluation were published in the Papa Andina newsletter. Many of the materials prepared for the evaluation were incorporated into a 'Papa Andina Compendium' (Devaux et al., 2006).

Utilization of the evaluation. As members of Papa Andina were directly involved in the evaluation (especially during the evaluation workshops), many of them realized things during the evaluation process that they could put into practice straightaway. For example, a researcher in Ecuador realized during a horizontal evaluation that he needed to improve local participation in activities he was organizing. A researcher from Peru at the same workshop realized that he could improve the impact of his work by involving local government officials in planning his activities. During the final evaluation workshop, participants identified some broad areas for improving the work of Papa Andina in its next phase – most notably, the areas of gender, policy influence and evaluation. These areas were incorporated into recommendations in the final evaluation report, which provided the basis for planning Phase 4 of Papa Andina.

In previous evaluations, the donor and the evaluators made most of the decisions concerning the evaluation; the evaluation report was sent to Papa Andina's donor, who later sent recommendations to Papa Andina's Coordinating Unit. In some cases, Papa Andina's members did not understand the recommendations and could not get an adequate explanation from the donor. In other cases, they felt the recommendations were not realistic. As a result, several of the recommendations were not reflected in future work. In this case, the involvement of Papa Andina's members throughout the evaluation process led to more realistic recommendations that were better understood and more thoroughly incorporated into future work plans.

Further reading

- Cousins, J.B. and Shulha, L. 2006. A comparative analysis of evaluation utilization and its cognate fields of inquiry: current issues and trends. In: Shaw, I., Greene, J. and Mark M. (eds.) *The Sage handbook of evaluation: policies, programs and practices*. Thousand Oaks, CA: Sage. pp. 266-291.
- Devaux, A., Thiele, G., López, G. y Velasco, C. 2006. *Papa Andina: innovación para el desarrollo en los Andes, 2002-2006*. Lima, Perú: Centro Internacional de la Papa. http://www.papandina.org/fileadmin/documentpool/Administrativo/Informe/Fase/06-10-11-Compendio_2002_2006.pdf
- Estrella, M., Blauert, J., Campilan, D., Gaventa, J., Gonsalves, J., Guijt, I., Johnson, D. and Ricafort, R. (eds.) 2000. *Learning from change: issues and experiences in participatory monitoring and evaluation*. London: IT Books/IDRC. http://www.idrc.ca/en/ev-9404-201-1-DO_TOPIC.html
- Ghere, G., King, J., Stevahn, L. and Minnema, J. 2006. A professional development unit for reflecting on program evaluator competencies. *American Journal of Evaluation* 27(1): 108-123.

<http://www.nbowmanconsulting.com/Professional%20Development.pdf>

Guijt, I. (ed.) 2007. Negotiated learning: collaborative monitoring in resource management. Washington D.C.: Resources for the Future.

Horton, D., Alexaki, A., Bennett-Lartey, S., Brice, K.N., Campilan, D., Carden, F., Silva, J.S., Duong, L.T., Khadar, I., Boza, A., Muniruzzaman, I.K., Perez, J., Chang, M.S., Vernoooy, R. and Watts, J. 2003. Evaluating capacity development: experiences from research and development organizations around the world. The Hague, The Netherlands: International Service for National Agricultural Research.
http://www.idrc.ca/en/ev-31556-201-1-DO_TOPIC.html

Joint Committee on Standards for Educational Evaluation. 1994. The program evaluation standards. Thousand Oaks, CA: Sage.
Patton, M.Q. 2008. Utilization-focused evaluation, 4th edition. Thousand Oaks, CA: Sage.

Preskill, H. and Russ-Eft, D. 2005. Building evaluation capacity: 72 activities for teaching and training. Thousand Oaks, CA: Sage.

Preskill, H. and Torres, R. 1999. Evaluative inquiry for learning organizations. Thousand Oaks, CA: Sage.

Thiele, G., Devaux, A., Velasco, C. and Horton, D. 2007. Horizontal evaluation: fostering knowledge sharing and program improvement within a network. *American Journal of Evaluation* 28(4): 493-508.

About the authors

Michael Quinn Patton is an organizational development and evaluation consultant. He is former President of the American Evaluation Association (AEA) and is the only recipient of both the Alva and Gunner Myrdal Award for outstanding contributions to evaluation use and practice and the Paul F. Lazarsfeld Award for lifetime contributions to evaluation theory. Dr. Patton has worked with organizations and programs at the international, national, state, and local levels, and with philanthropic, not-for-profit, private sector, and government programs. He is a generalist working across the full range of efforts being made to improve human effectiveness and results, including programs on leadership development, education, human services, the environment, public health, employment, agricultural extension, arts, criminal justice, poverty, transportation, diversity, managing for results, performance indicators, effective governance, and futuring. Among Dr. Patton's many publications is the widely used text, *Utilization-Focused Evaluation*.

Douglas Horton is an independent consultant specializing in organizational development and evaluation. His professional work has been concerned with action research, participatory technology development, agricultural research management, organizational development, and program evaluation. Since 1975, he has worked for a number of centres affiliated with the Consultative Group on International Agricultural Research, carrying out applied research, conducting evaluations, and providing training and professional advice on the management and evaluation of agricultural research and development programs. Dr. Horton has led or participated in more than 50 evaluations, most of which have been concerned with agricultural innovation and capacity development in developing countries.

Available Briefs

1. The ILAC Initiative
2. Innovation systems
3. Learning-oriented evaluation
4. Collaborative agreements
5. Innovation histories
6. Appreciative inquiry
7. Outcome mapping
8. Learning alliances
9. The Sub-Saharan Africa Challenge Program
10. Making the most of meetings
11. Human resources management
12. Linking diversity to organizational effectiveness
13. Horizontal evaluation
14. Engaging scientists through institutional histories
15. Evaluación horizontal: Estimulando el aprendizaje social entre "pares"
16. Contribution analysis: An approach to exploring cause and effect
17. Participatory Impact Pathways Analysis: A practical method for project planning and evaluation
18. Institutionalizing impact assessment at CIMMYT
19. Participatory decision-making: The core of multi-stakeholder collaboration
20. Building an evaluative culture for effective evaluation and results management
21. Institutionalizing impact assessment at CIMMYT



The Institutional Learning and Change (ILAC) Initiative (www.cgiar-ilac.org), hosted by Bioversity International, seeks to increase the contributions of agricultural research to sustainable reductions in poverty. The ILAC Initiative is currently supported by the Netherlands Ministry of Foreign Affairs.

ILAC Briefs aim to stimulate dialogue and to disseminate ideas and experiences that researchers and managers can use to strengthen organizational learning and performance. An ILAC brief may introduce a concept, approach or tool; it may summarize results of a study; or it may highlight an event and its significance. To request copies, write to ilac@cgiar.org. The ILAC Initiative encourages fair use of the information in its Briefs and requests feedback from readers on how and by whom the publications were used.