



# Improving the use of monitoring & evaluation processes and findings

Conference report

Irene Visser, Cecile Kusters, Irene Guijt, Marlene Roefs and Nicky Buizer



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# Improving the use of monitoring & evaluation processes and findings

Conference report

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This report summarises discussions and presentations of the Conference 'Improving the Use of Monitoring & Evaluation Processes and Findings', which took place on March 20 and 21, 2014. This conference is part of our series of yearly 'M&E on the cutting edge' events. This conference particularly looked at under what conditions the use of M&E processes and findings can be improved.

Keywords: Monitoring and evaluation, utilisation, influence, use

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Report CDI-14-017

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# Contents

<b>Preface</b>	<b>5</b>
<b>List of abbreviations and acronyms</b>	<b>7</b>
<b>Summary</b>	<b>8</b>
<b>1 Introduction to the conference</b>	<b>9</b>
1.1 Conference approach and main questions	9
1.2 About the keynotes	9
1.3 About the case studies	9
1.4 About the four perspectives	10
1.5 Additional resources	11
1.6 About this report	11
<b>2 Use and influence</b>	<b>12</b>
2.1 Importance of use and utilization focused monitoring and evaluation	12
2.2 Origins and evolution of Utilisation-Focused Evaluation	13
2.3 Types of use	14
2.4 Beyond use: influence and consequences	14
2.5 Influence at different levels	15
<b>3 Factors that influence use</b>	<b>18</b>
3.1 Factors	18
3.2 Incentives, capacities and conditions	19
3.3 Quality factors: quality of the evaluation process and product	20
3.4 Relational factors	24
3.5 Organisational factors	25
3.6 External factors	29
<b>4 Reflections: options to further enhance use and influence of M&amp;E processes and findings</b>	<b>30</b>
4.1 Supportive leadership to foster evaluative thinking	30
4.2 Paying attention to readiness and mentoring: two touchstones of evaluation capacity development	31
4.3 Strategic stakeholder engagement	32
4.4 Dealing with the politics of (monitoring and) evaluation	33
4.5 Use is thy first standard, and it will be thy last	35
<b>References</b>	<b>36</b>
<b>Appendix 1 Keynote speakers</b>	
<b>Appendix 2 Case studies</b>	
<b>Appendix 3 Perspectives on use</b>	
<b>Appendix 4 Evolution of steps in utilisation focused evaluation</b>	
<b>Appendix 5 Evaluation of the conference</b>	



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# Preface

This report summarises the outline and outputs of the conference 'Improving the Use of Monitoring & Evaluation Processes and Findings', which took place on March 20-21, 2014.

This conference is part of the CDI series of yearly 'M&E on the cutting edge' events, combined with an annual PME training for professionals worldwide. This series of events is organised by the Centre for Development Innovation, Learning by Design and partners.

The series of 'M&E on the cutting edge events' includes:

- 2009: 'Complexity, capacity development, theories of change'
- 2010: 'Evaluation revisited: enhancing the quality of evaluative practice by embracing complexity'
- 2011: 'Realist evaluation' (Gill Westhorp)
- 2012: 'Developmental evaluation' & 'Hot issues on the M&E agenda' (Michael Quinn Patton)
- 2013: 'Impact evaluation' (Elliot Stern & Irene Guijt)
- 2014: 'Improving the use of M&E processes and findings' (Marlene Laübli Loud; Ismael Akhalwaya & Carlo Bakker; Cecile Kusters)

The conference was organised by the Centre for Development Innovation (CDI), Wageningen University & Research centre (Cecile Kusters, Marlene Roefs and Nicky Buizer), Learning by Design (Irene Guijt) in collaboration with GIZ, Hivos and ICCO. The Conference organisers are deeply grateful for the funding support provided by: GIZ; Hivos; ICCO; and CDI. Without their support, the conference would not have been possible.

We are also grateful to the keynote speakers Cecile Kusters, Marlene Laübli Loud, Ismail Akhalwaya and Carlo Bakker for their stimulating ideas, experiences and concepts that helped to frame the conference from the start.

The case studies on day 1 and perspectives on day 2 gave a crucial focus to the group discussions. We are grateful for the case study owners for their willingness and courage to openly share their experiences, which the participants then scrutinised in detail. Our thanks go to: Ismail Akhalwaya (DPME in the Presidency of South Africa) & Carlo Bakker (IMPEC); Sylvester Dickson Baguma (NARO, Uganda; PhD candidate Loughborough University, UK); Dal Brodhead & Ricardo Ramirez (New Economy Development Group); Annemarieke de Bruin (Stockholm Environment Institute); Wouter Bolding & Yvonne Es (OXFAM NOVIB); Karel Chambille (Hivos); Alexander Erich (GIZ); Ibrahim Khadar (CTA, the Netherlands) and partners; Gabriela Pérez-Yarahuán (Universidad Iberoamericana); Daniel Shephard and Simon Bailey (AFLATOUN); Sef Sloodweg (advisor at CEFOD).

We are also grateful to the facilitators of the various group sessions: Sylvester Dickson Baguma (NARO, Uganda; PhD candidate Loughborough University, UK); Jan Brouwers (CDI); Marlene Roefs (CDI); Issaka Herman Traore (M&E consultant, Burkina Faso); Seerp Wigboldus (CDI); Simone van Vugt (CDI) and Anja Wolsky (CDI), Elias Zerfu (IFPRI, Ethiopia).

We also thank the documenters of the conference process: Irene Visser (key documenter, Vis-à-vis Advies); Nicky Buizer (CDI); Judith Jacobs (CDI); Djuna Buizer (Wageningen UR); Hilde-Marije Dorresteyn (Wageningen UR); Imme Widdershoven (Wageningen UR); Marleen Brouwer (CDI).

We would also like to thank Tessa Steenbergen for the video production, CDI staff for logistic support and Ilse van Winssen (INCLUDE) for her contributions to the annotated bibliography.

The conference organisers are also very grateful to the participants of the conference. They showed high interest in the topics raised, which allowed a fruitful discussion, exchange and reflection.

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Additional background information on this conference is available at the conference website ([www.managingforimpact.org/event/cdi-conference-improving-use-me-processes-and-findings](http://www.managingforimpact.org/event/cdi-conference-improving-use-me-processes-and-findings)).

Wageningen, the Netherlands  
June 2014

*The conference organisers*

Cecile Kusters, Centre for Development Innovation, Wageningen UR  
Marlene Roefs, Centre for Development Innovation, Wageningen UR  
Nicky Buizer, Centre for Development Innovation, Wageningen UR  
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# List of abbreviations and acronyms

AEA	American Evaluation Association
CDI	Centre for Development Innovation, Wageningen UR
CEFOD	Centre for Studies and Training Development (Chad Legislation)
CONEVAL	Consejo Nacional de Evaluación de Política de Desarrollo Social (National Council for the Evaluation of social development policies)
DAC	Development Assistance Committee
DFID	Department for International Development, UK
DGIS	Dutch Ministry of Foreign Affairs
DE	Developmental Evaluation
DECI	Developing Evaluation Capacity in ICT4D (IDRC funded programme)
EES	European Evaluation Society
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit, Germany
Hivos	International development organisation guided by humanist values, the Netherlands
IDRC	International Development Research Centre, Canada
ICCO	Interchurch cooperative for development cooperation, the Netherlands
IE	Impact Evaluation
IOB	Policy and Operations Evaluation Department (IOB) at the Netherlands Ministry of Foreign Affairs.
M&E	Monitoring and Evaluation
MFS	Dutch co-financing system, funding from the Dutch Ministry of Foreign Affairs (phase I = 2006-2010; phase II = 2010-2015)
NGO	Non-Governmental Organisation
ODI	Overseas Development Initiative, U.K.
OECD	Organisation for Economic Co-operation and Development
OXFAM-NOVIB	One of the 17 national affiliates of the Oxfam International Confederation; the Netherlands
RAPID	Research and Policy in Development
RCT	Randomised Control Trials
ToC	Theory of Change
ToR	Terms of Reference
UFE	Utilisation-Focused Evaluation
VFM	Value for Money
Wageningen UR	Wageningen University & Research centre

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# Summary

This conference debated use and influence of monitoring and evaluation processes and findings. Concepts of use were discussed, as well as 'influence', which is beyond use, and the consequences of different types of use at the individual, interpersonal and collective level. Participants discussed factors that influence use, and what is needed to improve use within the wider change processes that individuals and organisations take part in.

Keynote speakers, presentations of perspectives and real cases inspired the debate. Apart from insights from evaluation units from all over the world, three different perspectives on use were surfaced; knowledge management; readiness and mentoring; governance of monitoring and evaluation.

An existing framework of four areas of factors influencing use was enriched by examples from individual, interpersonal and collective levels. The four areas of factors that were discussed were:

1. Quality factors, relating to the quality of the evaluation. These factors include the evaluation design, planning, approach, timing, dissemination and the quality and credibility of the evidence.
2. Relational factors: personal and interpersonal; role and influence of evaluation unit; networks, communities of practice.
3. Organisational factors: culture, structure and knowledge management
4. External factors, that affect utilisation in ways beyond the influence of the primary stakeholders and the evaluation process.

In the working groups, many different issues have been discussed. Use and influence of M&E processes and findings can be improved at the individual level, interpersonal level and collective level. Participants presented a variety of efforts to encourage critical reflection and evaluative thinking, often using different combinations of factors, appropriate to the specific situation.

Specific attention to the following issues surfaced as factors during the conference:

Supportive leadership for evaluative thinking and change processes; preparing for readiness and mentoring the process of change; strategic engagement of stakeholders, from the design of the M&E processes up to communication and thinking through actions and change processes; ability of evaluators and commissioners of evaluation to deal with the politics of M&E.

The concept of influence of evaluation is helpful in thinking through the wider implications of (monitoring and) evaluation inside and outside the organisation. More examples about the applications of influence are needed, as are methods to track use.

The conference also pleaded to use participatory approaches, independently whether an evaluation is geared towards accountability or learning. Even if it is more time consuming, learning benefits are big, with more deepened insights.

Finally, it is important to think through the (potential) consequences of (monitoring and) evaluations, so as to continuously strive for social betterment or transformational development.





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# 1 Introduction to the conference

## 1.1 Conference approach and main questions

This conference is part of the CDI series of yearly 'M&E on the cutting edge' events. The conference was held on the 20th and 21st of March 2014 in Wageningen, the Netherlands. The focus of the conference was to gain insights about the conditions needed to improve the use of M&E processes and findings.

There is an endless pile of different ways to cut the 'Use-cake'. In this conference participants debated around:

- **Case studies** that identified intended and actual use and suggestions for improvement;
- **Frameworks** to understand utilisation of monitoring and evaluation processes and findings;
- **Different types of utilisation** and influence of monitoring and evaluation processes and findings, when and for whom these are relevant;
- **Suggestions for conditions** that improve utilisation of monitoring and evaluation processes and findings at personal, interpersonal and collective levels.

## 1.2 About the keynotes

Various key notes speakers set the scene for the debates in the conference. These are briefly described below.

### **"Conceptual and practitioners view "**

Cecile Kusters (CDI) provided a keynote about the deepening of the concept of utilisation, by taking it further to the notion of 'influence', and its consequences at the individual, interpersonal and collective level. She also provided a framework for understanding factors that influence use. She has drawn on the annotated bibliography that was developed by CDI specifically for this conference.

### **"Insiders view"**

Marlène Läubli Loud (DPhil) presented a keynote on the current state of affairs regarding utilisation of M&E processes and findings. The objective was to understand and get up-to-date information on the use of monitoring and evaluation processes and findings, illustrated by cases from her book 'Enhancing Evaluation Use: Insights from Internal Evaluation Units' (M. Laubli Loud & J. Mayne, editors, 2014).

### **"View from the Presidency: improving performance of public sector"**

Ismail Akhalwaya addressed in his keynote how the Department of Performance Monitoring and Evaluation (DPME) in the Presidency of South Africa came into being and how monitoring and evaluation is currently being implemented within the government of South Africa. During the case study round Mr. Akhalwaya zoomed in on monitoring the quality of management practices, one of the focus areas of the DPME.

Carlo Bakker (IMPEC) explained the perspective from the advisor to DPME.

## 1.3 About the case studies

From various contexts, cases have been presented. See Appendix 2 and the CDI website (<http://www.managingforimpact.org/event/cdi-conference-improving-use-me-processes-and-findings>) for detailed information. References to the cases can be found in text boxes throughout the whole text.

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A range of case studies were presented on the first day of the conference:

**Ismael Akhalwaya** (DPME in the Presidency of South Africa): Executive monitoring of the quality of management practices in South Africa – Using a self-assessment methodology to drive improvements in management practices.

**Gabriela Pérez-Yarahuán** (Universidad Iberoamericana): Evaluation influence on accountability and government performance. The case of the evaluations of Mexico's social development programs.

**Alexander Erich** (GIZ Evaluation Office): Fostering change in GIZ through evaluation management

**Dal Brodhead and Ricardo Ramírez** (New Economy Development Group): DECI as a case study: Learning our way into utilization focused evaluation.

**Sef Sloodweg** (Advisor at CEFOD): From Desire to The Deed: The world of difference between understanding and implementing result based planning, monitoring and evaluation in a highly qualified capacity building organisation.

**Annemarieke de Bruin** (Stockholm Environment Institute): Embedding monitoring and evaluation in the workflow of staff.

**Wouter Bolding and Yvonne Es** (Oxfam Novib): Providing feedback on monitoring results to stimulate learning.

**Daniel Shephard and Simon Bailey** (Aflatoun)

Combining Utilization Focused and Developmental Evaluation: The Case of the Aflateen Social and Financial Education Program for Youth.

**Dr. Ibrahim Khadar** (CTA) and partners: Capacity-centred Impact Pathway Analysis (CcIPA) - Design, testing and use through collaborative case studies.

## 1.4 About the four perspectives

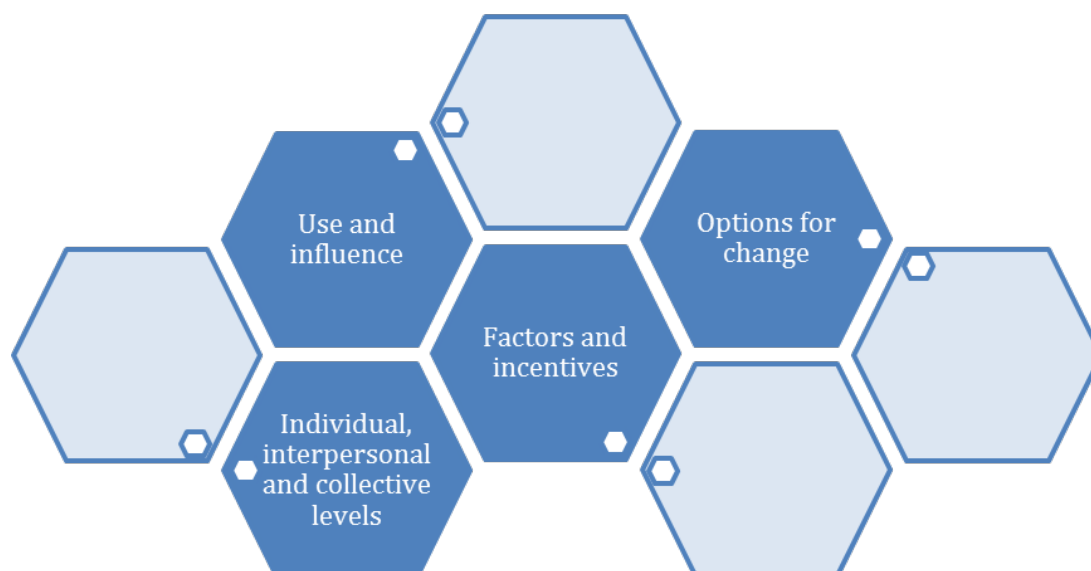
Utilisation has been looked at from different perspectives so as to deepen the understanding about the conditions needed to improve the use of M&E processes and findings. Many different perspectives are possible; in this conference we discussed four of them.

Additional to three keynote perspective presenters, a short video was shown to inspire thinking. The four perspectives were:

1. Behavioural change perspective: the theory of planned behaviour. A short video was shown and introduced to get participants to think about what we can learn from how behaviour change takes place and what this means for thinking through a strategy for action in order to increase use, especially in relation to behaviour change.
2. Knowledge management perspective. Sylvester Dickson Baguma, (NARO & PhD candidate Loughborough University UK) presented an in-depth discussion of M&E knowledge and M&E knowledge-management as a stimulant to improve the use of M&E processes and findings.
3. Readiness and mentoring perspective. Dal Brodhead & Ricardo Ramirez from the New Economy Development Group explained about the importance to focus on readiness to engage in utilization focused evaluation, and the role of mentoring in this process.
4. Governance of M&E perspective. Karel Chambille (Hivos) shared his reflections on Hivos' experience with how they manage and balance all the demands and how that affects use.

In box 1 you can see the specific questions around which cases and perspectives sessions were held.

### Box 1: Evaluation concepts of the conference



#### Key questions for case clinics:

- What were the intended uses (findings and/or process) and for which intended users?
- What was the actual use and influence of M&E processes and findings at individual, interpersonal and collective level?
- What factors influenced use and influence of M&E processes and findings?
- What suggestions do you have to improve use & influence of M&E processes and findings?

#### Perspectives were discussed along the following questions:

- What are factors that influence use & influence of M&E processes and findings at individual, interpersonal and collective level, seen from this perspective
- What are options to improve use and influence of M&E processes and findings from this perspective?

## 1.5 Additional resources

Apart from this report, all products of the conference are available on the website

(<http://www.managingforimpact.org/event/cdi-conference-improving-use-me-processes-and-findings>): an annotated bibliography; keynote, case and perspective presentations; background papers; videos of the plenary presentations, interviews and a video that gives an impression of the conference.

## 1.6 About this report

The report is not a report following the chronological order of the conference. Concepts, theory, practical experiences and group discussions are integrated in one text.

Section 2 explains the concepts of use and influence. Section 3 relates the 'grounded' theory of factors and incentives with practice. Section 4 is a reflection on the options for change: suggestions to improve the use of M&E processes and findings. A summary is provided at the beginning of the report.

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## 2 Use and influence

### 2.1 Importance of use and utilization focused monitoring and evaluation

"It is important to reflect on Utilisation-Focused Evaluation (UFE). Maybe we need to refuse being part of evaluations that are not really useful or are not being used" (conference participant).

This resonates with Patton: "Utilization-Focused Evaluation (UFE) begins with the premise that evaluations should be judged by their utility and actual use." (Patton, 2008: 37). Utility is also the first of internationally agreed professional evaluation standards (see box 2).

#### Box 2: Utility as first and most important evaluation standard

Internationally, evaluation professionals have agreed evaluation standards, professional ethics and values. These standards support utility of evaluation as top priority.

The 5 internationally agreed standards for programme evaluation are:

1. **Utility:** The utility standards are intended to increase the extent to which program stakeholders find evaluation processes and products valuable in meeting their needs.
2. **Feasibility:** The feasibility standards are intended to increase evaluation effectiveness and efficiency.
3. **Propriety:** The propriety standards support what is proper, fair, legal, right and just in evaluations.
4. **Accuracy:** The accuracy standards are intended to increase the dependability and truthfulness of evaluation representations, propositions, and findings, especially those that support interpretations and judgments about quality.
5. **Evaluation accountability:** The evaluation accountability standards encourage adequate documentation of evaluations and a meta-evaluative perspective focused on improvement and accountability for evaluation processes and products.

Source: <http://www.jcsee.org/program-evaluation-standards-statements>

Cecile Kusters suggested to think more consciously about a theory of change for M&E. To what change do you want the processes and findings of M&E to contribute? Many small changes can lead to a 'bigger' change like improving the lives of people. If monitoring or evaluation is not useful, why do it? Often, we focus a lot on getting accurate data, but if these data are not going to be used, we are wasting people's time and resources.

#### **Evaluation and monitoring**

In the conference also monitoring is included, as the use of monitoring is often being undervalued compared to evaluation. Monitoring and evaluation knowledge complement each other as shown by an example given by Marlene Laübli-Loud: "In an Australian prison condoms and gel were distributed to avoid 'spreading' of sexual diseases. Monitoring data showed that condoms were used. However, a closer examination discovered that condoms were used as balloons for birthday parties and the gel was used for the hair."

See also Guijt, (2008: 35) for the scale from monitoring to learning, and monitoring being a "learning en route". This is confirmed by participants: "The time lap between when information is needed and when it is delivered is according to me a very important factor influencing use. Monitoring needs to become more important, evaluation is overrated."

Another participant stated that “Generally, M&E information has a low status: it is not accessible or it is perceived as not important for core activities. For some reason people do not learn from M&E.”

## 2.2 Origins and evolution of Utilisation-Focused Evaluation

In the field of evaluation, the interest in Utilisation Focused Evaluation (UFE) started in the early 70s. Dr. Michael Quinn Patton is a founder and guru on this topic, with ‘Utilisation Focused Evaluation’ now in its fourth edition. Key argument is that in order for evaluations to be useful, the first thing to do is to foster intended use by intended users. He stresses to focus on keeping in mind why you are doing evaluation, and to think about the people who will use it. This influences how the evaluation process is designed, how users are engaged in this process, how to make choices about methodologies and how to communicate findings.

Not only the field of UFE has grown but also the profession of evaluation has grown tremendously in last four decades, and with this growing body of professional evaluators and M&E staff, it’s important to keep developing M&E capacity, including the importance of focusing on use.

### Reemphasizing UFE as a framework, not as a methodology

Naturally, since the seventies, the concepts of Dr. M.Q. Patton have further developed. Also, many others have contributed to the key ideas. All contributed to the important notion of the utilisation of evaluation. In Appendix 4 the evolution of UFE steps from 5 to 12 to 17 steps is shown. Patton (2012) emphasizes that while UFE is summarised into a series of steps, the process is not linear. In Figure 1 Ramirez and Brodhead (2013:3) represent how the steps are connected.

Cases presented in the conference affirmed that, overall, the UFE framework serves as a starter for discussion about the issue of utilisation of evaluations. There is no best method, each situation is different and the approach needs to be made specific to each situation.

Recent publications<sup>1</sup> and events<sup>2</sup> indicate a renewed interest in utilisation. However, adequate use of monitoring and evaluation processes and findings is still lacking. Not only the evaluators and M&E officers that are new to this field of work need to be educated, but also the commissioners of evaluation, programme managers, policy makers, scientists, since they often drive evaluation.

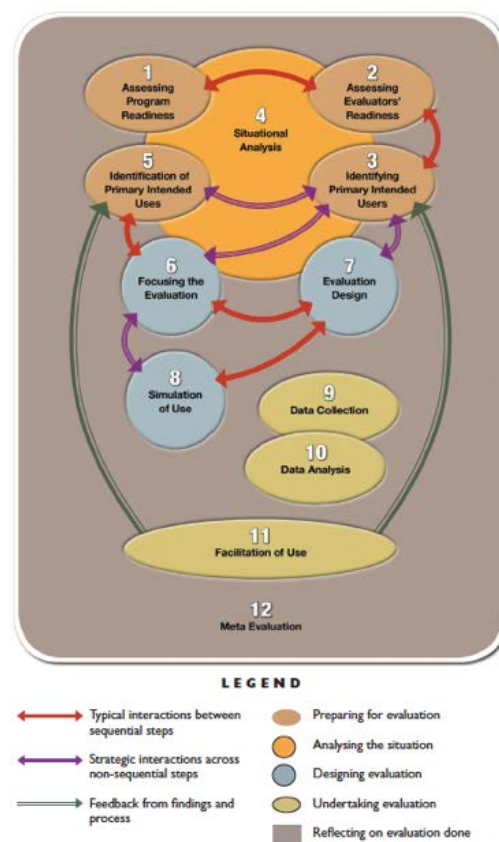


Figure 1: Diagram of the iterative process of UFE steps (Ramirez and Brodhead 2013)

<sup>1</sup> Marlene Laubli Loud and John Mayne (2014) Enhancing evaluation use. Insights from internal evaluation units. Sage Publications. Ramirez R. and D. Brodhead (2013) Utilization focused evaluation. A primer for evaluators. Southbound Penang.

<sup>2</sup> Knox Clarke, P, and J. Darcy (2014) Insufficient Evidence? The quality and use of evidence in humanitarian action. ALNAP.

3rd International (UNDP) conference on National Evaluation Capacities, in Sao Paolo, 29 Sept-3 Oct, 2013 [http://www.youtube.com/watch?v=1UOy\\_Cj7Ds4](http://www.youtube.com/watch?v=1UOy_Cj7Ds4) session focusing on use.

‘Beyond the report: iterative approaches to evaluation use’ ALNAP evidence and knowledge meeting, 2013 <http://www.youtube.com/watch?v=S87fAmkyeh8>



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## 2.3 Types of use

There are many different types of use. During the conference participants and presenters mentioned lots of examples of types of use. Jones et al (2007: table 1), see box 3 have made an overview about what different authors have identified as types of use. To some degree there is overlap between the different descriptions of use. "For example, Sandison's (2005) instrumental use is similar to Patton's rendering judgments, whereas Sandison's conceptual use is akin to Marra's enlightenment use." The most common mentioned types of use include instrumental use, conceptual use and process use.

Sandison (2005) notes it is important to realise that there are many different types of use and to focus on the many factors influencing use, rather than focusing on definitions. He quotes Williams et al (2002, p56) "If it is common that 'only direct instrumental use of findings and recommendations are regarded as "proper" use', we are failing to recognise the many dimensions of utilisation and therefore doing evaluation a disservice...the indirect use of evaluations – including process use, indirect use and cumulative use – should be valued more explicitly."

## 2.4 Beyond use: influence and consequences

The concept of use has proven to be powerful. However, in the evaluation field a need was felt to expand conceptually and take use to a different level, since use can be mechanistic. When we think of evaluation use, we often think of a management response to the evaluation report (and even such a response may be lacking!). Often, we fail to see the other influences that M&E processes and findings can have.

*Influence* offers a better way for thinking about the relationship of evaluation to social betterment. The concept of evaluation influence was first used by Karen Kirkhart (2000). She defines influence as "the capacity or power of persons or things to produce effects on others by intangible or indirect means." Influence is broader than use, creating a framework with which to examine effects that are multidirectional, incremental, unintentional, and instrumental" (ibid: 7). She also argues that influence can be mapped along three dimensions: source, intention and time.

*Consequences* of evaluation is another, but similar concept. According to Henry and Mark (2003) the theory of evaluation influence should focus on "the subset of evaluation *consequences* that could plausibly lead towards or away from social betterment. [...] Evaluation represents a change or contribution to on-going processes that produce consequences, good, bad, neutral, mixed or intermediate." (Henry and Mark, 2003: 295).

In this conference we took the issue of use further to influence and consequences of M&E processes and findings, since we consider it important to think about the bigger change processes we are all involved in and how the processes and findings of monitoring and evaluation can influence these change processes.

### Box 3: Various types of use (Jones et al, 2007)

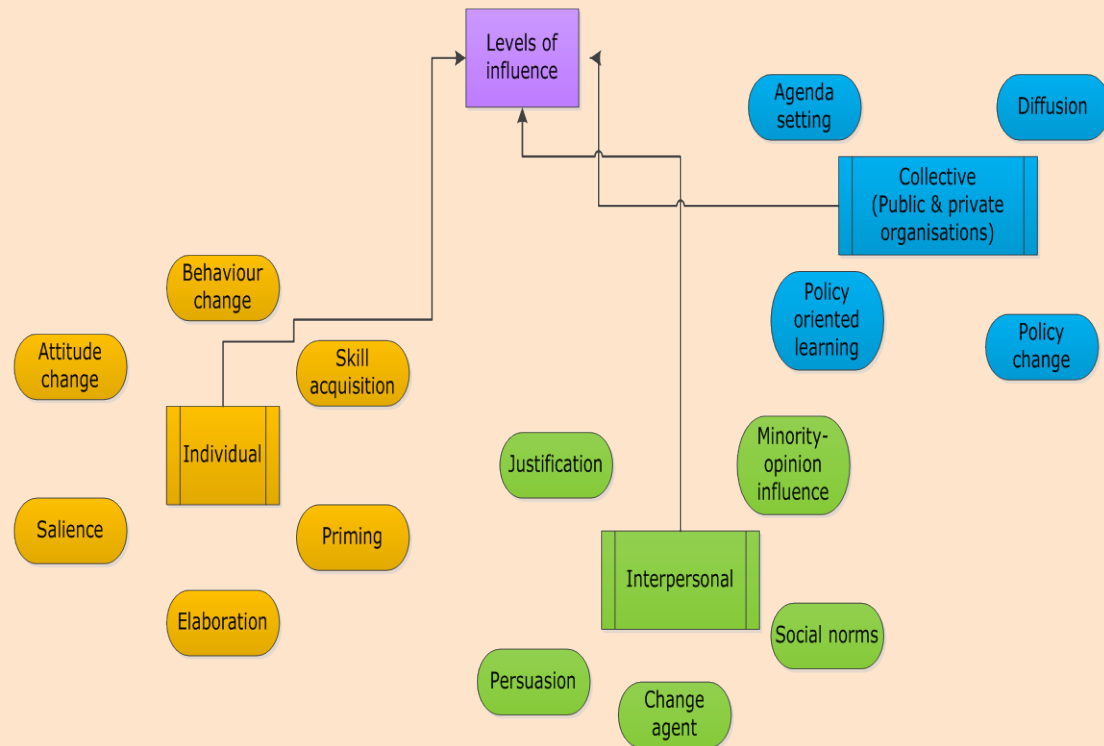
- Instrumental use
- Conceptual use
- Process use
- Legitimising use
- Ritual use
- Misuse
- Non-use
- Rendering judgements
- Facilitating improvements
- Generating knowledge
- Instrumental
- Enlightenment
- Direct use
- Indirect use
- Symbolic use

See appendix 4 for the description of these types of use.

## 2.5 Influence at different levels

Henry & Mark (2003) have taken the concept of influence to three levels: “Use is about action, influence is about change processes at the individual, interpersonal and collective level” (Henry and Mark, 2003: 297). These are further explained below in box 4.

Box 4: Mechanisms through which evaluation produces influence



Some notes to some of the keywords:

### Individual level:

Saliency means getting the importance of an issue across.

Elaboration – because of an evaluation / monitoring you start thinking about a topic you already were thinking about.

Priming – getting the topic to the surface.

### Interpersonal level:

Justification – evaluation is used to justify a position you had before, e.g. a strategy you adopted.

Persuasion – use evaluation to persuade others that a topic is important.

Adapted from Henry and Mark (2003) by Kusters for this conference

Please note that the distinction/disentangling between individual, interpersonal and collective, is somewhat arbitrary. The collective level can also be split up into intra-collective (within agency), inter-collective (between agencies).

Williams and Mark developed a useful table that describes the influences/consequences of different types of use at the individual, interpersonal and collective level please see table 1 below.

Table 1: Influences/consequences of monitoring and evaluation use

Types of use	Their influences affect:	Influences at individual/personal level affect:	Influences at the interpersonal level affect:	Influences at collective or organisational level affect:
Direct (immediate) or instrumental use	Behaviour and action	What individuals will do (taking up extra tasks)	What individuals will do together (e.g. sharing tasks to achieve a common goal)	What an institution does (e.g. strategic decisions about a program, or policy)
Conceptual use	'Thinking', such as knowledge and attitude	The way an individual thinks about certain issues (e.g., realisation of the importance of contextualisation of the development initiative)	Attitudes towards working with each other, or towards what people do (e.g. more willing to interact with other stakeholders)	How the institution values certain kinds of thinking; change in values and aspirations (e.g. valuing both dialogue and dialectic; empowerment)
Symbolic use	Behaviour and actions	A person's justification for acknowledgement of (monitoring and) evaluation	How people influence each other in terms of justification or acknowledgement of (monitoring and) evaluation	An organisation's justification for acknowledgement of (monitoring and) evaluation
Process use	Behaviour, actions, thinking, broader aspirations (as a result of being engaged in the evaluation process)	What individuals will do, think, believe	People's actions, attitudes, understanding in relation to collaboration with others	An organisation's actions, values, role
Relational use	ongoing relationships, (organisational) structures and processes	Role and functioning of an individual in relation to others (e.g. more empowered to fulfil their tasks)	Role and functioning of groups, networks (e.g. more shared learning)	Role and functioning of the institution in society (e.g. learning organisation)
Value use	broader goals, aspirations, motivations - what we believe in	Personal goals, aspirations and motivations (e.g. in relation to the work they do)	How people understand and value each other's perspectives	Formal goals, values and aspirations
External use	changes beyond the immediate interests of a development initiative	How other individuals adapt, adopt or work against the (monitoring and) evaluation processes and findings	Collaboration with other groups (previously not actively involved)	Other organisations to take similar ideas or work against them (as they negatively affect their own interests)

Adapted from Kusters et al, 2011 (table 1.1) which was adapted from Williams (2009) and Mark (2009)

The concept of influence and consequence was new to most conference participants as well as presenters and case owners. Whilst for some case owners it was difficult to respond to questions of influence at the individual, interpersonal and collective level, some tried to apply the new concepts as can be seen in the background documents of the cases.

De Laat and Williams (in Laübli Loud and Mayne 2014: 169) publish an interesting case study about evaluation use in the European Commission. The case study includes a matrix in which they cross types of use mentioned in the literature (implementation, design of interventions, resource allocation, awareness and accountability, priority setting) with the real use: managing and instrumental, learning, input into policy debate and or enhance knowledge base.

Very little is done to assess use and influence together with stakeholders. Ricardo Ramirez and his team are currently testing the framework using the table above. Gabriela Pérez-Yarahuán specifically mentioned that this was an eye opener to her and the team, and they wanted to take these concepts on board when evaluating the use of the evaluations carried out by CONEVAL. See also box 5 below.

## Box 5: Case Example Evaluation influence on accountability and government performance: the case of the evaluation of Mexico's social development programmes

By Gabriela Pérez-Yarahuán, CONEVAL

In Mexico, CONEVAL, a committee of academics, was set up to evaluate all social programs with subsidies from government externally. For the purpose of this conference, CONEVAL analysed official documents to assess intended use, intended users, and level of use & influence (individual, interpersonal, collective). The notion of influence at these three levels and thinking through the change processes that people are part of, was quite a revelation to the team.

The task was daunting since they had to think about what was understood by change by citizens, legislators and public officials. They selected categories of change, and assessed if the general objective of the program changed from year to year. Target population, selection criteria, type of benefits were the categories. For every category they developed a definition of change.

On a scale from 1 to 10, respondents ranked the following elements for their importance in the use of evaluations.

- Qualifications of evaluator: 8.9 - CREDIBILITY
- Quality and adequate communication of findings: 8.7
- Receptiveness to evaluation: 8.6
- Clarity in evaluation design: 8.5
- Involvement in evaluation design by program directors: 8.1
- Legal framework for evaluation use 7.8
- Organizational climate 6.6 → might be that they think it will negatively affect use
- Political external factors: 6.2 → ranked low because it will negatively affect use

National evaluation policies have changed as well: recommendations now need an official answer, including not to follow up a recommendation.

See Appendix 2 for further details about the case.



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## 3 Factors that influence use

Section 3.1 introduces a framework of factors influencing use and influence. Section 3.2 will detail what other incentives and conditions can be important. Section 3.3 to 3.6 elaborates on the various kinds of factors, providing examples from the discussions that took place at the conference.

### 3.1 Factors

In her keynote speech, Cecile Kusters introduced a framework developed by Sandison (2005) about different factors that influence use (and influence). The grouping of factors is based on case studies and on the RAPID (Research and Policy in Development) Framework developed by ODI. The RAPID framework looks at four dimensions that influence the impact of research on policy; 1. the quality of the evaluation information, 2. the political context, 3. the links between the evaluators, policy-makers and other networks and, 4. finally, the influence of the external environment. Sandison has modified this to the context of evaluations.

The factors are grouped in four categories: quality of (monitoring and) evaluation process and product; relational factors; organisational factors; and external influences. See also box 6 and paragraphs 3.3 to 3.6. Keynote speaker Marlene Laübli Loud presented some strategies that evaluators from evaluation units have adopted. In the book contributors discuss factors that help or undermine attempts to foster an evaluative thinking and learning culture within an organisation. Marlene concluded that the comparison of cases in their book resonates with Sandison's framework on factors influencing evaluation use.

Conference participants used the initial framing of four areas of factors to reflect on cases and their own professional practice. The conference either confirmed or enriched the factors framework.

#### Box 6: Four areas of factors that influence use

1. Quality of M&E process and product
  - Design – purpose & approach
  - Participation and ownership
  - Planning (being timely)
  - Evidence
  - Follow up mechanisms
  - Evaluator credibility
2. Relational factors
  - Personal (e.g. relationship of trust with evaluator), interpersonal and collective level (e.g. within organisation or with stakeholders)
  - Role and influence of an evaluation unit
  - Networks, communities of practice
3. Organisational factors
  - Culture
  - Structure
  - Knowledge management & organisational learning
4. External influences
  - Indirectly involved stakeholders (not direct users) whose actions can affect the use (or non-use) of an evaluation.

Adapted by Kusters from Sandison 2005, p.102-118; based on RAPID framework, ODI



## 3.2 Incentives, capacities and conditions



In her excellent keynote speech, Marlene Laübli Loud said it was of the utmost importance to constantly contribute to creating the conditions for change. She mentioned that there are many challenges on the road to useful evaluations. Such as, knowledge of (changing) context, timing, expecting simple answers to complex questions, independence, quality issues, skepticism, and the engagement of senior management. Dal Brodhead added that not only challenges or barriers are important, but also to have a look at incentives at all levels: individual, group, inter-personal etcetera.

*Semantics?* Differences in terminology related with factors might in some ways be a semantic discussion. However, discussions about the term conditions/factors should also include incentives, capacities and conditions for change.

Naturally, also the availability of financial resources and other material (dis)incentives are important. See for example IFAD's guide on the role of M&E in Managing for Impact (2002). In Box 7 there are five capacities and conditions that need to be in place for M&E.

### Box 7: IFAD GUIDE Putting in Place the Necessary Capacities and Conditions

1. Capacity for people and their organisations
2. Paying attention to incentives
3. Getting an optimal Structure for M&E Responsibilities
4. Thinking through the information system
5. Finances and resources to do the job

Source: Guijt, I. and J. Woodhill, J. (2002) Managing for Impact in Rural Development. A Guide for Project M&E, IFAD)

Ostrom et al (1993), define incentives as: "the positive and negative changes in outcome that individuals perceive as likely to result from particular actions taken in a particular physical and social context". A participant commented on Baguma's speech: " "I liked the slide on personal incentives: if you can do your job better by sharing knowledge, then it is more likely that you will share knowledge." See Guijt (2008) for a discussion around perceived risks and consequences, social pressure, psychological (including peer approval or disapproval) type of personality.

### Willingness to learn and change

Participants highlighted the importance of willingness to learn. Participant: "We discussed how strange it is how M&E is disconnected from the planning. Knowing where you're going to head for as an organization, your outcomes, the more specific they are, the more incentives you have. If you visualize the changes it is easier to change behaviour. That's what we are heading for. What have we achieved and what not. Incentive to learn and share that learning." Another participant indicated, "Willingness to change should be present, and is part of the incentive to learn, not just knowing but doing, really change."

### Behaviour change: the theory of planned behaviour

Almost all planned interventions that are aimed at improving participation in collective actions/behaviours, environmental, health, or consumption behaviours are based on theoretical behaviour change models. Often, the discussion about the use of evaluation focuses on the organisational level. Cecile Kusters emphasized that when we really want our M&E to lead to change processes we need to think about the individual processes too. What are the driving forces for behaviour change?

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To spark thinking about what motivates an individual to change behaviour, a short video clip about the 'theory of planned behaviour' was shown.<sup>3</sup> It is built on the premise that "Intentions are the best predictor of behaviour. If we plan to do something, then we are more likely to do it". According to the theory of planned behaviour intentions are the product of three processes: behavioural attitudes, subjective norms and perceived behavioural control. This theory of planned behaviour (or reasoned action) is a classic one developed by Fishbein and Ajzen (1975) and Ajzen (1991).<sup>4</sup> Many other theories exist; see for an overview Darnton (2008).

### **Deciding not to change**

Often to judge whether learning has taken place, it is monitored whether actions have occurred. One of the participants noted that we talk about learning a little too easy? What if people have listened but make in an informative way the decision to not change?

In section 4 we will discuss cross-cutting issues. In the following paragraphs, the original groupings of four factors of Sandison are used, enriched with examples from this conference.

## **3.3 Quality factors: quality of the evaluation process and product**

"The evaluation design, planning, approach, timing, dissemination and the quality and credibility of the evidence." (Sandison, 2005).

### **Design - purpose and approach**

First of all, it is important to think through the purpose(s) of monitoring, and/or evaluation - why do we want to do this? Do we want to meet our reporting obligations while we are also interested in learning for change? This purpose needs to be negotiated and based on the needs of the users. One conference participant commented: "people say 'let's evaluate this' but they do not look at the why. It is not feeding into organisational change".

Secondly, we need to think about who will use the M&E processes and findings. In utilisation focused evaluation clarity about primary intended users is key. We would like to take this a bit further to also think about those that may be affected by the monitoring and evaluation processes and findings, either positively or negatively. Thinking this through from the beginning may help to more consciously bring about change through M&E processes and findings.

Furthermore, different people have different expectations of M&E. These specific questions will need to be made explicit and negotiated. Both the purpose as well as the specific M&E questions and the intended use, will influence the M&E approach. The approach also needs to be negotiated: what (mix of) methods can best address the M&E questions, given the available time, budget, capacity, and methodological requirements.

An M&E officer commented that "We first started with 'we need impact data' and then we came up with reports that were too long to read and then we made it shorter and shorter (only three bullets). I keep track of all these formats people need so as to understand why we share information the way we do. We try to build on existing needs."

### **Participation and ownership**

A lot of practical experiences are related to engaging stakeholders in the M&E processes. This engagement of stakeholders needs to be thought through, right from the start, when designing the M&E (e.g. negotiating evaluation questions to be addressed), up to the point of communicating findings (different communication to different stakeholders) and thinking through actions for change. Engaging in a shared process of learning helps to better use findings produced. In Kusters et al (2011), chapter 3 is dedicated to engaging stakeholders meaningfully in the evaluation process.

Box 8 with the CcIPA model from CTA provides a beautiful example of engaging partners in the evaluation process. CcIPA is based on the premise that capacity development might lead to improved

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<sup>3</sup> <http://www.youtube.com/watch?v=DFn-IOcpd8A>

competencies for effective action and finally impact. This engagement led to joint learning and enhanced use.

#### Box 8: Case example Capacity-centred Impact Pathways Analysis (CcIPA) model: design, testing and use through collaborative case studies

The CcIPA model is built around three main conceptual components: the Five Core Capabilities (5 CCs) model, the Logic Model and a framework for categorising impact indicators. The five core capabilities applied:

**Capability to act and commit:** concerns the ability to work properly, including planning, taking decisions and acting on these decisions collectively.

**Capability to deliver on development objectives:** concerns the organisations' skill to ensure that it is producing what it is established to do.

**Capability to adapt and self-renew:** concerns the ability of an organisation to learn internally and to adjust to shifting contexts and relevant trends.

**Capability to relate to external stakeholders:** this is about building and maintaining networks with external actors (including governmental structures, private sector parties, civil society organisations and in the end their constituencies)

**Capability to achieve coherence:** concerns the strength of an organisations' identity, self-awareness and discipline.

What the project learned included:

- Centre on the partner organisations/ networks rather than focusing exclusively on the interventions, products or services that CTA supported – participants could relate better to findings.
- Focus on the impact pathways, rather than only looking for impact – forward looking and not wasteful.
- Facilitate joint collaboration throughout the evaluation exercise – leading to the direct involvement of about thirty participants from Africa, the Caribbean and Europe – building social capital / transparency.
- Mobilise strong (internal) support from key staff in the participating organisations – buy-ins and win-win.

See appendix 2 for more details.

This is not always the case. Opposite or different information needs can hinder learning. One of the case study presenters emphasized that M&E can be hindered by organisational set ups, and intra institutional hierarchies, as the example in box 9 shows.

#### Box 9: Example Sharing knowledge from field to top

*Sef Sloomweg, CEFOD (Centre d'études et de formation pour le développement) in Chad supported by MISEROR*

The function of PME for MISEROR is twofold: Proving (accountability) and improving (learning). In spite of these intentions, in practice it proves to be difficult to bridge different information needs by different levels in the organisation and by the donor. Also, it was found that it requires specific knowledge to interpret M&E data.

Suggestions for improvement include:

- Conduct an internal reflection to help reduce external influence and to look for actions to be taken internally → therefore, decide what information to collect for own use.
- Integrate own reflection and data need with donor information need.

See appendix 2 for more details.

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## Planning – timely for decision making

M&E needs to be timely. Often evaluations are not used when the report comes after the main decisions are made. One participant pointed out that it would be important to streamline/time evaluation and decision making processes.

Whilst decisions are not just based on one (evaluation) report, these reports should be timely since they do inform decision-making. So we need to plan our M&E well. Next to that, we need to take into consideration that other documents (e.g. other evaluation reports), but also the informal conversations, visits and reflective moments we have, inform decision-making.

See box 10 about one of the cases presented: it challenges the idea that use starts after the evaluation ends. The case also pleads for developing actionable recommendations with the different stakeholders involved.

### Box 10: Case Example Aflateen's Utilization Focused Developmental Evaluation: learning through practice & Actionable recommendations

*Daniel Shephard and Simon Bailey, Aflatoun (Child Savings International)*

The case challenges the assumption that evaluation is static. Things change as you learn and you want to be able to build this into your evaluation.

The evaluation used a mixed approach of utilisation and developmental focused evaluation of a social and financial education curriculum for youth, being implemented by partner organizations in over 40 countries around the world. The case related the set-up of the evaluation, how the users related to the key question, how those uses evolved over time, and to some of the findings and some of the key tensions that came with this process.

During the final months of the evaluation, specific recommendations were developed for each of the uses and key evaluation questions. First, the evaluators provided the Secretariat with recommendation domains for the uses and key evaluation questions.

Using these recommendation domains and all reported findings, the key users developed specific actionable recommendations during a staff retreat.

The penultimate step of UFE is the 'facilitation of use'. To assist in ensuring that a clear plan was in place to make use of the findings, the lead evaluator visited the Secretariat. During the visit, the evaluator and research manager facilitated discussions with the key users, management, and staff to assist with the finalization of recommendations, their prioritization, and implementation plans. Thanks to the commitment of the management team, the final debriefing of evaluation results and recommended actions was inclusive and the entire team was involved in the process.

See appendix 2 for further details about the case.

## The evidence

According to Sandison (2005), the evidence should be credible (well researched, objective, expert). The report should be easy to read (concise, with accessible language and no jargon).

Recommendations should be specific, prioritised, constructive, relevant, feasible and identify who is responsible for action and when.

In the humanitarian sector, an ALNAP/ODI study (Knox Clarke, P. and J. Darcy, 2014) tried to answer the following questions: What is evidence and what do we need it for? How good is the evidence that is currently available? How can we improve the quality and use of evidence? Does evidence get used by decision-makers? ALNAP looked into these questions and identified six criteria to judge the quality of evidence that is generated and used in humanitarian action: accuracy, representativeness, relevance, attribution, generalizability and clarity around concepts and methods.

## Box 11: Six criteria to judge the quality and use of evidence in humanitarian action

**Accuracy:** whether the evidence is a good reflection of the real situation, and is a 'true' record of the thing being measured

**Representativeness:** the degree to which the evidence (often from a specific place or group) accurately represents the conditions of the larger group of interest

**Relevance:** the degree to which a piece of information related to the proposition that it is intended to prove or disprove

**Attribution:** Whether the analysis demonstrates a clear and unambiguous causal linkage between two conditions or events (particularly important for evaluation, which aim to show the results of an action or programme)

**Generalisability:** The degree to which evidence from a specific situation can be generalised beyond that response to other situations (particularly where evidence from one situation is used to create policies applicable to other situations)

**Clarity around concepts and methods:** The degree to which it is clear how, why and for whom evidence has been collected.

Source: Knox Clarke, P, and J. Darcy, 2014 <http://www.alnap.org/resource/10441>

### Too much emphasis on independence can hinder utility?

Too much focus on the quality of evidence, and the independence of evaluations/evaluators might have influences on the use of evaluations. When independence equals distance then this can hinder learning. Karel Chambille explained that for a period in the past, Hivos was commissioning the evaluation and had a big say in the ToR for evaluations. Quality was checked by the audit of Foreign Affairs. Nowadays, the commissioning is outsourced and it is perceived that there is an enormous distance between Hivos, the partner organisations and the evaluation exercise. Karel Chambilles' presentation triggered a discussion around independence and distance. Marlene Laübli Loud reacted that if there is no one involved internally in the use, use is also outsourced. However, there is also some learning in accountability driven evaluations. According to Sandison (2005) "Efforts to ensure the independence of evaluators and evaluation units are essential to protect the credibility of the findings but can inadvertently undermine use.... Independence can lead to a perception that evaluation is too far removed from operational and organisational realities".

### Follow up mechanisms

According to Sandison (2005), there is need to establish specific follow-up plans at the outset of (monitoring and) evaluation: clear allocation of individual responsibilities; a 'champion' or key person is committed to action; formal management response mechanisms and action plans; pro-active dissemination through promotion of the findings in user-relevant ways (e.g. through management meetings, presentations, seminars, team discussions, fast-track debriefs) as well as wide distribution through, for example, the internet.

Use may also be enhanced through customised dissemination, with content as well as form extracted or adapted for specific users (usually senior staff members).

In Mexico, a policy that forced the government to write a formal response to the recommendations made by the evaluators, was recently installed.

In the follow up mechanism also the question of actionable recommendations is important.

One of the things that can be done beforehand is the 'simulation of results' with the intended users. Asking the question "Are these the kind of results that would be helpful to you?" helps intended users think about the use in an early stage; adjustments can be made when needed.

### Evaluator credibility

"The evaluator is credible (in terms of competence and reputation). The ability of the evaluator to be balanced and constructive is also important; wholesale negativity tends to lead to wholesale rejection. The evaluators and evaluation managers understand the political nature of evaluation, facilitate utilisation and manage stakeholders accordingly. A broadening of skills to include facilitation,



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stakeholder analysis, the management of conflict and group dynamics are important for user-orientated evaluation". (Sandison, 2005).

The Mexico case was illustrative. A study was done and on a scale from 1 to 10, respondents ranked a number of elements for their importance in the use of evaluations. According to the respondents the credibility of the evaluator was number one influence in the use or non-use. See box 5.

### 3.4 Relational factors

Sandison (2005) refers to 3 key relational factors that influence utilisation: *personal and interpersonal*; *role and influence of evaluation unit*; *networks, communities of practice*. Relationships at different levels are important: within the organisation, between individuals (including the evaluator), and within networks or stakeholder groups.

#### **Personal and interpersonal**

"The evaluator is able to establish constructive relationships with key users. Trust is established. The evaluator's interpersonal skills and commitment to quality can be important. Commonality of background and skills between evaluator and users enhances credibility. Overall, the perceived credibility of the evaluator is important" (Sandison, 2005).

Establishing a constructive relationship between the evaluator and key users is important so as to create trust, which will assist in constructive information sharing. Engaging users from the design of a monitoring system or an evaluation, is important in ensuring that their views are taken on board in terms of what needs to be measured, and how, as well as how the information generated will be shared.

#### **Role and influence of an evaluation unit**

"The evaluation unit manages to maintain its independence from decision-makers while ensuring close integration and relationships. The unit is able to play a mediating role between stakeholders. A key feature is to establish common ground and shared relevance between evaluation, policy and programmes through communication and relationship building" (Sandison, 2005).

The case of South Africa showed that the evaluation unit can play an important role in the organisation.



## Box 12: The role of the monitoring and evaluation unit at the Presidency in South Africa

The Performance Monitoring and Evaluation Units (DPME) of the Presidency of South Africa, has developed MPAT, a Management Performance Assessment System.

DPME has been mandated to regularly assess the quality of generic management practices in departments. The aim is to develop a culture of continuous improvement and sharing of good practice. Also citizens can react directly to performance information. They have a right to be informed within a certain time frame.

The methodology has been informed by similar management performance assessments carried out in other countries such as Russia, the UK, Canada, New Zealand, Kenya, Turkey and India. The methodology involves working with the management of national and provincial departments to carry out self-assessments which are then moderated by subject matter experts and by cross-referencing to data produced by bodies such as the Auditor General, Public Service Commission, National Treasury and DPSA.

DPME uses the self-assessments, and in the inputs from the moderators, to provide feedback to the senior management, and discuss how progress can be made. This then feeds into the next cycle of planning. Results are being made public and managers are encouraged to improve on their results. The MPAT tool that is developed for the self-assessment offers a right range of opportunities. For example, it stimulates self-reflection and sharing across departments, feeds into policy-making and strategic planning. Recently, also a system of evaluations is used to gain more insights in efficiency, effectiveness and relevance of the departments.

For more information please see the case presentation by Mr Ismail Akhalwaya.

### Networks, communities of practice

“Key stakeholders (users or evaluators and evaluation units) have links with broader networks, influential fora and individuals, which enhances the credibility of the evaluation, extends its reach and ability to influence wider policy” (Sandison, 2005).

At the conference national evaluation associations were mentioned as important networks that evaluators / M&E staff can be part of. As mentioned in section 2.1 use is the first of professionally agreed evaluation standards. Currently, many countries now have a national evaluation association. Also regional evaluation associations can play an important role, like the African Evaluation Association, the American Evaluation Association or the European Evaluation Association. In countries where no national evaluation association exists, the idea of setting up a national evaluation association was found to be a contribution.

Also it was considered to be important to be linked to some of the influential networks like the Pelican initiative, which is a Platform for Evidence-based Learning & Communication for Social Change. Furthermore, having close links with influential people can also assist in the credibility and use of (monitoring and) evaluation.

## 3.5 Organisational factors

Sandison (2005) speaks of three key organisational factors that are important in relation to the utilisation of evaluation: culture, structure and knowledge management. Much of this comes down to having a learning organisation in place. How do we ensure that our knowledge generated is shared? What role could managers play in stimulating a learning culture? How can we best organise ourselves to facilitate this knowledge sharing? And what exactly do we mean by knowledge management? Some of these issues are discussed below. By no means we intend to be complete - many books have been written about learning organisations!

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## Organisational culture of learning

“Senior managers promote a culture of learning (openness to scrutiny and change, embedded learning mechanisms, transparency); staff members value evaluation and have some understanding of the process. Attention to performance is integral to working practice, managers actively support staff to learn and the organisation’s leaders promote and reward learning” (Sandison, 2005).

The DNA of an organisation should breathe learning. This includes constant communication; having a room and time to share; openness; and getting the chance to practice and make mistakes. Whilst formal, ICT based systems, can be important, it is the culture of learning that needs to be present for it to work.

One group suggested using tools to accommodate to the different learning styles of colleagues, and to reward informal exchange. Time is needed for this tailor made facilitation of learning. One participant indicated: “Everyone is willing to learn in a way. It is important, personal, in your work, what do you need to know? How do you interpret that and does that mean anything for you? Then the dialogue starts and creates a circle of knowledge sharing and more willingness to learn.”

At the collective (organisational, societal) level learning can be stimulated by using a mix of methods that address the different learning styles.

It raises the question about how learnings of the M&E department itself, feed into larger organisational and personal learning processes. Chapter 4 in Kusters et al (2011) provides some ideas on how to turn evaluation into a learning practice. For example the application of learning theories for the facilitation of critical reflection and sense making.

See also Box 13 with the experience of the Stockholm Environmental Institute. It shows that a continuous effort is needed to train staff in the terminology and the methodology.

### Box 13: Case example Embedding monitoring and evaluation in the workflow of staff

*Annemieke de Bruin, Stockholm Environmental Institute*

The PMEC (Planning, monitoring, evaluation and communication) system (see also <http://www.sei-international.org/mediamanager/documents/Publications/SEI-FS-2013-PMEC.pdf>) is a web-based system for the applied research project. It is based on the methodology of outcome mapping with a theory of change for intended outcomes for boundary partners. It is a little bit early to see whether the system is used everywhere.

An example of unintended use was that the methodology outcome mapping might be powerful, but requires training and efforts, and rethinking the way of working.

Terminology has become a barrier for some. If staff didn’t have training, there is truly a barrier. Support staff helps colleagues with understanding outcome mapping.

See appendix 2 for more details.

## Organisational structure

“An evaluation unit or individual dedicated to accountability and learning is in place. The evaluation unit is structurally closely linked to senior decision-makers, adequately resourced and competent. There are clear decision-making structures, mechanisms and lines of authority in place. Vertical and horizontal links between managers, operational staff and policy-makers enable dissemination and sharing of learning. There are permanent and opportunist mechanisms for facilitating organisation-wide involvement and learning” (Sandison, 2005).

Where the evaluation unit sits in the organisation is important. Not only is the unit linked to decision making processes of senior management, but also to other relevant departments like the knowledge management department, since M&E and knowledge management should be intertwined. Structural set up can help or hinder learning. Many participants emphasized the buy in of management, and that

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(monitoring and) evaluation staff should be part of meetings with directors and senior management. Also, whether they can make invited or uninvited advice is relevant here.

One participant commented that the way a department is viewed can lead to difficulties. "In my organisation we have a specific person for knowledge management and I am there for M&E. People see this as two different things. We want to work together, but this is very difficult. People believe that M&E is there to answer questions and knowledge management is there for the learning process. It is difficult to work together. We have different persons, but we are in the same units." Alexander Erich from the evaluation unit from GIZ said that "the way we see each other and how we are being seen is very influential in the uptake. Some see us as controllers, especially if our office is next to the directors; others see us as scientists who know everything."

### Knowledge management

"The organisation has functional knowledge management mechanisms, including systematic dissemination mechanisms, informal and formal knowledge-sharing networks and systems."  
(Sandison, 2005).

A key factor to use is the institutionalisation of M&E knowledge management in the organisation's structure and culture. In his keynote presentation, Baguma stated that M&E knowledge and experience is a knowledge source that is underutilised for improved individual and organisational performance. Knowledge management has a potential in improving the utility of M&E, and can contribute to improved actions or behaviour. Baguma presented the Know H5Ws model, representing a definition of M&E knowledge, that should be part of the DNA of organisations (see box 14).

#### Box 14: Know-H5Ws model adapted to M&E knowledge

**Know-how:** processes, procedures, techniques and tools you use to develop and implement quality M&E system with potential for high utility.

**Know-why:** relates to strategic insight – understanding the context of stakeholders' roles and value of their actions. This understanding is generated right from doing a thorough situation analysis, agreeing on the purpose of your M&E system, and internalising why an evaluation (or monitoring) is being done, among other things.

**Know-what:** are the facts required to complete a task or tasks.

**Know-who:** includes knowledge about relationships, contacts and networks. Who are the stakeholders involved and what are their roles? Who can be part of the evaluation team? Who can be called on for help?

**Know-where:** is the ability for navigating and finding the right information for effective action or decision-making. This calls for having an effective management information system for people to leverage in applying or generating knowledge.

**Know-when:** is the sense of timing to do something, to make a decision, or to stop something. A work plan provides such type of knowing.

Adapted from Collison and Parcel (2004) by Baguma for this conference

Although sometimes it can be quite unclear as to what knowledge is, it is clear that finding ways to produce tailor made information is a continuous process and a task of M&E and knowledge management professionals. Some kind of interactive system needs to be in place. Conference participants use different combinations of formal (e.g. ICT based) and informal knowledge sharing ways. A participant even urged evaluators to 'embrace' informal platforms, since key information comes from those. "Information is often shared in a scattered way, so you have to gather it and make it explicit". Conference participant: "You should manage to share consciously over coffee, create spaces to share knowledge within the organisation."

The need was felt to strike a balance between making knowledge explicit in documents and formal platforms and sharing knowledge informally. Documentation might help another organisation that is similar to learn from this, however, not all knowledge can be shared on paper or digitally.

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## Tacit knowledge and explicit knowledge

Baguma highlighted the role of explicit and tacit knowledge and different factors at different levels: individual, inter-personal and group level. Everybody has knowledge and a lot of this is tacit, unexpressed. The challenge is how we can make relevant tacit knowledge explicit.

Capturing stories might be a way to capture knowledge. A participant stated: "With our M&E, we tend to break up information into pieces, indicators. But people have stories to tell and they often find it easier to tell the stories, rather than to relate to indicators that may not even be relevant to them."

Asking the right questions might be another way to make tacit knowledge explicit. Read Vogt et al (2003) to learn about the art of powerful questions. Dal Brodhead also touched on this issue: "It is important to get information, but also get deeper knowledge and analysis by reflecting about what have we learned? This knowledge often does not appear in the reports." Box 15 shows how building in regular reflection & feedback by the financing agency (case OXFAM NOVIB) has helped their projects, not only to improved reporting, but also to better analyse and learn from the results.

### Box 15: Case example Reflective questioning and providing feedback on monitoring results to stimulate learning

*By Yvonne Es and Wouter Bolding, Oxfam Novib*

Oxfam Novib and Swedish Development Organisation fund youth and health programmes in conflict and post conflict countries. The programme focused on youth to be aware of the right to education and health.

The Monitoring, Evaluation and Learning system rests on 4 pillars: a. narrative reporting, b. outcome monitoring, c. evaluation and d. cross-programme learning and innovation. After some top-down experiences, Oxfam Novib changed strategy and provided tailor-made feedback on every report and used reflective questioning techniques to help the partner organisation by understanding the why of their performance.

This helped in various ways:

1. Quality of reports improved through analyses and reflection on the monitoring findings at country level (intended use!).
2. Country teams generated more observations (direct individual influence of monitoring findings).
3. Started to draw lessons from them and use the lessons at country level to adapt work plans (unintended!).
4. Social accountability improved.
5. Strong relational influence at individual and interpersonal level. People felt more part of the programme, and more proud about accomplishments.

See appendix 2 for more details.

## Corruption affects learning

Integrity in the work environment is important for learning. If the environment is corrupt learning becomes difficult, and even accountability is being affected. One of the participants indicated M&E are often used as an instrument for control, particularly in an environment that is corrupt. It may be a challenge for evaluators and M&E staff to work in a corrupt environment and to find out whether funds are being used correctly. Sometimes, managers do not want to see negative findings in the (monitoring and) evaluation reports. How do you respond to this as an M&E officer? Some M&E officers get side tracked or lose their job when trying to resist these forces.

Political pressure can also be important at the collective level. Sometimes if data are traceable to the individual level, it can hinder learning and ease of information. Depending on the type of data anonymity may need to be guaranteed.



### 3.6 External factors

"The external environment affects utilisation in ways beyond the influence of the primary stakeholders and the evaluation process. It includes indirectly involved stakeholders (not direct users) whose actions can affect the use (or non-use) of an evaluation. These include the public or media, governance structures (e.g. board, ministers, parliament), executive committee and donor" (Sandison, 2005).

Sandison describes two types of external factors, first the public or media misinterpreting complex outcomes consciously or unconsciously. Second, depending on where one puts the boundary of a system, he also reckons the accountability to beneficiaries being an external factor.

#### Naming and framing

In an evaluation where stakes are high, it is more likely that misuse is occurring. As Dr M.Q. Patton mentioned in the 2012 M&E conference: "When use goes up, misuse also goes up. Politics are very important".

Sandison: "Symbolic use, misuse or non use. Components of the same evaluation can lead to a mixture of uses at different times, partly related to the nature of the findings and partly to the users. Different users will select how, and if they use the findings according to their position, power and interests."

Sandison mentions that Danida and Japanese development aid use journalists and communication specialists in their teams. Karel Chambille of Hivos, mentioned that communication is important, and that you have to make use of media. It needs to be mentioned that understanding methodologies and outcomes based on methodologies is a skill that not every one possesses. So it is also very easy that findings are misinterpreted.

#### Civil society shapes transparency

The case from South Africa provided many insights on how to enhance use, and also how transparency can improve accountability to citizens. Politicians are forced to answer questions from citizens within a certain time frame.

Gabriela Pérez-Yarahuán commented that in the Ministry of Finance the indicators of the programs are monitored. Part of the information on the portal is public. "We have a portal; part of the information is public. Civil society helped a lot to make this happen; government needs pressure from civil society and media to open up."



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## 4 Reflections: options to further enhance use and influence of M&E processes and findings

This conference debated the concepts of use and influence of monitoring and evaluation processes and findings. It also looked at which factors can influence use, and herewith the change processes that individuals and organisations are part of.

Understanding which combination of factors play a key role in a particular situation can assist in a more tailored approach to improving use. Since participants contributed from different backgrounds, positions and powers, factors that help or undermine attempts to foster evaluative thinking and a learning culture can be different. Naturally, what works in one context does not apply to another context. In spite of the differences, however, many of us face similar challenges.

This section does not serve as a list of must-do's but is rather intended as a source of inspiration by showing examples of single or combined factors of prominent importance.

### 4.1 Supportive leadership to foster evaluative thinking

#### **Improving Use = developing supportive culture**

The importance of leadership and the role of management in leadership was a strong factor that came up in the conference many times.

Leaders can play an important role in supporting evaluative thinking in their organisation and building an evaluative culture where critical reflection and learning from mistakes is encouraged. Evaluative thinking may be defined as "a cognitive process in the context of evaluation, motivated by an attitude of inquisitiveness and a belief in the value of evidence, that involves skills such as identifying assumptions, posing thoughtful questions, pursuing deeper understanding through reflection and perspective taking and making informed decisions in preparation for action" (Archibald, 2013).

The extent to which management makes use of M&E reports, of knowledge generated to inform their decision-making is crucial in making M&E findings useful. They can help to regularly review the use of this knowledge generated and stimulate the application of good practice.

Ismail Akhalwaya mentioned the importance of leadership in the case of South Africa. The minister was very important in setting up the DPME within the Presidency and stimulating openness about the results of the different ministries.

Marlene Laübli Loud: "An evaluation (report) is a unique, historical document. Governments look back and they have to refer back to an evaluation document. I raised the questions about lessons from history: what are we learning? Management should bring evaluations up in board meetings: the symbolic meaning of M&E is important. The marketing of M&E findings is important."

A conference participant indicated the importance of leadership support in change management: "There was this fish company that totally reformed by watching how everything at the Seattle fish market works, because they like that place, how it works. It's about setting the right spaces, incentives. Slowly moving, creating. Certainly moves through top leadership".

#### **Supporting learning from mistakes**

Mistakes, or rather things that went different than thought before, are great learning opportunities. A conference participant suggested that a good manager should be an example in sharing mistakes and successes.

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### Strategically linking knowledge generated from different sources

Leadership needs to be careful in making strategic decisions based on evaluations. Best is to use a range of different sources, e.g. different evaluation reports and thinking through the implications for an organisation. This calls for meta-evaluation. Marlene Laübli Loud pointed out that often an investment in a synthesis study of already available insights and studies is worthwhile. Experience and resource limits show that it is often worthwhile to first synthesize knowledge and studies, and then invest strategically. In a blog (2014) Kirsty Newman makes the argument that sometimes it is good that evaluations are not used if they are based on a single research.

## 4.2 Paying attention to readiness and mentoring: two touchstones of evaluation capacity development

### Readiness, the first touchstone

In their presentation of the DECI (Developing Evaluation Capacity in ICT4D) project, Ricardo Ramirez and Dal Brodhead pleaded for taking time to be ready to engage in utilisation focused evaluation (UFE). In UFE the first two steps are about the readiness of evaluator and of the organisation. This means that UFE starts with a political review, not with an evaluation tone. The two steps are meant to verify whether the context and power balance allow for a learning approach to evaluation. Readiness refers not only to the willingness by project managers and funders to allow users to decide on the purpose of the evaluation (the users may or may not include the funders, which is often a novelty). It also refers to the attitude and approach needed by the evaluators who play a facilitator role, as opposed to an external judging role. "We have come to learn that these steps are worth investigating before signing a contract or agreeing to an evaluation consultancy". This time was built into the agreement with their funder the IDRC.

As one conference participant indicated: "bringing out the good and the bad results is important. Sometimes you can learn from bad news, and correct yourself from there. There must be readiness to learn from the evaluation and findings".

### Evaluator readiness

Whilst an organisation needs to be ready to engage in useful M&E, it is just as important that evaluators are also ready to commit themselves to making M&E useful. Conference participants asked the question "who evaluates the evaluator?" This may be an important factor that is often overlooked. In large and complex evaluations, where many stakes are at play, for evaluators, it may be difficult to work within that minefield. How do you stay close to your belief in use, when you see so many factors and actors working against use? It is not always possible to foresee the complexity of evaluation processes and how you can play a useful role given the situation. Evaluators (and evaluation commissioners) must be ready to deal with these complexities.



### Mentoring, the second touchstone

As a means of providing capacity development in evaluation, mentoring is very valuable. According to Dal Brodhead and Ricardo Ramirez, "the DECI project offers partners 15 person days of UFE mentoring, to be delivered along a schedule that matches the needs of the partner's project. This includes two face-to-face visits, the rest

the mentoring is done remotely. The mentoring is offered to multiple levels in the organisations. The merit of the approach is that sharing steps happens at the time when the partner is ready for them and can absorb the learning. This works better than a single workshop event. And leads to think that this affects the uptake positively". They also discovered that the magic of UFE is noticed a few steps into the process when the users realize the power of being in the drivers' seat.

### 4.3 Strategic stakeholder engagement

#### Supporting stakeholder engagement

It's important to think strategically about the potential use of the (monitoring and) evaluation. Marlene Laübli Loud mentioned the concept of having a focused advisory group, in which stakeholders are involved in a focused way, for a specific task, on a contract. Management can then incorporate the feedback from stakeholders to deal with complexity. It also reduces bias (see also M. Laübli Loud & J. Mayne, 2014).

Gabriela Pérez-Yarahuán commented that for CONEVAL, a commission of scientists, in future it is important to involve other stakeholders to foster different views to be taken into account when designing evaluations.

Karel Chambille's presentation about the negative consequences of the change in ownership of programme evaluations from Hivos to the Ministry, underlines Patton's idea that intended users are more likely to use evaluations if they understand and feel ownership of the evaluation process and findings.

One of the conference participants indicated that her take-home message was that social interaction is key to use and knowledge management. "I'm going to work on improving the social interaction between evaluators involved in the big evaluation and the organisations involved".

Also the GIZ M&E department and the GIZ manual (2013) offer their colleagues different kinds of tools and working methods to experiment with stakeholder participation.

GIZ has developed a framework for making their evaluations more utilisation focused and stakeholder interests, and stakeholder participation are important issues to think through. See also box 16 below.

**Box 16: Case example: Enhancing the use of evaluation findings through evaluation management: the case of evaluation in GIZ**

GIZ is the German government owned agency for development assistance, with a turnover of 2 billion Euros per year. Annually some hundred evaluations are being carried out.

The evaluation office is responsible for finding adequate methodologies to answer evaluation questions for the world-wide work of GIZ. In 2014 GIZ adopted a new M&E strategy based on learning and putting into balance the former emphasis on accountability.

The presentation focused on comparing two strategic evaluations based on that strategy. "One created change while doing everything wrong UFE-wise; the other case was done according to text book but we doubt if we created change".

A conceptual framework was developed around Utilisation-Focused-Evaluation.

According to their framework as explained below, important influencing factors includes organisational structure and culture, stakeholder interests and external pressures. Evaluation management dimensions serve as a tool to think about what kind of evaluation methodology and team is appropriate in the often complex situation.

influencing factors	<ul style="list-style-type: none"><li>organisational structure and culture</li><li>stakeholder interests</li><li>external pressures</li></ul>
evaluation management dimensions	<ul style="list-style-type: none"><li>functions of evaluations (accountability/learning)</li><li>level of independence (high/low)</li><li>level of stakeholder participation (high/low)</li></ul>
approaches and tools	<ul style="list-style-type: none"><li>advisory groups</li><li>learning cafés</li><li>etc.</li></ul>

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## 4.4 Dealing with the politics of (monitoring and) evaluation

### Politics of evaluation

Various cases (Hivos-Netherlands, Mexico, South Africa) highlighted the existence of national evaluation policies with regard to co-financing development aid, to evaluation of social programmes or to the performance of government. The presentations triggered discussion around the politics of evaluation.

See box 17 for the example of Hivos, the Netherlands. It explains the M&E requirements with regard to the partner organisation and also the requirements for Hivos, mainly coming from the MFS II (Dutch co-financing system) from the Dutch Ministry of Foreign Affairs, historically the main source of funding for the Dutch non-governmental organisations.

#### Box 17: Case example Hivos and Partner relations M&E systems

Karel Chambille, evaluation manager at Hivos, made a keynote speech about M&E requirements that apply to Dutch co-financing agencies like Hivos and their partner organisations. Hivos is a co-financing agency funding projects designed by 700 partner-organisations in 32 countries, through 6 regional offices (315 employees, 2013 expenditure 99 million Euros) in 2013. In some cases, Hivos implements projects. Karel indicated to different types of M&E in the organisation.

The first one is at the level of Hivos and its partners. This is mainly about instrumental/conceptual/non-use. The M&E is decentralized, and directly related to their core business of grants for partner organisations. Performance of partner organisations is monitored, and external evaluations of the partner organisations are commissioned decentrally not by specialised staff.

A small survey was carried out amongst colleagues to assess the use of these valuations. This indicated that on a scale of 10, the rating was on average 8 in terms of useful information generated for Hivos. Evaluations were mainly used for communicating with partner organisations. To a lesser extent, it also influenced wider programmatic thinking of Hivos.

The second type of monitoring and evaluation, related to the level of Hivos to the Ministry of Foreign Affairs, especially the independent evaluation unit (IOB). This related mainly to legitimising/symbolic/non-use.

For the first period of the Dutch co-financing system (2006- 2010) there was tailor made M&E frameworks. Hivos commissioned various types of programme evaluations based on their own evaluation agenda. IOB had engaged in quality support during and after the evaluation was submitted. The exercise was considered to be fruitful.

This contrasts highly with the current period of MFS II (2010-2015), where a standardised framework is imposed to assess the following areas: MDGs, organisational capacity development, civil society strengthening; lobby and advocacy. Methodologically, RCT and/or quasi-experimental approaches are imposed (especially relevant for the MDG part). Whilst Hivos was interested in learning about attribution, the way this was to be measured was imposed on them.

Karel Chambille cites Steven Højlund's article to contextualise that M&E work in the field of development cooperation is also very political. The word "use" sounds quite neutral, but is not. In politics types of legitimate or symbolic use are extremely important. Karel indicated that the Højlund article makes a distinction between action vs. political organisation (see also box 18 below). Hivos is both. The MFS II evaluation looks at areas that are difficult to measure like lobby & advocacy. Not all of your work is easily evaluated and communicated; you need to twist some of your work that has less explicit outcomes in the same way.

## Box 18: Evaluation use in the organizational context - changing focus to improve theory

**Højlund's** article is about evaluation use. The key argument is that in order to explain all types of evaluation uses, including non-use and justificatory uses, the focus needs to be on the evaluating organization and its conditioning factors, rather than the evaluation itself.

The article focuses on the well-known paradox that evaluation is undertaken to improve policy, but in fact rarely does so. The article states that evaluation use is the most discussed issue within the evaluation 'world' and that there is still no agreement on which typologies of use are the best. And that it is very difficult to measure use and influence! He proposes to shift the focus on evaluation 'micro factors', to the organisation/institution that is to put evaluation within the context of the organisation. He indicates that how institutions work determine use, but that the use discussion hardly uses institutional theory. He states that the discussions about the use of evaluations and the discussions about the use of (expert) knowledge are similar and therefore, he applies an organisational theory of Boswell (from the expert knowledge team) en Eckerd and Moulton (2011). They indicate that there are two types of institutions with different internal propensities to evaluate. Depending on the type of institution, they deal with evaluations differently.

"The '**action organisation**' is focused on its efficiency because it gains its legitimacy from its ability to produce outputs. Therefore, the culture of evaluation in this type of organization is likely to use knowledge instrumentally to improve its efficiency and thereby increase its legitimacy.

The '**political organisation**' draws its legitimacy from political decisions and action-taking on issues. This type of organization has a low propensity to evaluate, because the policy outputs and impacts are often not measurable and therefore more difficult to gauge. Also, the political organization does not have a culture of evaluation. For these reasons, political organizations tend to use knowledge – such as evaluations – symbolically rather than instrumentally when legitimizing themselves (Boswell, 2008: 473–4) in Højlund (2014).

Gabriella indicated that there is a difference between symbolic and instrumental use, and that it's important to think about the use of the findings. In Mexico, the system was mainly developed so as to show that the government was changing, was becoming accountable. So the use was mainly symbolic.

### Power

A participant noted: "There are power dimensions in learnings. For example, bigger, richer organisations overrule the smaller organisations. Also, who is framing the discourse is very important." Who owns the questions to be addressed in the ToR?

Power is at all scales. On a national scale, the South African example showed the importance of political support and the strategic placement of M&E in presidency/power.

### Personal power and agency

The report of the conference about the politics of evaluation (Eyben et al, 2013) has an interesting discussion about the power of the individual. "Power analysis – internally and externally – was mentioned often as part of improving our personal agency." "We have to recognise the spaces to manoeuvre."

The strategy put forward in the report is an approach around circles of influence:

- Innermost circle: one's own power to change things by resistance and/or creative compliance).
- Next circle: Engaging one-on-one with others to develop creative relationships of trust.
- Outer circle: Influence organisational structures through coalitions between organisations.



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## 4.5 Use is thy first standard, and it will be thy last

### **Paradigm shift by better argument**

Participants noted the importance of ‘lobbying’ inside their organisation for M&E as a tool for learning and development, accompanied with a budget. One participant intended to resolve to present a paper that shows to management the need for us to move away from M&E as a statutory routine thing that has to be done but to see it as a tool for learning. “Perhaps that economic arguments can be convincing”. Dal Brodhead reemphasizes: “We have to make better arguments for what we are promoting: inclusive participatory approach, also economic arguments why more cost-effective to make that change at the beginning of the project and not at the end.”

### **Use is thy first standard and it will be thy last**

Evaluation has grown as a profession, with also the development of professional standards. Since utility is the first standard that should be adhered to, it is also the last but not least.

The AFLATEEN case confirmed: “ The process was a shared learning experience of management, practitioners and donor, and demonstrably useful. “As evaluators and practitioners we strongly confirm the first principle of UFE that no evaluation should go forward unless it will be used.”

### **Connecting to context/adaptive capacity/complexity**

The bigger question is how our work with M&E is part of change processes, and how it feeds into the change processes. In the conference we have seen many factors, like the quality of the M&E process, how and where M&E sits in the organisational structure, how feedback loops are organised formally and informally, and all the political wisdom to manoeuvre with important information at all levels of the organisation and outside of it. Use is not the final goal of (monitoring and) evaluation. Henry (2000) argues, “Pursuing use as the ultimate goal for evaluation, can distort the allocation of evaluation resources and reduce the contributions of evaluation to broader social goals, such as social betterment.”





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## Recent events

3rd International (UNDP) conference on National Evaluation Capacities, in Sao Paolo, 29 Sept-3 Oct, 2013. [http://www.youtube.com/watch?v=1UOy\\_Cj7Ds4](http://www.youtube.com/watch?v=1UOy_Cj7Ds4) session focusing on use

'Beyond the report: iterative approaches to evaluation use' ALNAP evidence and knowledge meeting, 2013 <http://www.youtube.com/watch?v=S87fAmkyeh8>

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This is the list of references described in the annotated bibliography. See for the full annotations. [http://www.managingforimpact.org/sites/default/files/case/improving\\_the\\_use\\_of\\_monitoring\\_and\\_evaluation\\_processes\\_and\\_findings.pdf](http://www.managingforimpact.org/sites/default/files/case/improving_the_use_of_monitoring_and_evaluation_processes_and_findings.pdf)

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# Appendix 1      Keynote speakers

## Marlène Läubli Loud (DPhil)

The current state of affairs regarding utilisation of M&E processes and findings



**Marlène Läubli Loud (DPhil)** is currently an independent consultant and trainer in public sector evaluation. She has over 25 years of experience in various aspects of private and public sector evaluation in the following fields; small-to-medium enterprises, higher education, youth unemployment, public health, environmental health, community services and impact of communication and information technology on society. Her clients include Cantonal health authorities, the European Commission, the World Health Organization, the United Nations Evaluation Group (UNEG), the UN Joint Inspection Unit, the UK Department of Employment and the UK Health Promotion Agency (now merged and become NICE).

She was head of the Research and Evaluation Unit at the Swiss Federal Office of Public Health (SFOPH) for nearly twenty years where she gained much experience in evaluation management, and especially in the ways and means for improving the use and utility of evaluation in organizations. She continues to have a keen theoretical and practical interest in this area and is now leading a working group for the Swiss Evaluation Society (SEVAL) on competencies for evaluation managers.

Marlène has facilitated several workshops on public sector evaluation for a range of health and other practitioners. She is a member of the American, European, Swiss (SEVAL) and UK Evaluation Societies and served on the SEVAL Executive Committee for more than 10 years with special responsibility for professional development. She has also held positions in several universities as lecturer in public sector evaluation and as senior researcher. She has acted as peer reviewer on several evaluation studies and is currently a reviewer for the Canadian Journal of Program Evaluation.

Marlène has worked in several countries including Algeria, Switzerland, the UK, and Italy. She was also part-time Director of the European Office of International Physicians for the Prevention of Nuclear War—winner of the 1985 Nobel Peace Prize.

Projects that she is currently working on or has recently completed include: developing competency framework for professional evaluation management; evaluation of cantonal information system for coordinating placements in Medicalised Homes, training in strategies and measures for capacity building in organisations. Marlène is co-editor of the book '[Enhancing evaluation use: Insights from internal evaluation units](#)' together with John Mayne (SAGE publications 2014).

### **Publications:**

Läubli Loud, M. (2014) *Institutionalization and Evaluation Culture – Interplay Between the One and the Other: Lessons From the Swiss Federal Office of Public Health*. In: *Enhancing Evaluation Use: Insights from Internal Evaluation Units* pp55 – 82, Sage Publications USA.

Läubli Loud, M. & Mayne, J. (eds.). (2014). *Take-Home Messages for Internal Evaluation Units*.

Läubli Loud, M. (2014) *What Can We Learn From Practitioners? Some Thoughts and Take-Home Messages for Internal Evaluation Units*. In: *Enhancing Evaluation Use: Insights from Internal Evaluation Units* pp241 – 258, Sage Publications USA.



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## Ismail Akhalwaya and Carlo Bakker

### Improving the Use of M&E Processes and Findings – Experiences from South Africa – Lessons from the Department of Monitoring and Evaluation in South Africa



**Ismail Akhalwaya** is currently The Programme Manager for the Institutional Performance Monitoring at the [Department of Performance Monitoring and Evaluation \(DPME\)](#) in the Presidency. He holds a Bachelor of Commerce degree (Economics, Business Economics) from the University of South Africa and a Post graduate qualification in Public Sector Management and Development Administration from the University of Witwatersrand.

Ismail is currently, working at the Public Sector Oversight (PSO) branch at DPME in the Presidency. A key function he has been focusing on is introducing an institutional management assessment framework, to assess the management practices in national and provincial departments. He is also currently responsible for managing one of government's key strategic outcomes focusing on improving the effectiveness and efficiency of the public service. He is also responsible for the Institutional Performance Management directorate, dealing with Management Performance Assessment Tool.

Ismail has been in National Government since 1997 and has been operating as a senior manager since 2001. He has worked in the Department of Labour in the skills development area, and played a role in developing the country's first National Skills Development Strategy. Since 2004 he was employed at the Department of Public Works and was involved in the management of governments key employment creation programme the Expanded Public Works Programme.



**Carlo Bakker** is the founder/director of the Independent Monitoring Performance Expertise Center (IMPEC). IMPEC is a strategic partner for the South African Department for Performance Monitoring and Evaluation in the Presidency (DPME). The IMPEC expert supports the DPME by developing tools to improve government performance (see [www.goodXample.org](http://www.goodXample.org)). Carlo Bakker is involved since 2010 when the DPME was established. IMPEC brings together scientific thinking, multidisciplinary expertise and community input, to improve government performance. Working

together in transparent and performance driven collaboration will lead to more service delivery to citizens.

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## Appendix 2 Case studies

### Ismail Akhalwaya (DPME in the Presidency of South Africa) and Carlo Bakker (IMPEC)

Executive monitoring of the quality of management practices in South Africa – Using a self-assessment methodology to drive improvements in management practices

**Subject of the monitoring and/or evaluation:**

In 2010 the National Cabinet gave a mandate to the newly established Department of Monitoring and Evaluation (DPME) located in the Presidency to develop a methodology to monitor the quality of management practices in national and provincial government departments. The Management Performance Assessment Tool (MPAT) was developed based on research conducted looking at similar interventions internationally.

After an initial slow take up from departments the tool has grown and we have now completed two cycles of assessments on 155 national and provincial departments in South Africa. An important baseline measure has been established in 2012 and departments have implemented plans to improve their MPAT scores. Various initiatives from the administrative centre departments have been put in place to support departments in their improvements and to review policies based on results from these assessments. Case studies on good practice have also been documented and shared with departments to use to improve their own practices.

The MPAT assessments are done annually and the results are presented to National and Provincial Executive structures and released publically. This has created an immense interest from departments and a commitment by many to ensure improvements are implemented.

#### PROFILE CASE OWNERS



**Name of case owner:** Ismail Akhalwaya

**Organisation:** Department of Performance Monitoring and Evaluation in the Presidency

**Country:** South Africa

**Current function:** Programme Manager for Institutional Performance Management

**Your role in the Utilisation case:** Programme Manager for Institutional Performance Management.

**Other relevant experiences/background:** Mr. Akhalwaya has been working in the public sector for the last 17 years and as a senior manager since 2001.



**Name of case owner:** Carlo Bakker

**Organization:** Independent Monitoring Performance Expertise Center: [www.IMPEC.org](http://www.IMPEC.org)

**Country:** Netherlands

**Current function:** Founder/director

**Your role in the Utilization case:** IMPEC is a strategic partner for the South African Department for Performance Monitoring and Evaluation in the Presidency (DPME). The

IMPEC expert supports the DPME by developing tools to improve government performance.

[www.goodXample.org](http://www.goodXample.org) Carlo Bakker is involved since 2010 when the DPME was established.

**Other relevant experiences/background:** IMPEC brings together scientific thinking, multidisciplinary expertise and community input, to improve government performance. Working together in transparent and performance driven collaboration will lead to more service delivery to citizens.

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# Gabriela Pérez-Yarahuán (Universidad Iberomericana/CLEAR Latin America)

## DESCRIPTION OF THE CASE

### **Title case:**

Evaluation influence on accountability and government performance. The case of the evaluations of Mexico's social development programs.

### **Subject of the monitoring and/or evaluation:**

This case is about program evaluation and its connection to public accountability and government performance in the context of social programs in Mexico. This case aims to contribute to the understanding of how program evaluation studies can influence decision making at the individual, interpersonal or collective levels, in order for changes in operation rules (program design) and thus performance to take place. The case has two components; the first one is a survey of public officials to know their perception on the use of evaluation in terms of its potential uses. The second consists of an analysis of a set of federal social programs, with emphasis on educational programs. For these, operational changes were documented. Evaluation studies were also revised for all programs during the corresponding time period to document proposals for change derived from evaluation studies. Changes in programs and modification proposals of evaluation studies are jointly analysed in order to see if there is correspondence. The data collected show that public officials give more weight to the instrumental component of evaluation use and less to political accountability or budgeting purposes. The analysis of coincidence between program change and evaluation studies show that the correspondence among the two are found in some crucial areas for performance such as objectives, target population and type of benefits of programs.

## PROFILE CASE OWNER



**Name of case owner:** Gabriela Pérez-Yarahuán

**Organisation:** Universidad Iberomericana/CLEAR Latin America

**Country:** Mexico

**Current function:** Professor

**Your role in this utilisation case:** Leading researcher

**Other relevant experiences/background:** Former Director General for Evaluation at the Mexican National Council for Evaluation of Social Policy

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# Alexander Erich (GIZ Evaluation Office)

## DESCRIPTION OF THE CASE

### Title of the case:

Fostering change in GIZ through evaluation management

### Subject of the monitoring and/or evaluation:

From 2006 to 2014 GIZ implemented annual cycles of evaluations of projects in different sectors (portfolio evaluations), including peace and conflict, vocational training, health and education, among others. Evaluation findings were synthesised for each sector and a process initiated for individual and institutional learning from evaluation. While a fairly standardised system was put in place, the different cycles were characterised by specific dynamics regarding the use of evaluation findings and their utility for promoting change. Shaping utility-oriented evaluation processes in light of institutional structures, organisational culture and sometimes diverging stakeholder interests makes evaluation management an intricate and intriguing task. The case of GIZ's portfolio evaluations provides and illustrates a conceptual framework composed of different approaches – from organic to planned processes and from agent provocateur to consensus-oriented models - employed in practice to foster the use of evaluation findings in a large implementing agency.

## PROFILE CASE OWNER



**Name of case owner:** Alexander Erich

**Organisation:** GIZ Evaluation Office

**Country:** HQ, Germany

**Current function:** Evaluation Officer

**Your role in this utilisation case:** Manager in charge of evaluations presented.

**Other relevant experiences/background:** Alex has worked in international development for the past ten years, including as technical advisor and consultant in several countries in Africa, Eastern Europe and Central Asia. He has managed evaluations for various international agencies, including the World Bank, SDC and Sida. In the GIZ Evaluation Office he has recently coordinated evaluations of projects in education and rural development, as well as evaluations of the organisation's policies and strategies. His keen interest is on how to shape effective stakeholder involvement in evaluations.

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# Dal Brodhead and Ricardo Ramírez (New Economy Development Group)

## DESCRIPTION OF THE CASE

### Title case:

DECI as a case study: Learning our way into utilization focused evaluation

### Subject of the monitoring and/or evaluation:

UFE is an approach to evaluation that emphasizes the *use* of the findings and the process itself. *The central premise of Utilization-Focused Evaluation (UFE) is that evaluations should be judged by their utility and actual use.* In UFE, evaluators facilitate a learning process with attention to how real people in the real world apply evaluation findings and experiences. In designing a utilization-focused evaluation -- the attention is constantly on the intended use by intended users. UFE does not prescribe any specific content, method or theory. It is a framework, as opposed to another methodology. UFE can include a wide variety of evaluation methods. It is a process for making decisions in consultation with those who can benefit from the evaluation. It is based on the fact that intended users will more likely utilize an evaluation in which they have ownership.

Through the DECI project, we were able to test-drive UFE with five Asia based partners. All partners were networks or project hubs involved in information communication technology for development (ICTD) research. One consisted of 23 different health research groups; another was introducing ICTD research into Mongolia, and several provided small grants and coaching to help young scholars gain skills and confidence in this emerging field. We helped produce five evaluation reports that were used, and we prepared a case study summarizing each. On that basis, we produced a [Primer on UFE](#) for evaluators, that is available for free in English, French and Spanish.

We learned that UFE works as decision-making framework. Its emphasis on focused *uses* enhances utilization of findings, as well as the evaluation process by constantly drawing attention to the overall purpose of the evaluation. We learned about the value of training via mentoring and about the importance of ascertaining readiness for this approach to create conditions that allowed it to thrive.

## PROFILE CASE OWNERS



**Name of case owner:** Dal Brodhead

**Organisation:** New Economy Development Group

**Country:** Canada

**Current function:** Director of the New Economy Development Group and co-Principal Investigator based in Ottawa, Canada

**Your role in the Utilisation case:** He is the Director of the New Economy Development Group, a value-based consulting firm that hosts the DECI-2 project.

**Other relevant experiences/background:** Mr. Brodhead has held senior posts in various federal departments, and he directed a national research project on regional development for the Economic Council of Canada. Internationally, he served as a project manager for CIDA's largest micro-credit project worldwide, as well as leading evaluation and monitoring missions in a number of countries. Mr. Brodhead presently manages a portfolio of consulting projects in Canada in the fields of community economic and rural development, citizen engagement, and participatory evaluation. In addition, he is a frequent facilitator specializing in organizational capacity building, community-driven initiatives and Board development. He also has extensive experience working with Aboriginal, rural and northern communities in Canada.



**Name of case owner:** Ricardo Ramírez

**Organisation:** New Economy Development Group

**Country:** Canada

**Current function:** co-Principal Investigator based in Guelph, Ontario, Canada

**Your role in the Utilisation case:** co-Principal Investigator in DECI

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**Other relevant experiences/background:** He brings experience in the fields of evaluation, communication for development and ICTD in rural and remote settings. He has collaborated with Dal over several years in evaluation assignments and communication strategy development. He and an associate of his, Galin Kora, recently completed a Utilization-Focused Developmental Evaluation (UFDE) in the Netherlands and he has also recently co-authored a Primer on UFE with Dal Brodhead with the support of the IDRC.

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# Sef Slootweg (CEFOD)

## CASE DESCRIPTION

### Title case:

From Desire to The Deed: The world of difference between understanding and implementing result based planning, monitoring and evaluation in a highly qualified capacity building organisation.

### Subject of the monitoring and/or evaluation:

CEFOD, the "Centre d'Etudes et de Formation pour le Développement" is a capacity building organisation with four departments:

- Documentation and Juridical Information (with an academic library and a juridical documentation centre);
- Edition and media (with a monthly "Chad et Culture" thematic publications, radio programs, videos and the organisation of public debates);
- Training and research (Organisation management, financial management human resources management, evaluation and planning workshops, and commissioned studies);
- Conference Centre (housing 2-3 meetings, workshops, seminars a day hosting on average 100 persons a day).

The goal was to introduce result based planning, monitoring and evaluation, and shifting focus in CEFOD's reporting from activities to results. CEFOD has worked on this over the last three years. It was supported in this period by MISEREOR (the main German catholic funder of development programs) consultants in a number of workshops introducing the whole process.

## PROFILE CASE OWNER



**Name of case owner:** Sef Slootweg

**Organisation:** Centre d'Etudes et de Formation pour le Développement (CEFOD)

**Country:** Chad

**Current function:** Advisor at CEFOD Centre d'Etudes et de Formation pour le Développement

**Your role in the Utilisation case:** Support CEFOD in defining and measuring results

**Other relevant experiences/background:**

- Coordinator Civil Society Support in Niger for GIZ
- Programme Officer Youth and Urban programmes Ethiopia, Kenya and South Africa for CORDAID
- Advisor PME and Coordinator Knowledge Management for SNV in Benin
- Project coordinator for SNV, PSO and Intercooperation in Albania
- M&E missions for IKV/Pax Christi and VNG
- M&E expert RIGO and Werkgroep 2000 in the Netherlands



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# Annemarieke de Bruin (SEI)

## DESCRIPTION OF THE CASE

### Title of the case:

Embedding monitoring and evaluation in the workflow of staff

### Short description of the case and subject of the monitoring/evaluation:

Since 2010, the Stockholm Environment Institute has a monitoring and evaluation system in place that is used by staff in all 7 centres. We have based our system on Outcome Mapping, but adapted it to the workflow of our institute and the types of projects we undertake. A factsheet is available here: <http://www.sei-international.org/publications?pid=2347>. We use the online 'PMEC' system to monitor and evaluate all projects, ranging from projects focussed on fundamental research with an academic paper as output to projects aiming at policy impact in environmental sustainability; from large to small projects in both budget and time resources; from highly complex projects with multiple partners, set in multiple countries and with the aim to influence multiple boundary partners to less complex projects with fewer of any of these. The online system has been adapted based on feedback from staff and despite higher management endorsing it, there are still different levels of uptake of the system. Although all projects are set up in the system, not all projects monitor frequently (enough) and the quality of the information in the system is not always as good as we would like it to be. The system aims to help staff reflect on project implementation and improve their adaptive management of projects but several see this as purely an administrative burden. How can we overcome these last hurdles to ensure the majority of staff feels that the system helps them in their work and improves their projects?

## PROFILE OF THE CASE OWNER



**Name of case owner:** Annemarieke de Bruin

**Organisation:** Stockholm Environment Institute

**Country:** United Kingdom

**Current function:** Researcher, as well as Monitoring and evaluation coordinator

**Your role in the Utilisation case:** Monitoring and evaluation coordinator of team of so called 'PMEC' nodes distributed across all 7 centres of SEI.

**Other relevant experiences/background:** My MSc thesis at Wageningen looked at monitoring and evaluation systems of watershed management projects in Central America and in my role as researcher I manage a number of projects and help monitor and reflect on progress made.

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# Wouter Bolding and Yvonne Es (Oxfam Novib)

## DESCRIPTION OF THE CASE

### Title case:

Providing feedback on monitoring results to stimulate learning

### Subject of the monitoring and/or evaluation:

My Rights, My Voice (MRMV) is a global programme that aims to engage marginalised children and youth in their rights to health and education services. The work builds on the foundations of existing health and education projects, but with a new focus of working WITH young men and women, girls and boys. This emphasis on youth and children as active citizens is central to all of our work with these very diverse groups and individuals to strengthen their awareness of and ability to demand their rights. Gender justice is at the heart of what we do and we will work to increase awareness and participation of girls' and young women in decisions affecting their lives, and in supporting them in becoming active citizens.

Eight country projects make up the programme: Mali, Niger, Tanzania, Georgia, Afghanistan, Pakistan, Nepal and Vietnam.

MRMV is a joint affiliate programme involving Oxfam GB and Oxfam Novib, and Oxfam Quebec in the case of the Niger project, and funded by the Swedish International Development Cooperation Agency (Sida).

In the presentation we will focus on the day-to-day monitoring of outcomes in the country projects:

- The role of providing feedback by the Oxfam MEAL officer on monitoring reports:
  - Downward accountability
  - Stimulate short local level learning loops to adapt project activities
  - The results of feedback to country office staff:
    - Awareness of Oxfam staff for behavioural change
    - Creation of demand by Oxfam staff for outcome monitoring tools
    - Increased downward accountability towards local level stakeholders
    - Moving away from rigid implementation of agreed working plans to regular adaption of working plans and improvisation.
    - More frequent testing of the assumptions underlying the global ToC.

Areas for discussion:

- How to institutionalise this focus on change vs. focus on outputs?
- What instruments/tools are there for day-to-day monitoring of outcomes? Tools like Most Significant Change; surveys etc. are all high investment interventions (time, costs) at limited intervals in a project cycle. While Outcome Mapping is very labour intensive.

## PROFILE CASE OWNERS



**Name of case owner:** Wouter Bolding

**Organisation:** Oxfam Novib

**Country:** The Netherlands

**Current function:** Global Monitoring, Evaluation and Learning (MEL) Advisor My Rights, My Voice (MRMV)

**Your role in this utilisation case:** Responsible for MEL in the MRMV programme

**Other relevant experiences/background:** Wouter Bolding has a Master's degree in Cultural Anthropology (Utrecht University). He has a rich experience in policy development and programme management including monitoring and evaluation in the field of Education and sexual and Reproductive Health Right with the UN and Oxfam. He has developed the MEAL system for the My Rights, My Voice Programme. This multi country programme started in 2011 and focuses on youth as active citizens. He is a member of the Oxfam International (17 Oxfams) MEL in Campaigns Community of Practice.



**Name of case owner:** Yvonne Es

**Organisation:** Oxfam Novib

**Country:** The Netherlands

**Current function:** Oxfam Novib Monitoring, Evaluation and Learning (MEL) Advisor

**Your role in this utilisation case:** Member Steering Committee MRMV

**Other relevant experiences/background:** Yvonne Es holds a Masters' degree in Cultural Anthropology and Sociology of Non-Western Societies (VU University,

Amsterdam). Her experience in the area of monitoring and evaluation includes setting up monitoring and evaluation systems for Oxfam Novib and the Oxfam confederation, impact assessment, evaluation management of country and thematic evaluations and providing MEL support to Oxfam Novib's country offices. She is and a member of a member of the Oxfam International (17 Oxfams) MEL in Campaigns Community of Practice. She is also a Member of the Internal Reference Group for the Joint MFS-2 Evaluation (concerning 19 coalitions of Dutch NGOs).

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# Daniel Shephard and Simon Bailey (Aflatoun)

## DESCRIPTION OF THE CASE

### Title case:

Utilization Focused Developmental Evaluation: learning through practice

### Subject of the monitoring and/or evaluation:

Utilization-focused evaluation provides an overall decision-making framework with the intention of ensuring evaluation products and processes are actually used. Developmental evaluation provides a structure to learn from an experiment or pilot in the making and provide feedback to course-correct and improve the ongoing effort. <--break--> We hope to present on a project where we combined both into a utilization-focused developmental evaluation (UFDE). The context was the piloting of an education curriculum for youth called Aflateen that was developed by Aflatoun in Amsterdam and test-driven by over forty partners around the World. The evaluation experience took place during a ten-month period between December 2012 and October 2013.

We aim to outline the context and justification for using this combined approach. Using a sample of the findings, we will then show how this is connected to the findings, provide a reflection of the overall process, and an update on the process of implementing. We emphasize the types of conditions that enabled this experience and aim to guide other practitioners interested in this learning approach to evaluation.

## PROFILE CASE OWNERS



**Name of case owner:** Daniel Shephard

**Organisation:** Aflatoun

**Country:** The Netherlands

**Current function:** Research and Curriculum Manager

**Your role in this utilisation case:** Evaluation Commissioner and Co Author

**Other relevant experiences/background:** Daniel Shephard is the Curriculum and Research Manager at Aflatoun. He is a graduate of Oxford University with a degree in

Evidence Based Social Interventions. Previously, he worked as a consultant to the ILO in Thailand and as a teacher.



**Name of case owner:** Simon Bailey

**Organisation:** Aflatoun

**Country:** The Netherlands

**Current function:** Head of Learning, Research and Network

**Your role in this utilisation case:** Evaluation Commissioner and Co Author

**Other relevant experiences/background:** Simon Bailey is Head of Learning, Research and Network at Aflatoun. He has a degree in political philosophy from the

London School of Economics and is currently completing his MBA at the University of Amsterdam.

Prior to Aflatoun, he worked in the areas of Microinsurance and in Canada on asset based social policy.

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# Ibrahim Khadar (CTA)

## DESCRIPTION OF THE CASE

### Title case:

Capacity-centred Impact Pathway Analysis (CcIPA): Design, Testing and use through collaborative case studies

### Subject of the monitoring and/or evaluation:

In October 2012, CTA's Learning, Monitoring and Evaluation Unit (LME) Unit launched a joint impact study of the Centre's technical and financial support to nine long-standing partners, over the past ten years: CaFAN and CARDI in the Caribbean region, and ANAFE, EAFF, FANRPAN, IPACC, KENFAP, RTN and RUFORUM in Africa. These organisations and networks cover more than 50 countries and they are as diverse as the countries they cover - some operate as a small secretariat with nodes and members in their various constituencies, while others are large organisations with sub-offices in various countries. Some are university networks while others are farmers' organisations. Their areas of intervention range from ICTs, to forestry education and from research to policy advocacy.

Within the development community, the commonly accepted practice in impact assessing is to identify the 'significant or lasting changes in people's lives, brought about by a given action or series of action'. Changes in the capacities of the organisations and networks that implement the development actions are not normally considered as impact, which explains why impact studies are usually carried out separately from the evaluation of organisational capacity development.

It is in order to address this methodological vacuum that CTA has spearheaded the development of the Capacity-centred Impact Pathway Analysis (CcIPA) model. In essence, CcIPA is a synthesis model based on the premise that the performance and impact of organisations or networks depend to a large extent on the state of their core capabilities. CcIPA is built around three main conceptual components: the Five Core Capabilities (5 CCs) model, the Logic Model and a framework for categorising impact. CTA and partners were very clear from the outset about the strategy for implementing the impact study. An effective implementation strategy was needed to ensure good communication among the participants as well as their full commitment to the study. A key element of the strategy was to implement the study in two distinct phases - a quick scan of approximately three months, followed by in-depth studies.

Another strategic element related to the roles of the various participants. Each organisation has responsibility for financially and technically managing their case study, including the selection of an external M&E expert, based locally, who will work with a qualified staff member. The external expert brings the technical support while the staff member brings the data and information. Finally all the organisations were consulted at all the stages of the study: the methodology design, definition of scope, scheduling and budgeting, and mid-term progress review.

The study has revealed exciting findings, including, evidence of significant growth and increased performance of the partner organisations and networks during their association with CTA. All the partners indicated that CTA's partnership has been most beneficial at critical stages in their development. CTA is credited by all the partners with having made a significant contribution to their capability to relate to their external stakeholders, which one of the partners has attributed to 'raising their profile and increasing awareness among a wider audience of their activities and projects'.

## PROFILE CASE OWNER



**Name of case owner:** Dr Ibrahim Khadar

**Organisation:** CTA

**Country:** Netherlands

**Current function:** Manager Learning Monitoring Evaluation Unit

**Your role in this utilisation case:** Team Leader

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**Other relevant experiences/background:** Unit Manager, Learning, Monitoring and Evaluation (LME), Sierra Leone PhD in Agricultural Economics, University of Montpellier 1, France; Post Graduate Diploma in Tropical Agriculture, Ecole Supérieure d'Agronomie Tropicale (ESAT), Nogent-sur-Marne; BSc (Honours) Economics, Fourah Bay College, University of Sierra Leone. The academic field (teaching and research) could not hold Ibrahim, who attained the position of Senior Scientific Officer at CAB International before joining CTA in 1992.

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## Appendix 3 Perspectives on use

### Knowledge management

**Sylvester Dickson Baguma (NARO): Rethinking knowledge management as a stimulant to improving the use of monitoring and evaluation processes and findings**

Whereas monitoring and evaluation is high on development agendas, its utility is not commensurate with the level of investment. The use of M&E processes and findings is still very low. One of the purposes of evaluation is to generate knowledge. One wonders for what purpose that knowledge is generated and what happens to it. When we consider the whole process right from participatory planning, implementation, evaluation and sharing the results there from, there is a lot of knowledge being generated. What seems to be missing is the understanding of what this knowledge is and therefore how the knowledge management relates to evaluations and managing for impact. In this session both theoretical and practical aspects of knowledge management will be discussed. The need to rethink knowledge management to stimulate learning from the M&E processes and findings will be presented as one of the ways in which the application or use of M&E findings can be improved.

#### About Sylvester Dickson Baguma



Sylvester Dickson Baguma works for the National Agricultural Research Organisation (NARO) in Uganda as a Principal Knowledge Management Officer and is currently doing a PhD in knowledge management at Loughborough University in the UK. Sylvester has a long experience both in academia, where he served for thirteen years, as in development work in which he has worked for more than fifteen years. He has undertaken several assignments in Africa, Europe, Asia and the Caribbean in monitoring and evaluation, strategic planning, priority setting, knowledge management, management information systems and general workshop facilitation. His current interests are in leveraging on tacit knowledge for learning and innovation, improving knowledge retention in organisations, learning together through multi-stakeholder innovation processes, managing evaluation knowledge, exploiting the interface between knowledge creation and evaluation. Sylvester has a passion for developing individual competencies, group capabilities and organisational capacities for managing initiatives and processes for impact.

### Readiness and mentoring

**Ricardo Ramírez and Dal Brodhead: Readiness & Mentoring: two touchstones for capacity development in evaluation**

Through the DECI project, we discovered two dimensions that have changed the way we do evaluations and capacity development. Utilization-focused evaluation (UFE) begins with two 'readiness' steps that work as a management checklist; they are meant to verify whether the context and power balance allow for a learning approach to evaluation. Readiness refers not only to the willingness by project managers and funders to allow users to decide on the purpose of the evaluation (the users may or may not include the funders, which is often a novelty). It also refers to the attitude and approach needed by the evaluators who play a facilitator role, as opposed to an external judging role. We have come to learn that these steps are worth investigating before signing a contract or agreeing to an evaluation consultancy. During DECI-2, we spent over a year confirming the readiness of several partners and this time was built into our agreement with our funder the International Development Research Centre (IDRC).



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The second foundational dimension that we have validated is the value of 'mentoring' as a means of providing capacity development in evaluation. We offer partners 15 person days of UFE mentoring, to be delivered along a schedule that matches the needs of the partner's project. We add two face-to-face visits, and the rest of the mentoring is done remotely. We have come to the conclusion that this approach has merit in that we are sharing steps at the time when the partner is ready for them and can absorb the learning. We have also discovered that the magic of UFE is noticed a few steps into the process when the users realize the power of being in the drivers' seat. While we still do short workshops on UFE, we see their value as sensitization events, as opposed to capacity development moments. We now favour an evaluation process which builds in mentoring along the way in contrast to one shot workshop events.

#### About Dal Brodhead and Ricardo Ramírez



Dal Brodhead is co-Principal Investigator, based in Ottawa, Canada. He is the Director of the New Economy Development Group, a value-based consulting firm that hosts the DECI-2 project. Dal brings a strong background in community development, project management and applied research in Canada and internationally.

Ricardo Ramírez is co-Principal Investigator, based in Guelph, Ontario Canada. He brings experience in the fields of evaluation, communication for development and ICTD in rural and remote settings. He has collaborated with Dal over several years in evaluation assignments and communication strategy development.



## Governance

Karel Chambille: Governance of M&E - how do we manage and balance all the demands?

As a manager of monitoring and evaluation you may face many challenges. Funding agencies, relationships with partners, internal pressures and positions, organisational culture and relationships, the specific context of the organisations we support, they all influence our work and the extent to which we can turn monitoring and evaluation into something useful, with an ultimate vision of increased impact. How do we manage this? What challenges do we face? How have we coped with these challenges over time, and what challenges are still existing? **Karel Chambille** will present this perspective from his position as M&E manager at Hivos, a Dutch non-governmental organisation supporting development initiatives all over the world.

#### About Karel Chambille



**Organisation:** Hivos

**Country:** Netherlands

**Current function:** Evaluation Manager, since 2005

**Other relevant experiences/background:** working with Hivos since 1987, as Programme Officer for Latin America & the Caribbean (87-93); Head Bureau Africa (93-2005)

## Appendix 4 Evolution of steps in utilisation focused evaluation

In box 19 the evolution from 5 to 12 to 17 steps in UFE.

Box 19: Evolution 5 to 12 to 17 steps in UFE		
5 steps	12 steps	17 steps
<p><b>Step 1.</b> Identify primary intended users.</p> <p><b>Step 2.</b> Gain commitment to UFE and focus the evaluation.</p> <p><b>Step 3.</b> Decide on evaluation options.</p> <p><b>Step 4.</b> Analyze and interpret findings and reach conclusions.</p> <p><b>Step 5.</b> Disseminate evaluation findings.</p>	<p><b>Step 1.</b> Project / network readiness assessment.</p> <p><b>Step 2.</b> Evaluator readiness and capability assessment.</p> <p><b>Step 3.</b> Identification of primary intended users.</p> <p><b>Step 4.</b> Situational analysis.</p> <p><b>Step 5.</b> Identification of primary intended uses.</p> <p><b>Step 6.</b> Focusing on evaluation.</p> <p><b>Step 7.</b> Evaluation design.</p> <p><b>Step 8.</b> Simulation of use.</p> <p><b>Step 9.</b> Data collection.</p> <p><b>Step 10.</b> Data analysis.</p> <p><b>Step 11.</b> Facilitate use.</p> <p><b>Step 12.</b> Meta-evaluation.</p>	<p><b>Step 1.</b> Assess and build program and organizational readiness for utilization-focused evaluation.</p> <p><b>Step 2.</b> Assess and enhance evaluator readiness and competence to undertake a utilization- focused evaluation.</p> <p><b>Step 3.</b> Identify, organize, and engage primary intended users.</p> <p><b>Step 4.</b> Conduct situation analysis with primary intended users</p> <p><b>Step 5.</b> Identify primary intended uses by establishing the evaluation's priority purposes.</p> <p><b>Step 6.</b> Consider and build in process uses if appropriate.</p> <p><b>Step 7.</b> Focus priority evaluation questions.</p> <p><b>Step 8.</b> Check that fundamental areas for evaluation inquiry are being adequately addressed.</p> <p><b>Step 9.</b> Determine what intervention model or theory of change is being evaluated.</p> <p><b>Step 10.</b> Negotiate appropriate methods to generate credible findings and support intended use by intended users.</p> <p><b>Step 11.</b> Make sure intended users understand potential controversies about methods and their implications.</p> <p><b>Step 12.</b> Simulate use of findings.</p> <p><b>Step 13.</b> Gather data with ongoing attention to use.</p> <p><b>Step 14.</b> Organize and present the data for use by primary intended users.</p> <p><b>Step 15.</b> Prepare an evaluation report to facilitate use and disseminate significant findings to expand influence.</p> <p><b>Step 16.</b> Follow up with primary intended users to facilitate and enhance use.</p> <p><b>Step 17.</b> Metaevaluation of use: Be accountable, learn, and improve.</p> <p><b>UFE Checklist 2013 Patton</b></p>

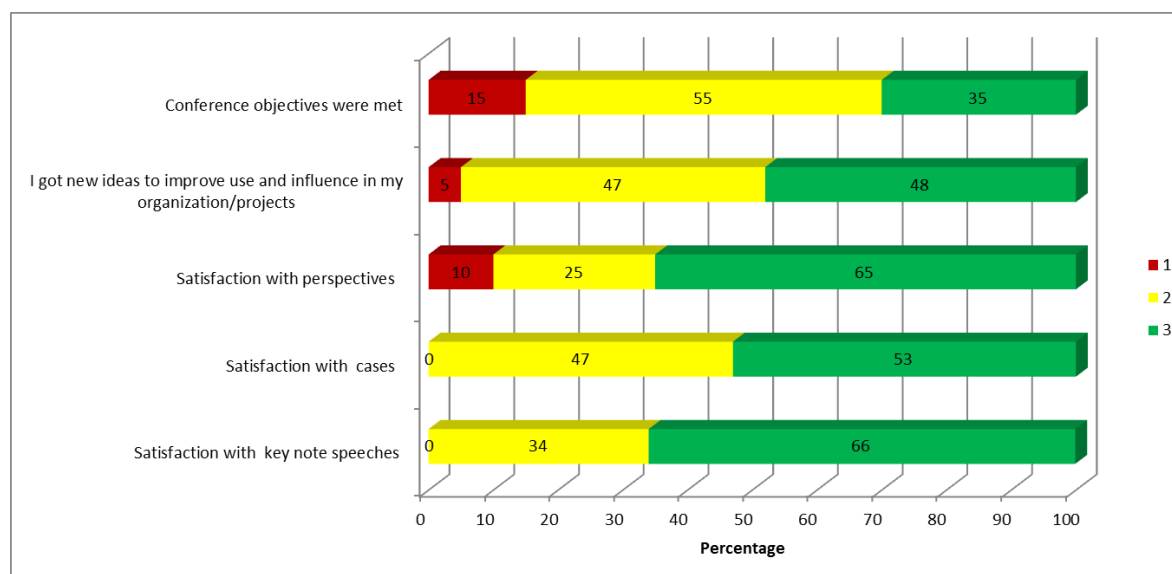
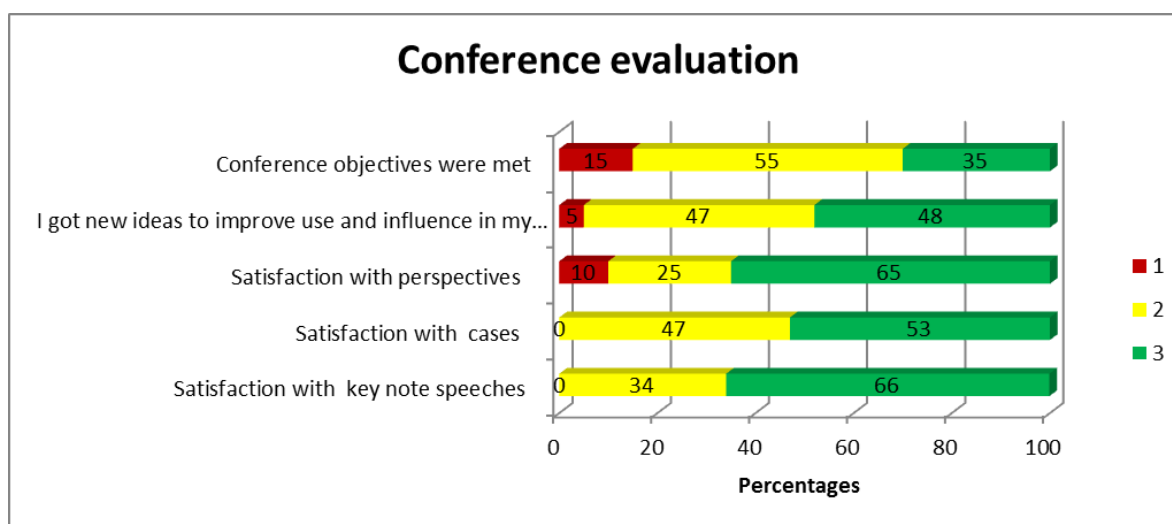
Table 2: Types of use		
Author	Types of use	Elaboration
Sandison (2005)	Instrumental use	Involves direct implementation of findings and recommendations to, for example, i) help decide whether to continue or terminate particular policy initiatives; ii) expand and institutionalise successful programmes and policies and cut back unsuccessful ones; and iii) figure out which programmes to modify and which components of the programme were in need of modification
	Conceptual use	Involves evaluations trickling down into the organisation in the form of new ideas and concepts – creating debate and dialogue, generating increased clarity and new solutions in the longer run (van de Putte, 2001), and providing a catalyst for change
	Process use (learning)	Involves learning on the part of the people and management involved in the evaluation
	Legitimising use	Corroborates a decision of understanding that the organisation already holds providing an independent reference
	Ritual use	Where evaluations serve a purely symbolic purpose, representing a desirable organisational quality such as accountability
	Misuse	Involves the suppressing, subverting, misrepresenting or distortion of findings for political reasons or personal advantage
	Non-use	Is where the evaluation is ignored because users find little or no value in the findings, are not aware, or the context has changed dramatically
Patton (1975)	Rendering judgements	Underpinned by accountability perspective (summative evaluation, accountability, audits, quality control, cost benefit decisions, decide a programme's future, accreditation/licensing)
	Facilitating improvements	Underpinned by the development perspective (formative evaluation, identify strengths and weaknesses, continuous improvement, quality enhancement, being a learning organisation, manage more effectively, adapt a model locally)
	Generating knowledge	Underpinned from the knowledge perspective of academic values (generalisations about effectiveness, extrapolate principles about what works, theory building, synthesise patterns across programmes, scholarly publishing, policymaking)
Marra (2000)	Instrumental	Decision makers have clear goals, seek direct attainment of these goals and have access to relevant information
	Enlightenment	Users base their decisions on a gradual accumulation and synthesis of information
Weiss (1999)	Direct	Occurs when information or findings are applied directly to change an action or alter a decision
	Indirect	Refers to a more intellectual and gradual process in which the decision maker is led to a more adequate appreciation of the problems addressed by the policy programme
	Symbolic	This refers to situations where evaluation results are symbolic in that they are carried out simply to comply with administrative directions or to present an image of modernity

## Appendix 5 Evaluation of the conference

Show us the feel on how these 2 days went.

- Red – not at all
- Yellow – partially
- Green – yes

		Scores (in percent)		
Questions		1	2	3
1	Satisfaction with key note speeches	0	34	66
2	Satisfaction with cases	0	47	53
3	Satisfaction with perspectives	10	25	65
4	I got new ideas to improve use and influence in my organization/projects	5	47	48
5	Conference objectives were met	15	55	35



To explore  
the potential  
of nature to  
improve the  
quality of life



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The Centre for Development Innovation works on processes of innovation and change in the areas of food and nutrition security, adaptive agriculture, sustainable markets, ecosystem governance, and conflict, disaster and reconstruction. It is an interdisciplinary and internationally focused unit of Wageningen UR within the Social Sciences Group. Our work fosters collaboration between citizens, governments, businesses, NGOs, and the scientific community. Our worldwide network of partners and clients links with us to help facilitate innovation, create capacities for change and broker knowledge.

The mission of Wageningen UR (University & Research centre) is 'To explore the potential of nature to improve the quality of life'. Within Wageningen UR, nine specialised research institutes of the DLO Foundation have joined forces with Wageningen University to help answer the most important questions in the domain of healthy food and living environment. With approximately 30 locations, 6,000 members of staff and 9,000 students, Wageningen UR is one of the leading organisations in its domain worldwide. The integral approach to problems and the cooperation between the various disciplines are at the heart of the unique Wageningen Approach.

