PAUL F. LAZARSFELD AWARD
2008 NOMINATION COVER PAGE AND INDEX

This document, which serves as a cover page, and the items indexed in Part B below, comprise the nomination packet.

PART A: CONTACT INFORMATION

A-I. NOMINEE INFORMATION

Name: J. Bradley Cousins
Title: Professor
Affiliation: Faculty of Education, University of Ottawa
Email: bcousins@uottawa.ca
Phone: 613) 562-5800 ext. 4036

A-II. NOMINATOR INFORMATION *(If different from the nominee)*

Name: Michael Quinn Patton
Title: Director
Affiliation: *Utilization-Focused Evaluation*, Saint Paul, Minnesota
Email: MQPatton@Prodigy.net
Phone: (651) 690-3254

PART B: INDEX OF SUBMITTED MATERIALS

All items in the nomination packet should be compiled in the order listed below with this document as the first page.

B-I. NOMINATION JUSTIFICATION STATEMENT, PAGES 2-12

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(*Please list. Maximum of five letters*)

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1. Marvin Alkin, pp. 13-15	Included in this packet [X]
2. Jean King, pp. 15-16	Included in this packet [X]
3. Patricia Weibe, pp. 17-18	Included in this packet [x]
4. Swee Goh,pp. 19-21	Included in this packet [x]
5. Isabelle Bourgeois, pp. 21-23	Included in this packet [x]

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B-I. NOMINATION JUSTIFICATION STATEMENT

May 30, 2008

To: AEA Awards Committee
Fr: Michael Quinn Patton, Marvin Alkin, and Jean King
Re: Nomination Justification: Paul F.Lazarsfeld Award nomination of J. Bradley Cousins

We are very pleased to nominate Brad Cousins for the Lazarsfeld Award. Over a distinguished career, Cousins has made substantial contributions to evaluation theory. His writings, presentations, and professional interactions have generated productive discussions on the assumptions, goals, frameworks, theories, and practices of evaluation.

At the broadest level, Brad's theoretical contributions have concerned the connections between evaluation practice and evaluation theory. In that regard, particularly, he exemplifies the life and work of Paul Lazarsfeld whose guiding commitment was to connect theory and practice. More specifically, his theory contributions have focused on (1) evaluation use and (2) participatory and collaborative forms of evaluation. In both cases, he has contributed organizing frameworks to clarify constructs and promote dialogue. His work is undergirded by critical reflection and a commitment to conceptual clarity.

In his contributions to our understanding of evaluation use, he has examined, both empirically and theoretically, the power of evaluation to bring about desired change in social policies and programs. In his university research plan, he articulated the perspective that has informed his scholarship:

> I believe that although the evaluation function – systematic inquiry to judge the merit, worth and/or significance of some 'evaluand' (e.g., policy, program, innovation, organization) and to support decision making – can be a powerful force for change, this power has yet to be effectively exploited due to a plethora of underlying mitigating factors and conditions that must be addressed. Arising from my research, and salient among my beliefs is that *data use leads to data valuing*. Senior decision makers, managers, developers, funders, sponsors, implementers and other practice-based professionals, paraprofessionals and volunteers cannot truly understand the power of evaluation and its potential to effect desirable, meaningful and sustainable change until they actually experience its successful use. Put simply, belief will follow practice. But therein lies the problem. How can successful 'experiencing' of evaluation as an evidence-based force for desired change be fostered or otherwise nurtured?

His contributions to evaluation theory already provide a framework for informing this inquiry. The figure on the next page displays his overall theoretical framework. This framework was published in his chapter examining the "Operationalization of Process Use in Empirical Research on Evaluation" in the 2007 *New Directions for Evaluation* volume on *Process Use in Theory, Research and Practice*, which he edited.
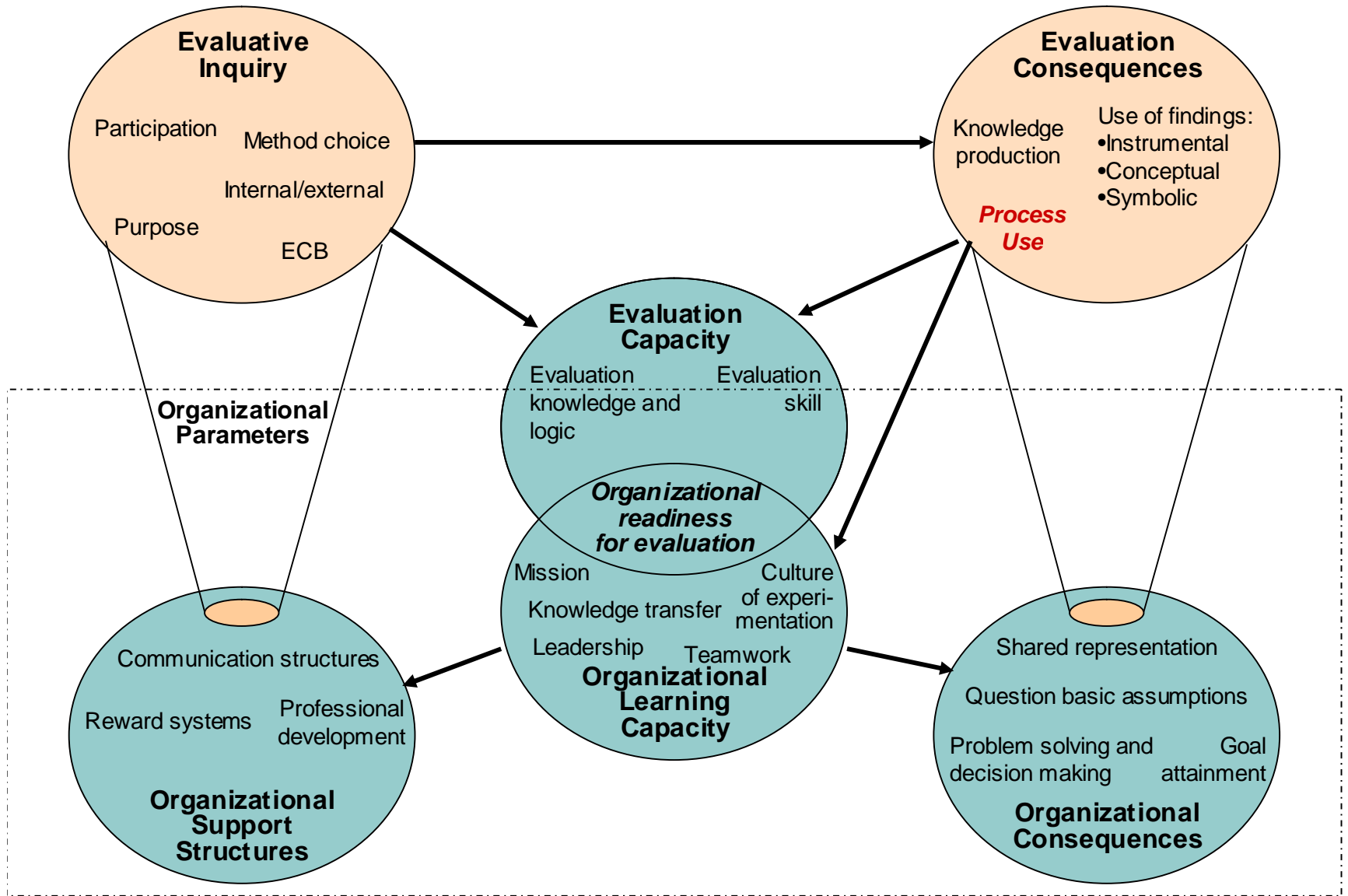
Figure 1. **Conceptual Framework of Evaluative Inquiry as an Organizational Learning System**

His theoretical framework and contributions integrate attention to evaluation inquiry, participatory approaches, evaluation capacity-building, organizational support, learning systems, and evaluation utilization. His scholarship has contributed to our understandings of:

1. the nature of the capacity to *use* evaluation;
2. conceptual and practice variations in participatory and collaborative approaches;
3. the dynamics of how evaluation capacity-building initiatives affect the capacity to *do* evaluative inquiry and to *use* evaluation; and
4. the factors and conditions influencing the integration of evaluation into the organizational culture.

In undertaking his work, he has been unusually interdisciplinary. Nowhere is this better illustrated than in the chapter he did with Lyn Shula in the Sage Handbook of Evaluation (2006) on "A Comparative Analysis of Evaluation Utilization and Its Cognate Fields of Inquiry: Current Issues and Trends." That chapter is a *tour de force* in looking across disciplines to inform evaluation theory on use including attention to epistemological challenges, linking knowledge production and use, methodological challenges, and contextual factors.

In the 1990's his evaluation work on participatory and collaborative approaches made important conceptual breakthroughs that have continued to undergird evaluation theory. In a series of articles he distinguished three separate dimensions of participation and collaboration: (1) who controls the evaluation process (a researcher-practitioner continuum); (2) stakeholder selection for participation (a continuum from all legitimate groups to just primary intended users); and (3) depth of participation (a continuum from consultation to deep participation). He also conceptualized a four-quadrant framework that distinguishes along one dimension, use versus non-use and on the other dimension legitimate use versus misuse (See Figure 12.1, page 282 in the Sage Handbook on Evaluation article.) His conceptual work includes distinguishing among various approaches to participatory evaluation, including (1) practical participatory evaluation, (2) transformative participatory evaluation, and (3) participatory monitoring and evaluation.

As his vita shows, he has been conducting and publishing research on evaluation utilization since the mid-1980's. His initial interest in evaluation use stemmed from his doctoral work, one product of which was the empirical framework distinguishing types of use. Early in his career he was extensively involved in educational field development, working closely with educational practitioners to help them evaluate their own programs, innovations and organizations. Based on that work, he published quite extensively on the nature, causes and consequences of participatory evaluation, which led to a book (Cousins & Earl, 1995). He is currently completing another book, due out next year, which integrates empirical work in this domain over a 15-year period. Work on participatory evaluation fed his current interests in integrating evaluation into the organizational culture and understanding evaluation as a force for program and policy change.

A most impressive aspect of Cousin's work is the extent to which he has been engaged in a systematic and sequential program of research to answer the conceptual questions that he and others have posed. If evaluation use is to reoccur, we must understand what Gary Henry and Mel

Mark (2003) referred to as the "mechanisms which can produce these desired outcomes". Cousins and his colleagues have been conducting such studies.

He has been focusing a great deal of both his empirical and theory work on *Organizational Capacity to Do and Use Evaluation*, which is the title of a new book he is working on. He has just completed editing a special edition of the Canadian Journal of Program Evaluation on *Understanding Organizational Capacity for Evaluation.* The articles focus on the problem of integrating evaluation into organizational culture, routines and processes. Of particular importance have been inquiries to understand organizational capacity for evaluation and developing and validating strategies for capacity building, and the conditions, forces and influences that support the development and/or building of such capacity. Some of the essential issues that are addressed are:

- Conceptual issues such as understanding and distinguishing the capacity to *do* evaluation versus the capacity to *use* evaluation and conceptualizing organizational growth in evaluation capacity;
- Developmental issues such as *direct* approaches to evaluation capacity building involving training and professional development versus *indirect* approaches perhaps implicating process use as a consequence of stakeholder participation in or proximity to evaluation.
- Sustainability issues in the context of ongoing organizational information needs for accountability and learning.

His curriculum vitae, submitted with this nomination, lists the outputs of his research program over the years. Additional evidence of his influence is in the Catalogue of Research Impact included with this nomination justification. (The catalogue was prepared as part of his recent nomination to a Distinguished University Research Chair at the University of Ottawa.) The catalogue shows the extent to which his work has been cited in refereed publications detected by and listed in the Social Sciences Citation Index (SSCI). Notable is a general growth in citations over the past 15 years (Average = 14 per year) and a marked increase in the ratio of citations by others to self-citations. A supplement to the catalogue also captures from the past 6 years a number of citations from a variety of evaluation-related books and peer-reviewed journals not detected by SSCI. The trend shows an impressive increase in citations in recent years. Combined, these figures underscore the considerable impact that Cousins' scholarship has had.

We daresay that no one in the field of evaluation has a more consistent and extensive record of *empirical inquiry* into evaluation use with significant implications for both evaluation practice and theory.

The entry about J. Bradley Cousins in the *Encyclopedia of Evaluation* (2005) opens by noting that "his primary contributions to the field of evaluation have been the empirical study of evaluation and the development of evaluation theory." Former Lazarsfeld Award recipient Marvin Alkin published a map of the contributions of evaluation's most influential theorists (2004). J. Bradley Cousins is included as a major contributor to utilization theory in that book: *Evaluation roots: Tracing Theorists' Views and Influences* When Christina Christie undertook an inquiry into the "Practice-Theory Relationship in Evaluation," she selected J. Bradley Cousins as one of eight theorists to study. Her important findings were published in a special issue of *New Directions for Evaluation* on *The Practice-Theory Relationship in Evaluation*. ("What Guides Evaluation? A Study of How Evaluation Practice Maps onto Evaluation Theory." NDE, No. 97:

7-36). These citations are offered as evidence of Cousins' recognition within the field as one of evaluation's most distinguished theorists.

J. Bradley Cousins has contributed to evaluation research and theory as long-time editor of *The Canadian Journal of Program Evaluation*. He has long been active in AEA and is a regular presenter at sessions organized by the TIGs on Evaluation Theory, Evaluation Use, and Collaborative, Participatory and Empowerment Evaluation.

Cousins looks at theory, research and practice (teaching, doing) as being highly interconnected, integrated and interdependent. In addition to his contributions to theoretical discourse on evaluation, he also teaches and practices evaluation. We thought it would be appropriate to capture these interconnections, so this nomination package includes letters of support from a former graduate student and an evaluation client. Because Brad's style is to work collaboratively and many of his publications are jointly authored, we've also include a letter from one of his colleagues and co-authors at the University of Ottawa. These letters supplement the letters of support from AEA Lazarsfeld and Myrdal Award recipients Marv Alkin and Jean King.

Catalogue of Impact of Research Program

Figure D-1, below, is based on an analysis of the Social Sciences Citation Index (SSCI). Most of the work cited is in relation to Cousins' research program on evaluation but included are several citations of work carried out in other domains of inquiry, principally school improvement and educational administration. Self citations include citations to his own work that he carried out or done by colleagues with whom he collaborated.
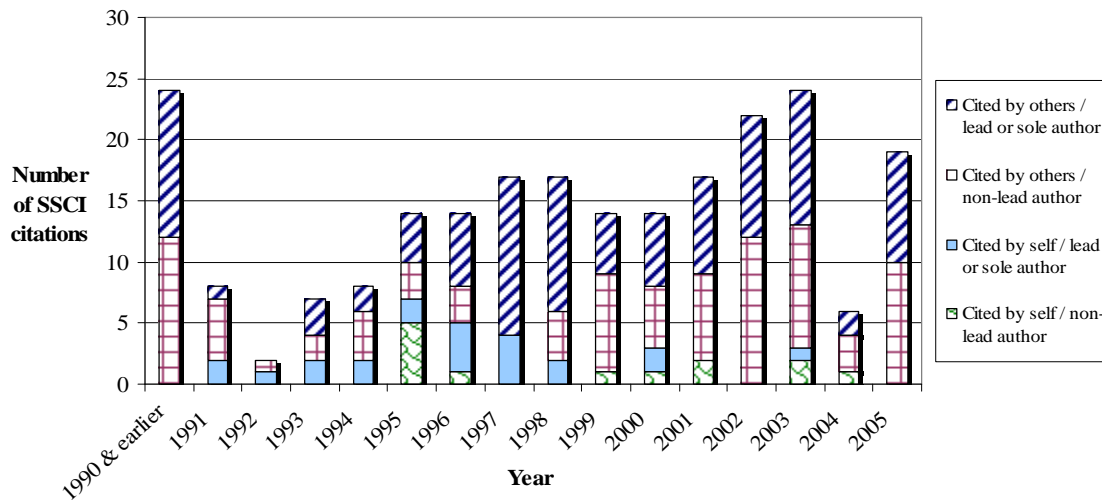

Figure D-1: Journal article citations from Social Sciences Citation Index (SSCI)

The Figure shows an increasing trend in number of SSCI citations per year with an average of over 14 per year. Also notable is a marked increase in citations by others as opposed to self citations in recent years.

Figure D-2 is based on a scan of books and peer-reviewed journals in evaluation that are not referenced in SSCI but have been published in 2000 or since. Self citations include citations to his own work or by colleagues with whom he collaborated. All of this cited work is directly associated with his research program on evaluation. A complete listing of the source books and articles follows.
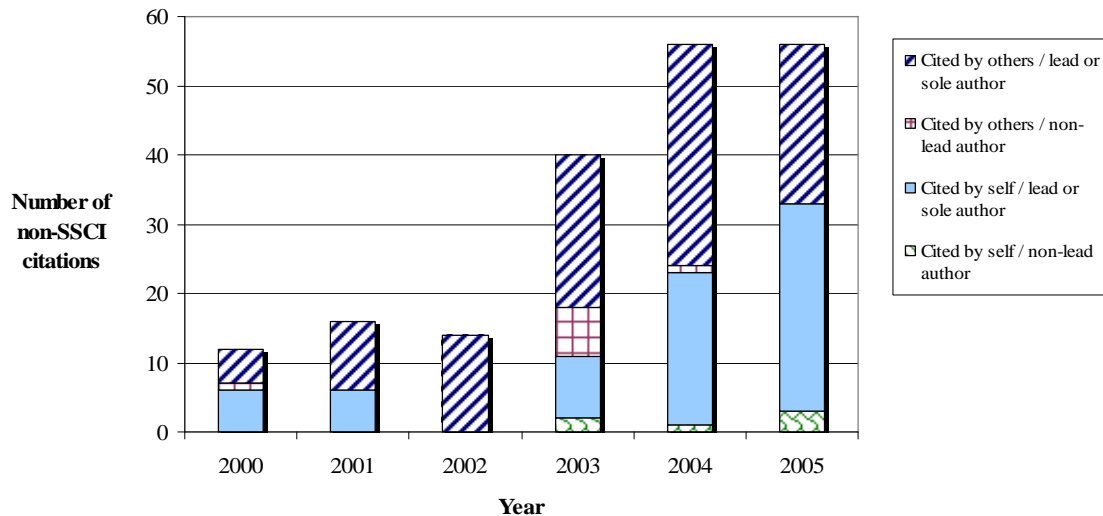

Figure D-2: Citations from 2000 to 2005 in books and peer reviewed journals not indexed by Scocial Sciences Citation Index (SSCI) (see Appendix C for listing of sources)

The Figure shows a substantial increase in citations in recent years, more than half of which are citations by others.

Citations 2000-2005 (and 'in press') in Books and Peer Reviewed Journals Not Covered by Social Sciences Citation Index (SSCI)

This list is the product of a scan of journals in evaluation not indexed by SSCI and recently published books in evaluation. In parentheses after each reference is an indication of the number of works cited and whether Cousins was 'first or sole author' on the cited work or 'coauthor, not listed first'.

Alkin, M. C. (2004). Comparing evaluation points of view. In M. C. Alkin (Ed.), *Evaluation roots: Tracing theorists' views and influences* (pp. 3-11). Thousand Oaks: Sage. **(1 first or sole author)**

Alkin, M. C., & Christie, C. A. (2004). An evaluation theory tree. In M. C. Alkin (Ed.), *Evaluation roots: Tracing theorists' views and influences* (pp. 12-65). Thousand Oaks: Sage. **(3 first or sole author)**

Alkin, M. C. (2003). Evaluation utilization: Introduction. In T. Kellaghan, D. L. Stufflebeam & L. A. Wingate (Eds.), *International handbook of educational evaluation* (pp. 189-196). Boston: Kluwer. **(1 first or sole author)**

Alkin, M. C., & Christie, C. A. (2005). Unraveling theorists evaluation reality. In M. C. Alkin & C. A. Christie (Eds.), *Theorists models in action: New Directions for Evaluation, No 106* (pp. 111-128). San Francisco: Jossey Bass. **(1 first or sole author)**

Alkin, M. C., & Taut, S. (2003). Unbundling evaluation use. *Evaluation, 29*, 1-12. **(2 first or sole author; 1 coauthor, not listed first)**

Boydell, K. M., Jadaa, D.-A., & Trainor, J. (2004). A benefit for everyone: Family-researcher collaboration in the mental health field. *Canadian Journal of Program Evaluation, 19*(3), 71-88. **(1 first or sole author)**

Brandon, P., & Higa, T. (2004). An empirical study of building the evaluation capacity of K-12 site managed project personnel. *Canadian Journal of Program Evaluation, 19*, 125-141. **(2 first or sole author)**

Chacon-Moscoso, S., Anguera-Argilaga, M. T., Perez-Gil, J. A., & Holgado-Tello, F. P. (2002). Mutual catalytic model of formative evaluation. *Evaluation, 8*, 413-432. **(1 first or sole author)**

Christie, C. A., & Azzam, T. (2005). What theorists say they do: A brief description of theorists approaches. In M. C. Alkin & C. A. Christie (Eds.), *Theorists models in action: New Directions for Evaluation, No 106* (pp. 15-26). San Francisco: Jossey Bass. **(1 first or sole author)**

Christie, C. A., & Barela, E. (2005). The Delphi technique as a method for increasing inclusion in the evaluation process. *Canadian Journal of Program Evaluation, 20*(1), 105-122. **(1 first or sole author)**

Christie, C. A., Montrosse, B. E., & Klein, B. M. (2005). Emergent design evaluation: A case study. *Evaluation and Program Planning, 28*, 271-277. **(1 first or sole author)**

Christie, C. A. (2003a). Editor's notes. In C. A. Christie (Ed.), *The practice-theory relationship in evaluation. New Directions in Evaluation. No. 97* (pp. 1-6). San Francisco: Jossey-Bass. **(1 first or sole author)**

Christie, C. A. (2003b). What guides evaluation? A study of how evaluation practice maps onto evaluation theory. In C. A. Christie (Ed.), *The practice-theory relationship in evaluation. New Directions in Evaluation. No. 97* (pp. 7-35). San Francisco: Jossey-Bass. **(3 first or sole author)**

Coghlan, A. T., Preskill, H., & Catsambas, T. T. (2003). An overview of appreciative inquiry in evaluation. In J. J. Barnette & J. R. Sanders (Eds.), *Using appreciative inquiry in evaluation, No. 100* (pp. 5-22). San Francisco: Jossey-Bass. **(3 first or sole author; 1 coauthor, not listed first)**Cousins, J. B. & Walker, C. (2000). Predictors of educators' valuing of systematic inquiry in schools. *Canadian Journal of Program Evaluation, Special Issue,* 25-52. **(6 first or sole author)**Cousins, J. B. (2001). Do evaluator and program practitioner perspectives converge in collaborative evaluation? *Canadian Journal of Program Evaluation, 16*(2), 113-133. **(6 first or sole author)**

Cousins, J. B. (2003). Utilization effects of participatory evaluation. In T. Kellaghan, D. L. Stufflebeam & L. A. Wingate (Eds.), *International handbook of educational evaluation* (pp. 245-265). Boston: Kluwer. **(9 first or sole author; 1 coauthor, not listed first)**

Cousins, J. B. (2004). Crossing the bridge: Toward understanding use through empirical inquiry. In M. C. Alkin (Ed.), *Evaluation roots: Tracing theorists' views and influences* (pp. 319-330). Thousand Oaks: Sage. **(4 first or sole author)**

Cousins, J. B., Aubry, T. D., Smith Fowler, H., & Smith, M. (2004). Using key component profiles for the evaluation of program implementation in intensive mental case management. *Evaluation and Program Planning, 27*, 1-23. **(4 first or sole author)**

Cousins, J. B. (2005). Will the real empowerment evaluation please stand up? A critical friend perspective. In D. M. Fetterman & A. Wandersman (Eds.), *Empowerment evaluation principles in practice*. Thousand Oaks: Sage. **(4 first or sole author)**

Cousins, J. B., Goh, S., Clark, S., & Lee, L. (2004). Integrating evaluative inquiry into the organizational culture: A review and synthesis of the knowledge. *Canadian Journal of Program Evaluation, 19*(2), 99-141. **(6 first or sole author; 1 coauthor, not listed first)**

Cousins, J. B., & Shulha, L. (in press). Complexities in setting program standards in collaborative evaluation. In S. N. L & P. Brandon (Eds.), *Fundamental issues in evaluation*. New York: Guildford. **(4 first or sole author)**

Cousins, J. B., & Shulha, L. (in press). A comparative analysis of evaluation utilization and its cognate fields of inquiry: Current issue and trends. In I. Shaw, M. M. Mark & J. Greene (Eds.), *Handbook of evaluation: Program, policy and practice*. London: Sage. **(10 first or sole author; 1 coauthor, not listed first)**

Cousins, J. B., Goh, S., & Clark, S. (in press). Data use leads to data valuing: Evaluative inquiry for school decision making. *Leadership and Policy in Schools*. **(5 first or sole author; 1 coauthor, not listed first)**

Demarteau, M. (2002). A theoretical framework and grid for analysis of programme evaluation practices. *Evaluation, 8*, 454-473. **(1 first or sole author)**

Ellison, C. M. (2004). Talent development professional development evaluation model: A paradigm shift. In V. G. Thomas & F. I. Stevens (Eds.), *Co-constructing a contextually responsive evaluation framework: The talent development model of school reform No. 101* (pp. 63-78). San Francisco: Jossey-Bass.**(1 first or sole author)**

Fetterman, D. M. (2001). *Foundations of empowerment evaluation*. Thousand Oaks, CA: Sage. **(4 first or sole author)**

Fetterman, D. M. (in press). A window into the heart and soul of empowerment evaluation: Looking through the lens of empowerment evaluation principles. In D. M. Fetterman & A. Wandersman (Eds.), *Empowerment evaluation principles in practice*. Thousand Oaks: Sage. **(4 first or sole author)**

Franke, T. M., Christie, C. A., & Parra, M. T. (2003). Transforming a utilization focused evaluation (UFE) gone awry: A case of intended use by unintended users. *Studies Educational Evaluation, 29*, 13-21. **(1 first or sole author; 1 coauthor, not listed first)**

Gardner, F. (2002). User-friendly evaluation in community-based projects. *Canadian Journal of Program Evaluation, 18*(2), 71-89. **(3 first or sole author)**

Gehrs, M., Smith Fowler, H., Rourke, S. B., Wasylenki, D., Smith, M., & Cousins, J. B. (2004). Inside the black box: Challenges in implementation evaluation of community mental health case management programs. *Canadian Journal of Program Evaluation, 19*(3), 109-133. **(1 first or sole author)**

Geva-May, I., & Thorngate, W. (2003). Reducing anxiety and resistance in policy and programme evaluation. *Evaluation, 2003*, 205-227. **(1 first or sole author)**

Greene, J. (2000). Challenges in practicing deliberative democratic evaluation. In K. E. Ryan & L. DeStefano (Eds.), *Evaluation as a democratic process: Promoting inclusion, dialogue, and deliberation No. 85* (pp. 27-38). San Francisco: Jossey-Bass. **(2 first or sole author)**

Grudens-Schuck, N. (2003). The rigidity and comfort of habits: A cultural and philosophical analysis of the ups and down of mainstreaming evaluation. In J. J. Barnette & J. R. Sanders (Eds.), *The mainstreaming of evaluation, No. 99* (pp. 23-32). San Francisco: Jossey-Bass. **(1 first or sole author)**

Goh, S., Cousins, J. B., & Elliot, C. (in press). Organizational learning capacity, evaluative inquiry, and readiness for change in schools: Views and perceptions of educators. *Journal of Educational Change*. **(7 first or sole author; 1 coauthor, not listed first)**

Henry, G. T., & Mark, M. M. (2003). Toward an agenda for research on evaluation. In C. A. Christie (Ed.), *The practice-theory relationship in evaluation: New Directions in Evaluation, No. 97* (pp. 69-80). San Francisco: Jossey Bass. **(1 coauthor, not listed first)**

Hofstetter, C. H., & Alkin, M. C. (2003). Evaluation use revisited. In T. Kellaghan, D. L. Stufflebeam & L. A. Wingate (Eds.), *International handbook of educational evaluation* (pp. 197-222). Boston: Kluwer. **(2 first or sole author; 1 coauthor, not listed first)**

House, E. (2004). The role of the evaluator in a political world. *Canadian Journal of Program Evaluation, 19*(2), 1-16. **(1 first or sole author)**

Katz, S., Sutherland, S., & Earl, L. (2002). Developing an evaluation habit of mind. *Canadian Journal of Program Evaluation, 17*(2), 103-119. **(1 first or sole author)**

King, J. (2005). Participatory evaluation. In S. Mathison (Ed.), *Encyclopedia of evaluation* (pp. 291-294). Thousand Oaks: Sage. **(2 first or sole author; 1 coauthor, not listed first)**

King, J., & Stevahn, L. (2002). Three frameworks for considering evaluator role. In K. E. Ryan & T. A. Schwandt (Eds.), *Exploring evaluator role and identity* (pp. 1-16). Greenwich, CT: Information Age. **(1 first or sole author)**

LaPoint, V. (2004). Evaluating the co-construction of the family, school, and community partnership program in a low-income urban high school. In V. G. Thomas & F. I. Stevens (Eds.), *Co-constructing a contextually responsive evaluation framework: The talent development model of school reform No. 101* (pp. 25-36). San Francisco: Jossey-Bass. **(1 first or sole author)**

Lau, G., Netherland, N. H., & Haywood, M. L. (2003). Collaborating on evaluation for youth development. In K. Sabo (Ed.), *Youth participatory evaluation: New Directions for Evaluation, No. 98* (pp. 47-59). San Francisco: Jossey-Bass. **(1 first or sole author; 1 coauthor, not listed first)**

Levin-Rozalis, M., & Rosenstein, B. (2004). The changing role of the evaluator in the process of organizational learning. *Canadian Journal of Program Evaluation, 20*(1), 1-36. **(3 first or sole author)**

Lord, J., & Rush, B. (2002). A peer support approach to evaluation: Assessing supported employment programs for people with developmental disabilities. *Canadian Journal of Program Evaluation, 17*(1), 25-41. **(1 first or sole author)**

Manswell Butty, J.-A. L., Reid, M. D., & LaPoint, V. (2004). A culturally responsive evaluation approach applied to the talent development school-to-career intervention program. In V. G. Thomas & F. I. Stevens (Eds.), *Co-constructing a contextually responsive evaluation framework: The talent development model of school reform No. 101* (pp. 37-48). San Francisco: Jossey-Bass. **(1 first or sole author)**

Mark, M. M. (2002). Toward better understanding of alternative evaluator roles. In K. E. Ryan & T. A. Schwandt (Eds.), *Exploring evaluator role and identity* (pp. 1-16). Greenwich, CT: Information Age. **(1 first or sole author)**

Mark, M. M. (2003). Toward an integrative view of the theory and practice of program and policy evaluation. In S. I. Donaldson & M. Scriven (Eds.), *Evaluating social programs and problems* (pp. 183-204). Mahwah, NJ: Lawerence Earlbaum. **(1 first or sole author)**

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Mark, M. M., Henry, G. T., & Julnes, G. (2000). *Evaluation: An integrated framework for understanding, guiding and improving policies and programs*. San Francisco: Jossey Bass. **(1 first or sole author)**

Markiewicz, A. (2005). A balancing act': Resolving multiple stakeholder interests in program evaluation. *Australasian Evaluation Journal, 4*(1-2), 13-21.

Morris, D. B. (2002). The inclusion of stakeholders in evaluation: Benefits and drawbacks. *Canadian Journal of Program Evaluation, 17*(2), 49-58. **(1 first or sole author)**

Morris, M. (2003). Evaluation utilization: Introductoin. In T. Kellaghan, D. L. Stufflebeam & L. A. Wingate (Eds.), *International handbook of educational evaluation* (pp. 303-328). Boston: Kluwer. **(1 first or sole author; 1 coauthor, not listed first)**

Mathison, S. (2005). *Encyclopedia of evaluation*. Thousand Oaks: Sage. **(3 first or sole author)**

Nelson, G., Ochocka, J., Janzen, R., Trainor, J., & Lauzon, S. (2004). A comprehensie evaluation framework for mental health consumer/survivor organizations: Values, conceptualization, design and action. *Canadian Journal of Program Evaluation, 19*(3), 29-54. **(1 first or sole author)**

Nevo, D. (2002). Dialougue evluation: combining internal and external evaluation. In D. Nevo (Ed.), *School-based evaluation: An international perspective, Vol 8* (pp. 3-16). Amsterdam: Elsevier. **(2 first or sole author)**

O'Sullivan, R. G. (2004). *Practicing evaluation: A collaborative approach*. Thousand Oaks, CA: Sage. **(4 first or sole author)**

Ottier, A. (2005). Participatory evaluation in the context of CBPD: Theory and practice in international development. *Canadian Journal of Program Evaluation, 20*(1), 123-148. **(1 first or sole author)**

Patton, M. Q. (2002). A vision of evaluation that strengthens democracy. *Evaluation, 8*, 125-139. **(1 first or sole author)**

Patton, M. Q. (2003). Utilization focused evaluation. In T. Kellaghan, D. L. Stufflebeam & L. A. Wingate (Eds.), *International handbook of educational evaluation* (pp. 223-244). Boston: Kluwer. **(2 first or sole author)**

Patton, M. Q. (2001). Use as a criterion of quality in evaluation. In A. P. Benson, D. M. Hinn & C. Lloyd (Eds.), *Visions of quality: How evaluators understand and represent program quality* (pp. 155-180). New York: JAI Elseiver. **(1 first or sole author)**

Preskill, H., & Russ-Eft, D. (2005). Building evaluation capacity. In. Thousand Oaks: Sage. **(1 first or sole author)**

Ridde, V. (2003). L'expérience d'une démarche pluraliste dans un pays en guerre: L'Afghanistan. *Canadian Journal of Program Evaluation, 18*(1), 25-48. **(1 first or sole author)**

Robinson, T. T., & Cousins, J. B. (2004). Internal participatory evaluation as an organizational learning system: A longitudinal case study. *Studies Educational Evaluation*.30, 1-22 **(7 first or sole author; 1 coauthor, not listed first)**

Rodriguez-Campos, L. (2005). *Collaborative evaluation: A step-by-step model for the evaluator*. Taramac FL: Llumina. **(2 first or sole author)**

Sehl, M. (2004). Stakeholder involvement in governement funded outcome evaluation: Lessons from the front line. *Canadian Journal of Program Evaluation, 19*(2), 37-56. **(2 first or sole author)**

Stake, R. E. (2004). *Standards based and responsive evaluation*. Thousand Oaks: Sage. **(1 first or sole author)**

Smith Fowler, H., Aubry, T. D., & M, S. (2004). Conduction evaluation research with hard-to-follow populations: Adopting a particpant-centred approach to maximize participant retention. *Canadian Journal of Program Evaluation, 19*(3), 71-88. **(1 first or sole author)**

Sabo, K. (2003). Editor's notes. In K. Sabo (Ed.), *Youth participatory evaluation: New Directions for Evaluation, No. 98* (pp. 1-11). San Francisco: Jossey-Bass. **(2 first or sole author; 1 coauthor, not listed first)**

Sutherland, S., & Katz, S. (2005). Concept mapping methodology: A catalyst for organizational learning. *Evaluation and Program Planning, 28*, 257-269. **(1 first or sole author)**

Taut, S., & Brauns, D. (2003). Resistance to evaluation: A psychological perspective. *Evaluation, 9*, 247-264. **(1 first or sole author)**

Thomas, V. G. (2004). Building a contextually responsive evaluation framework: Lessons from working with urban school interventions. In V. G. Thomas & F. I. Stevens (Eds.), *Co-constructing a contextually responsive evaluation framework: The talent development model of school reform No. 101* (pp. 3-23). San Francisco: Jossey-Bass. **(2 first or sole author)**

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END of JUSTIFICATION STATEMENT

B-II. Letters of Support: Overview of who letters are from.

Marv Alkin, former Lazarsfeld recipient
Jean King, former Myrdal recipient

Dr. Patricia Weibe, evaluation client, who has invited Brad to do workshops on participatory evaluation and to do contract work in developing evaluation frameworks for First Nations and Inuit Health Branch, Health Canada.

Dr. Swee Goh, University of Ottawa colleague and co-author, who will comment on the nature of the team of academics, consultants and graduate students they have created, all working on developing understanding of organizational capacity to do and use evaluation. Dr. Swee Goh has published some empirical pieces with Brad and will comment on the collaboration with him.

Isabelle Bourgeois is one of Brad's students. She has been working in the federal government sector in evaluation and her research on evaluation capacity building is fairly closely tied to his ongoing funded research. She is a member of his research team, has taken a couple of courses with him over the years, and has just completed her thesis. She is also a book review editor for CJPE.

UNIVERSITY OF CALIFORNIA, LOS ANGELES   UCLA

BERKELEY · DAVIS · IRVINE · LOS ANGELES · RIVERSIDE · SAN DIEGO · SAN FRANCISCO   SANTA BARBARA · SANTA CRUZ

Graduate School of Education & Information Studies
P.O. Box 951521
Los Angeles, CA 90095-1521

May 30, 2008

To: AEA Awards Committee
From: Marvin Alkin, Professor and former Lazarsfeld Award winner
Re: Letter of support for the Lazarsfeld nomination of J. Bradley Cousins

I am pleased to write in support of the nomination of Bradley Cousins for the Paul Lazarsfeld Award. The Lazarsfeld Award is to be annually presented to an individual whose research work has contributed to the development of evaluation theory—to furthering the research-based understandings about evaluation. Clearly, Brad Cousins is one of the very small number that fits within that category.

Within the field of evaluation, there are many ways that those of us who consider ourselves professionals contribute to the field. Many of our colleagues engage in conducting exemplary evaluations (both large and small-scale) and the field benefits from the findings of their evaluations, their use, and the process use that occurs. We also learn something about evaluation as an activity by examining what was done in each study.

There are other endeavors that we engage in as professionals. Some of our colleagues have contributed very substantially to the basic research methodology that forms the essential foundation for much of the work in evaluation. Others in our number have written about particular issues in evaluation. Many prominent evaluators have proposed "models" or "theories" depicting how they believe ought to be conducted. These prescriptive models have been well recognized and have helped to guide the conduct of evaluation in practice.

But, none of these activities is "evaluation theory" (or evaluation theory building) –namely a set of statements and generalizations which describes, predicts, or explains evaluation activities. Evaluation theory comes about through the systematic conduct of formal research about evaluation. And, that is precisely what Brad Cousins has been engaged in.

There are very few areas of evaluation that have been subjected to intensive research study. One of the earliest and the most intensive focus for such research was in evaluation utilization. Henry and Mark (2005) refer to the period encompassing this work which started in the mid 1970s as "a Golden Age of research on evaluation." Cousins' research agenda began with a careful analysis of this research to describe what was known and to uncover gaps in understanding (Cousins and Leithwood, 1986). From these beginnings he has carefully and systematically researched issues related to evaluation utilization (and subsequently participatory evaluation and organizational learning.)

Cousins has paid heed to the advice from Shadish, Cook, and Leviton (1991) that there is a need for cumulative evidence about evaluation. Moreover, Cousins has been influenced by the important work of Mark and Henry (2004) that it is not enough to simply understand factors and outcomes in the study of evaluation but that a careful explication of mechanisms is essential. And that is the nature of the work that Brad Cousins has been doing. He has continued to systematically identify particular related questions that can be framed as empirical studies and he and his colleagues have been conducting these studies. See for example: Cousins, Goh, Aubry, Lahey, Montague, and Elliot (2006), Amo and Cousins (2007), Cousins, Goh, and Clark (2005), Cousins, Goh, Clark, and Lee (2004). Brad Cousins has been a major contributor to the development of evaluation "theory".

It is my great pleasure to support the nomination of J. Bradley Cousins for the Lazarsfeld Award. He is truly deserving of that honor.

Marvin Alkin

References in this letter

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Jean A. King, Ph.D.
21 Benhill Road
St. Paul, MN 55105
651-227-9045

May 30, 2008

To: AEA Awards Committee
From: Jean A. King, Professor and long-time AEA member
Re: Letter of support for the Lazarsfeld nomination of J. Bradley Cousins

I am pleased to write in enthusiastic support of Brad Cousins' nomination for AEA's Paul F. Lazarsfeld Award. Indeed, given the relevance of Brad's credentials to the Award's criteria, it is surprising that he has not yet received it. The description of the Lazarsfeld Award states that it should be "presented to an individual whose written work on evaluation theory has led to fruitful debates on the assumptions, goals, and practices of evaluation." As the Nomination Justification clearly outlines, this is surely the case of Brad's scholarship over the twenty years since he completed his Ph.D.

The first time I met Brad, he was developing an edited book that would compile empirical studies of evaluation utilization, and I was asked to participate. Brad's commitment to conducting formal research, unusual in a field where theorists commonly develop ideas from experience and write about their practice, has been ongoing. [I should note that it was Brad who labeled writing built on evaluation practice "reflective case narratives," a term that distinguishes formal case studies from people's more informal descriptions of practice, a helpful distinction in my experience.] His systematic research agenda, which has focused on evaluation utilization, participatory evaluation, and now organizational learning and evaluation capacity building, is an

important and distinguishing feature of his scholarship. He has systematically framed research questions, then answered them with empirical studies, often collaborating with colleagues and supported by external funding.

What also characterizes his research is his ability to review and summarize existing literature, then build conceptual frameworks that help others make sense of our practice. I always look forward to reading Brad's newest article because I know it will help clarify my own thinking. Two examples that have directly affected my understanding of evaluation goals and practice are the three-dimensional framework for participatory evaluation he developed with Bessa Whitmore (Cousins & Whitmore, 1998), which was recently reprinted as a classic article in *New Directions for Evaluation*, and the newer conceptual framework of evaluative inquiry as an organizational learning system, which helpfully places evaluation capacity building in the broader context of organizations. As a teacher of program evaluation, I routinely use both of these frameworks as I present content to the next generation of evaluators.

I would be remiss not to mention Brad's interest in working with his own students and readily responding to requests from others. He is an accessible scholar, willing to take the time to meet with students and answer their questions. His role as Editor of the *Canadian Journal of Program Evaluation* also shows this side of his scholarship. I know from personal experience how he supports authors as they prepare manuscripts for publication.

In short, Brad Cousins has clearly made "sustained contributions to the influence of theory of evaluation," and these contributions "have been substantial in nature," as the Award criteria require. I am pleased to be one of the people writing in support of his nomination and would encourage the Committee to give him this important award. In so doing, AEA will do itself proud.

End of Jean King Letter

Patricia Wiebe, MD, MA, MPH, FRCPC
Medical Specialist in Mental Health
Community Programs Directorate
First Nations and Inuit Health Branch
Health Canada
200 Eglantine, Jeanne Mance Building
Tunney's Pasture, Postal Locator 1920B
Ottawa, ON K1A 0K9
Canada

14 May 2008

Dear AEA Awards Committee,

I am very pleased to write a letter in support of the nomination of Dr. Brad Cousins for the Lazarsfeld Theory Award.

In terms of background, I have known Dr. Cousins for two years, in his capacity of providing evaluation services. Specifically, our organization engaged him in order to develop an evaluation framework for Health Canada's National Aboriginal Youth Suicide Prevention Strategy (NAYSPS).

Steps in Dr. Cousins' involvement included, first, educating our national and regional colleagues of First Nations and Inuit Health Branch, Health Canada, as to the nature of participatory evaluation, and how it is conducted. The next step involved a participatory process to develop an over-arching framework for the multiple components of the NAYSPS.

The context includes that NAYSPS is a high-profile, national strategy, which constitutes the first national suicide prevention strategy in Canada. There was a need for the evaluation framework to be rigourous in order to justify to central government agencies this mental health funding. While it was necessary to develop an approach that responded to bureaucratic needs for accountability, at the same time, the Strategy also needed to be aligned with Aboriginal community perspectives, priorities, and processes, in a respectful way.

There are inherent difficulties in bridging a rigourous, scientific evaluation plan with a community-driven process that involves evaluating community-based projects. Dr. Cousins took the time required, including teaching our national and regional contacts about the process, and providing capacity building such that those engaged felt they had more knowledge than previously, and that they could provide more fulsome input.

The process that Dr. Cousins undertook was consistent with the NAYSPS; in other words, the process of his approach itself was a crucial component of the product, or outcome, of engaging communities and ultimately preventing suicide. It is rare that the development of an evaluation framework itself engages people in suicide prevention. Dr. Cousins' participatory approach did just that by respecting community experts, supporting self-determination, and promoting life and wellbeing. The process and product of the evaluation framework that ultimately resulted from

Dr. Cousins' efforts constitutes a foundational piece of work, which informs and shapes current and future projects.

In providing evaluation services, Dr. Cousins also brought value added at a personal level, in terms of his approach to his work. Our national and regional colleagues found him very easy to work with, including that he easily adapted his style to fit whomever he was addressing. The significance of this ability to develop trust and rapport includes the potential for sensitivities to develop about the motives of those perceived to be academic researchers. Dr. Cousins was able to be humble and sensitive in his approach, such that he and his approach were well-received.

In addition, our experience was that Dr. Cousins extends himself far beyond the activity line items in a contract. For example, in response to questions that were posed to Dr. Cousins about cultural appropriateness, rather than acting defensively, he offered to research culturally appropriate approaches to evaluation. The results of this research were published in a peer-reviewed journal, becoming a substantial and lasting contribution to the field more broadly, not just to our project. The response to this research paper from our regional contacts was very positive, and we continue to have requests for this valuable by-product of the NAYSPS work.

In summary, on the basis of these unique and significant contributions, I most highly recommend Dr. Brad Cousins for the Paul F. Lazarsfeld Award.

Sincerely,

Patricia Wiebe, MD, MA, MPH, FRCPC, Medical Specialist in Mental Health, Community Programs Directorate, First Nations and Inuit Health Branch, Health Canada

Paul L. Lazarsfeld Award
American Evaluation Association

Letter of Support for the Nomination of Dr. J. Bradley Cousins

I am pleased to have the opportunity to write this letter of support for Brad Cousins for the Paul L. Lazarsfeld Award, the criteria being that the individual has made "sustained and substantial contributions to the influence of the theory of evaluation".

Over the past eight years I have worked closely with Brad as a co-investigator on two three-year research grants awarded by the Social Sciences and Humanities Research Council of Canada (SSHRC), the premier peer-reviewed research funding source in Canada. I have also sat on a number of graduate thesis committees for students in the Faculty of Education who were or are being supervised by Brad. My comments and observations are based on these experiences and interactions with him.

When I began working with Brad my research interests were focused on organizational learning. Brad had made prior connections between evaluation and organizational learning in his extensive work on participatory evaluation with Lorna Earl in the early to mid-1990s. Through initial connections made by a graduate student working with Brad we started to realize that our respective intellectual interests might be marshaled together in order to contribute more extensively to the evaluation and management literatures. This realization led to the development of our first research grant application.

Brad was instrumental in developing the conceptual model that was used for our research. The model specified the potential antecedents that could influence evaluative inquiry and also the consequences for the organization such as organizational learning capacity. The framework integrated conceptual elements from evaluation utilization, evaluation capacity building and organizational learning streams of inquiry. Following an exhaustive literature review published in 2004, we observed that a theoretical framework linking these concepts had never been made explicit or empirically tested. Brad brought together as principal investigator a strong group of academics, practitioners and graduate students to the research team. This enabled us to further develop and test the model empirically in a large sample of schools in Manitoba.

This research led to new insights about what drives evaluation in organizations. What are the mediating factors and the consequences especially in terms of its impact on organizational learning capacity? Many of these insights are reflected in a paper on the central theme arising

from our findings, namely "data use leads to data valuing". But the research also increased our understanding of aspects of school culture that lead to evaluative inquiry and organizational learning and also clues as to the problem of integrating evaluation into the culture of schools. In disseminating our research results in both academic and practice-based forums we found that our findings resonated well with intended audiences and increased the interest of other researchers in the field. For example, Brad was able to extend our empirical work to the school system in Hawaii through a collaborative initiative with Professor Paul Brandon, thereby providing comparative data to test our conceptual model. The research also has implications for the organizational change literature, especially the concept of "organizational readiness for evaluation" as an integral variable in our framework.

In my view this research has encouraged others to look at antecedents, mediators and consequences of evaluation and especially organizational learning capacity. We have made our research findings known not just in evaluation but in the educational administration and leadership community as well. Further, our research has generated significant interest among graduate students supervised by Brad or myself, with several theses ultimately being published in a variety of outlets.

As an outcome of this initial research program Brad was again instrumental in pushing and extending the conceptual framework as the basis for a second SSHRC grant application. Building on the prior work, the specific focus shifted to the concept of organizational capacity to do and use evaluation, including evaluation capacity building (ECB). The research program is intended to further develop our understanding of antecedents and consequences of evaluation in organizations. The focus is on public sector and not-for-profit organizations. The conceptual differentiation of capacity to *do* and capacity to *use* evaluation was integrated into the model as integral complex phenomena and factors or forces mediating organizational learning capacity. In addition, the research focuses more deeply on direct and indirect ECB interventions through multiple case inquiries, which we are now completing.

Of interest in our current research program are questions such as 'How is capacity to do and capacity to use evaluation viewed in different types of organizations?' "How might they be developed?' and 'How are they linked to evaluative inquiry and organizational learning capacity?' This research clearly extends our initial understandings about integrating evaluation into the culture of organizations by examining the development of the capacity required to mount sustained evaluative inquiry and to put evaluation (findings and processes) to good use. It also brings in a broader contextual perspective of ECB from a variety of different organizational environments such as government and not-for-profit volunteer organizations.

In our current research program Brad has once again been able to assemble a strong research team with members from academic and practice contexts and expertise in government and the not-for-profit sector. The research has led to interesting new streams of research by two of his graduate students on the capacity to use evaluation in government (specifically focused on process use) and also the development of a scale to better understand and measure the capacity to do and use evaluation in government organizations. The research has also created international interest among other researchers as witnessed by a recent session on conceptual and empirical

advances in evaluation capacity building that Brad organized at the 2007 AEA meeting in Baltimore.

Brad is currently in the process of bringing together a diverse group of international researchers to contribute to a special edition of the *Canadian Journal of Program Evaluation* on empirical and conceptual advances in evaluation capacity building. This special edition, in my view, would contribute enormously to the further development, debate and the advancement of research on evaluation in this area.

In addition to his well-known and significant earlier contributions to understanding participatory evaluation and its ties with evaluation use, Brad continues to make very substantial and important contributions to the development and advancement of evaluation theory in the domain of organizational capacity for evaluation as I have described above.

In my view Brad Cousins clearly meets the criteria for the Lazarsfeld award in having shown both outstanding intellectual leadership in the field and having stimulated others (scholars, practitioners, students) into developing new insights into evaluation theory. I strongly support his nomination for the award.

Sincerely,

Swee C. Goh, Ph.D.
Professor of Organizational Behaviour
Telfer School of Management
University of Ottawa

Isabelle Bourgeois
Senior Evaluation Officer
National Research Council of Canada

May 14th, 2008

To: American Evaluation Association
    Awards Committee

Dear Committee Members,

It is with great pleasure that I am submitting this letter of support for the nomination of J. Bradley Cousins for the prestigious American Evaluation Association Lazarsfeld Award. As one of his doctoral students, I have benefited from Brad's guidance over the years and truly feel that he is deserving of such an honor.

From his early work on stakeholder involvement to his more recent contributions on evaluation capacity building, Brad has always shown a keen interest in the process of evaluation and how it

affects those who have a stake in its outcome. His thoughts on participatory evaluation as well as on the use and misuse of evaluation have greatly influenced both evaluation theory and practice and his ongoing work continues to show his concern for the people who are part of the evaluation enterprise.

I announced Brad's nomination for the Lazarsfeld Award to his current and former students and asked them to share with me their experiences as a starting point in crafting this letter of support. I was not surprised to receive a number of enthusiastic responses; I was pleased to see that my experience as one of Brad's doctoral students echoes that of other students who have had the same privilege. The next few paragraphs draw on those experiences in an attempt to better describe the influence that Brad has had in the development of many academic careers through all of the hats that he wears; indeed, Brad has greatly influenced the field of evaluation through his written contributions, but also through his teachings, his collaborations, and through the Canadian Journal of Program Evaluation.

As a teacher of evaluation, Brad has an engaging teaching style characterized by an interesting mix of theory and practice. The chosen readings allow students to become more familiar with the theories that underpin evaluation and the theorists that have developed them, while the assignments often have a more practical objective. This allows individuals new to the field of evaluation to learn about its methods and practices and try their hand at evaluative inquiry in a safe environment, complete with constructive criticism and helpful guidance. Always the scholar, Brad encourages students to develop assignments that can be later refined into published articles or book reviews, or that can be turned into conference presentations. In fact, Brad has revisited some of his earlier work on participatory evaluation in light of student contributions; this has resulted in a co-authored paper, written to update the earlier model.

As Principal Investigator on funded research focusing on Organizational Evaluation Capacity Building, Brad has managed to bring together a team of researchers, evaluation professionals and students contributing on a volunteer basis to a number of large projects. Student contributors feel as though they are valued members of the team, and have been provided with numerous opportunities to take leadership roles within the project and, by the same token, to enhance their research, writing, and project management skills. As the leader of this group, Brad continues to seek out opportunities to establish linkages between funded research activities and student thesis interests.

One of the key strengths of Brad's written contributions is his ability to summarize a large body of literature using an empirical methodology. For instance, his earlier work on evaluation utilization (Cousins and Leithwood, 1985; Shulha and Cousins, 1997) provides a comprehensive look at research, theory and practice in this area. A more recent example of such a contribution is a seminal paper reviewing the literature on evaluation capacity building (ECB) and the development of a conceptual framework of ECB based on evaluation use (Cousins, Goh, Clark and Lee, 2004). Some of his ongoing projects will make significant empirical contributions to the theory behind ECB. The research group headed by Brad is currently focusing on the development of an authored volume summarizing eight case studies on Evaluation Capacity Building, and Brad is also working on a special issue of the Canadian Journal of Program

Evaluation devoted entirely to empirical studies of ECB, to fill an important gap in the literature currently available in this area.

Brad's views on evaluation capacity have greatly influenced the direction of my work, both as a researcher and as an evaluation practitioner. His participatory approach, both to evaluation and to his role as thesis advisor, provides his students with useful intellectual and administrative guidance and helps us navigate through the muddy waters of graduate education. Most of Brad's former and current students feel that his availability and generosity with his time make him a truly remarkable mentor. Most importantly, however, his students (myself included) feel that their conversations with him were amongst the most enriching experiences of their graduate studies. He is always willing to explore new areas based on the interests of his students and does not try to "hamstring them with his own perspective or force them to do something completely in line with his work" (comment made by a former student).

For those of us who have already graduated and moved on to bigger and better things, Brad has remained a good sounding board. Former students often return "to the nest" to have chats with Brad regarding his work. In the words of one former student, " I feel that Brad's perspective and continuing role as a mentor to me has done much to influence my belief that the profession of educational administration is about collegiality in the field".

As the Editor-in-Chief of the Canadian Journal of Program Evaluation, Brad has worked diligently to reorient the direction and content of the Journal to include more papers related to evaluation theory, particularly those that involve empirical studies of evaluation phenomena (such as the upcoming special issue mentioned above). In addition to this, he has provided his students with further opportunities for development by asking them to join the editorial team of the Journal. One of his students has been the Journal's editorial assistant for a number of years, and I have been its Book Review Editor for three years. I feel that Brad has given me complete responsibility and control in this assignment as well as the freedom to manage it in the way that suits me best.

In conclusion, Brad's contribution to the influence of theory of evaluation is substantial, as demonstrated by his considerable body of written work on evaluation utilization, participatory evaluation, and evaluation capacity building, but also through the various roles that he plays in supporting the evaluation community as Editor of the Canadian Journal of Program Evaluation and in developing the next generation of evaluators and evaluation researchers through his teachings and his guidance. For all of these reasons and many others, Brad Cousins is deserving of the Lazarsfeld Award.

Sincerely,

Isabelle Bourgeois
Senior Evaluation Officer, National Research Council of Canada
And Doctoral Candidate, Faculty of Education, University of Ottawa

END OF B-II, LETTERS OF SUPPORT

B-III. Supporting Documentation

B-III.i Vita *(Maximum of ten pages)*

COUSINS, J. Bradley, Professor, tenured
Member of Faculty of Graduate and Postdoctoral Studies

b) DEGREES:
Ph.D. Educational Measurement and Evaluation, University of Toronto, 1988.
M.A. Experimental Psychology, Lakehead University, 1981.
B.A. Psychology, Trent University, 1977

c) EMPLOYMENT HISTORY

Academic

1998-present	Professor, Faculty of Education, University of Ottawa Educational administration and evaluation
2006-present	Coordinator, Graduate Program in Evaluation
2005-present	Co-Director, Centre for Research on Educational and Community Services.
1997-2000	Director, Professional Development Programs, Faculty of Education, University of Ottawa.
1993-1998	Associate Professor, Faculty of Education, University of Ottawa.
1988-1993	Assistant Professor, Trent Valley Centre, OISE.
1990	Acting Head, Trent Valley Centre, Ontario Institute for Studies In Education (OISE).
1986-1988	Senior Research Officer, Centre for Principal Development, OISE.
1982-1983	Research Assistant, Department of Measurement, Evaluation and Computer Applications, OISE.

Professional

2008	Member External Review Panel: Ontario Tobbacco Research Unit
2007	Evaluation consultant, First Nations and Inuit Health Branch; Health Canada
2006	Evaluation consultant, Human Resources and Social Development Canada
2006	Workshop facilitator, First Nations and Inuit Health Branch; Health Canada
2005	Evaluation consultant, Treasury Board of Canada, Secretariat
2004-2005	Evaluation Consultant, Skills Enhancement Program, Public Health Agency of Canada
2004	Workshop facilitator, Evaluation capacity building, UNESCO
2004	Change Consultant, Curriculum Research and Development Group, University of Hawaii. (Sponsored by a grant from the National Science Foundation).
2003-2007	Evaluation Consultant, International Program for Development Evaluation Training (Sponsored by the World Bank)
2001-2003	Evaluation Consultant, Centre for Research on Community Services, University of Ottawa. Concurrent Disorders Group program evaluation.
2001-2003	Evaluation Consultant, Centre for Educational Management and Development, New Delhi, India. (Funded by Aga Khan Foundation Canada, Sponsored by Queen's University, Assessment and Evaluation Group)
1999- 2002	Evaluation Consultant, School of Nursing, University of Ottawa

1995-1997	Evaluation Consultant, Canadian Public Health Association.
1994-1997	Co-evaluator and Researcher, Learnsoft Corporation, Ottawa.
1992-1993	Principal Evaluator, Social Sciences and Humanities Research Council of Canada. (December 1992 - July 1993)
1988-1993	Evaluator and Consultant, Ontario Institute for Studies in Education, Trent Valley Centre, Peterborough.
1986-1987	Research Consultant, Hugh MacMillan Medical Centre, Toronto.
1986	Evaluation Consultant, Peel Board of Education, Mississauga.
1984	Data Analyst, Labatt Brewing Company, Toronto. (May - October)
1981-1982	Research Consultant, Columbia Centre for the Management of Pain and Stress, Vancouver.
1979-1980	Evaluation Consultant, Kaministikwa Theatre Laboratory, Thunder Bay.
1979	Evaluation Consultant, Social Planning Council, District of Thunder Bay

d) ACADEMIC HONOURS:

2007	Karl Boudreau Award for Leadership in Evaluation, National Capital Chapter, Canadian Evaluation Society
2007	Cousins & Whitmore (1998) chapter selected for reprint in special commemorative issue of *New Directions in Evaluation* in celebration of 20th anniversary of the American Evaluation Association.
2006	Invited Expert Lecture, '*Data use leads to data valuing'*. Presidential Strand, annual meeting of American Evaluation Association, Portland OR. Nov.
2006	Invited Address, '*Evaluation theory in Canada'*, annual meeting of the Canadian Evaluation Society, Charlottetown, PEI. June.
2005	Profiled in 'International Encyclopaedia of Evaluation' (S. Mathison Ed., Sage Publications).
2004	Excellence in Research Award, Faculty of Education, University of Ottawa
1999	Contribution to Evaluation in Canada Award: Canadian Evaluation Society
1989	Canadian Association for the Study of Educational Administration (C.A.S.E.A.) Dissertation Award.
1984-1986	Ontario Graduate Scholarship, Ministry of Colleges and Universities.
1983-1984	Morris Korman Memorial Scholarship.

e) SCHOLARLY AND PROFESSIONAL ACTIVITIES:

Editorial positions

2002- present	Editor-in-Chief, Canadian Journal of Program Evaluation
2000- present	Advisory Board Member, Leadership and Policy in Schools
1998- present	Advisory Board Member, American Journal of Evaluation
2004- present	Advisory Board Member, Journal of Multidisciplinary Evaluation.

Academic service activities (University of Ottawa)

2007-present	Coordinator, Graduate Certificate in Program Evaluation
2006-present	Member, Faculty Teaching and Personnel Committee
2005-present	Member, French Immersion Studies Academic Stream Evaluation Steering Committee
2003-present	Academic Counsellor, Organizational Studies, M.Ed.
2004	Member, Faculty of Education Computer Committee
2000-2001	Coordinator, M.Ed. Program (Anglophone)

2000-2001   Member, Faculty Teaching Personnel Committee
1999-2000   Chair, M.Ed. Student Advisory Committee
1998-2000   Member, Executive Committee, Faculty of Education.
1997-2000   Member, Faculty Council.

Professional service activities

2006-present Member, American Evaluation Association Publications Committee
2005-present Member, Board of Directors, Planning and Performance Exchange
2002-present Ex-officio Member, National Council, Canadian Evaluation Society
2004-present Chair, Student Paper Contest, Canadian Evaluation Society and Canadian Evaluation Society Education Fund
1996-present Faculty Representative: Edward F. Kelly Evaluation Conference consortium.
1995-present Faculty Representative: Eric F. Gardner Conference on Measurement and Evaluation.
2006-2007   Member, Task Force on Professional Designations for Evaluators, Canadian Evaluation Society
2005   Invited symposium participant: Economics and Social Research Council, Symposium on Research Use, London, UK
2005   Member: Special Advisory Committee on Evaluation, International Development Research Centre
2004-2005   Co-program chair, Canadian Evaluation Society/American Evaluation Association joint meeting, Toronto, October 2005,
2004-2006   Member, Evaluation Advisory Committee, Public Health Skills Enhancement Program, Public Health Agency of Canada
2002-2005   Member, Performance and Evaluation Committee, Social Sciences and Humanities Research Council of Canada.
2002-2005   Member, Program Evaluation Committee, National Science and Engineering Research Council of Canada.
2001, 1999 Reviewer, Canadian Association for the Study of Educational Administration, Doctoral Dissertation Award Committee
1999   Reviewer, Canadian Educational Research Association, Canadian Journal of Education, article of the year Award Committee
1998, 2007 Member, Edward F. Kelly Evaluation Conference committee.
1997-2000   Faculty Representative, Eastern Ontario Staff Development Network.
1997-2000   Faculty Representative, Regional Curriculum Council, Eastern Ontario Region.
1996-1997   Member, Steering Committee, Federation-Cooperative Project for training elementary school teachers to administer and mark Ontario grade three standardized tests.

f)   GRADUATE COURSES: past 7 years, by year

University of Ottawa

2005, 2004	EDU 5199	Synthesis Seminar
2007, 2005 2003, 2001,	EDU 6299	Program Evaluation: Theory and Contemporary Issues.
2007, 2006 2005, 2004 2002, 2000	EDU 5299	Program Evaluation: Methods and Practice.
2006	EDU 7394	Selected Topics in Measurement and Evaluation: Data Analysis and Communication in Evaluation
2000	EDU 5430	Seminar in Educational Administration I.

2000	EDU 5234	Supervision and Performance Appraisal of Personnel.
2003, 1996	EDU 5461	Managing Change in Educational Organizations.
1996	EDU 7430	Seminar in Educational Administration II.

j)   PUBLICATIONS:

Books & Thematic Collections-author/editor

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2. **Cousins, J.B.** & Dagenais, C. (Eds.). (2006). *Crossing borders, crossing boundaries.* Special issue of *Canadian Journal of Program Evaluation. 21(3).*

3. **Cousins, J.B.** (Ed.). *Evaluator competencies.* Thematic Segment of *Canadian Journal of Program Evaluation, 20*(2), 69-191.

4. Earl, L. M., & **Cousins, J. B.** (1995). Classroom *assessment: Changing the face; facing the change.* Toronto: Ontario Public School Teachers Federation.

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1. **Cousins, J. B.,** & Shulha, L. M. (2008). Complexities in setting program standards in collaborative evaluation. In N. Smith & P. Brandon (Eds.), *Fundamental issues in evaluation.* (pp. ??). New York: Guilford. **(Peer reviewed)**

2. Amo, C., & **Cousins, J. B.** (2007). Going through the process: An examination of the operationalization of process use in empirical research on evaluation. In J. B. Cousins (Ed.), *Process use in theory, research and practice. New Directions in Evaluation.* (p.5-26) San Francisco: Jossey Bass. **(Peer reviewed)**

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5. **Cousins, J.B.** (2004). Crossing the bridge: Toward understanding use through systematic inquiry. In M.C. Alkin (Ed.) <u>*Evaluation roots*</u>. (pp. 319-330).Thousand Oaks: Sage.

6. **Cousins, J. B.** (2003). Use effects of participatory evaluation. In, T. Kellaghan, D. Stufflebeam & L. Wingate (Eds.) *International handbook of educational evaluation.* (pp 245-266). Boston: Klewer.

7.   **Cousins, J. B.** (1999).   Organizational consequences of participatory evaluation. In K. A. Leithwood & K. S. Louis (Eds.). *Communities of learning and learning schools: New directions for school reform.* (pp. 127-142) Amsterdam: Swets & Zeitlinger.

8.   **Cousins, J. B.** (1999). The roots of organizational learning. In K. A. Leithwood & K. S. Louis (Eds.). *Communities of learning and learning schools: New directions for school reform.* (pp. 219-235) Amsterdam: Swets & Zeitlinger.

9.   **Cousins, J. B.** (1996). Understanding organizational learning for educational leadership and school reform. In K. Leithwood, J. Chapman, D. Corson, P. Hallinger, & A. Hart (Eds.). *International handbook of educational leadership and administration.* (pp. 589-652). Boston: Klewer Academic Publishers.

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11. **Cousins, J. B.**, Bailetti, A. J., & Rahman, A. H. (1996). Toward meaningful evaluation of manager training in technology-based companies. In M. Mulder (Ed.). *Training in business and industry: Evaluation, team orientation, customer satisfaction, performance support and total quality.* (pp. 69-78). Enschede, The Netherlands: University of Twente. (Previous version presented at AERA, 1995; Revised version subsequently published in refereed journal--see Cousins & MacDonald, 1998).

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1.   Chouinard, J. A., & **Cousins, J. B.** (2007). Culturally competent evaluation for Aboriginal communities: A review of the empirical literature. *Journal of Multidisciplinary Evaluation, 4*(8), 40-57.

2.   Goh, S. C., Quan, T. K., & **Cousins, J. B.** (2007). The organizational learning survey: A re-evaluation of unidimensionality. *Psychological Reports, 101*, 707-721.

3.   Smith, J. D., Ryan, W., & **Cousins, J. B**. (2007). Anti-bullying programmes: A survey of evaluation activities in public schools. *Studies Educational Evaluation, 33*, 120-134.

4.   Goh, S., **Cousins, J. B.** , Elliot, C. (2006). Evaluation capacity in schools: A descriptive study. *Journal of Educational Change, 7*, 289-318.

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8. **Cousins, J. B.** (2004). Minimizing evaluation misutilization as principled practice. *American Journal of Evaluation. 25*, 391-397.

9. **Cousins, J.B.,** Aubry, T., Smith-Fowler, H., & Smith, M. (2004). Using key component profiles for the evaluation of program implementation in intensive mental health case management. *Evaluation and Program Planning. 27*, 1-23.

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11. Gehrs, M., H, S.-F., Rourke, S. B., Wasylenki, D., Smith, M., & **Cousins, J. B.** (2004). Inside the black box: Challenges in implementation evaluation of community mental health case management programs. *Canadian Journal of Program Evaluation, 19*(3), 109-133.

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31. **Cousins, J. B.,** Ross, J. A., & Maynes, F. J. (1994). The reported nature and consequences of teachers' joint work in three exemplary schools. *Elementary School Journal, 94*(4), 441-465.

32. Ross, J. A., & **Cousins, J. B.** (1994). Intentions to seek and give help, and behavior in cooperative learning groups. *Contemporary Educational Psychology*, *19*, 476-482.

33. **Cousins, J. B.,** Ross, J. A., & Prentice, M. (1993). Teachers' evaluation of correlational reasoning skills. *Alberta Journal of Education, 39*(3), 297-317.

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35. **Cousins, J. B.**, & Ross, J. A. (1993). Improving higher order thinking skills "with" the computer: A comparataive study. *Journal of Research on Computing in Education, 26*(1), 94-115

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39. Leithwood, K. A., Begley, P. T., & **Cousins, J. B.** (1990). The nature, causes and consequences of principals' practices: An agenda for future research. *Journal of Educational Administration, 28* (4), 5-31.

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1. **Cousins, J. B.** (2007, Nov.). *Evaluation report: The International Program for Development Evaluation Training. Final Report 2007* Ottawa: Centre for Research on Educational and Community Services, University of Ottawa.

2. **Cousins, J. B.** (2007, Nov). *Continuous Monitoring and Evaluation of the Aboriginal Skills and Employment Partnership Program: Peer Review.* Submitted to Human Resources and Social Development Canada. Ottawa: J. B. Cousins Research Services.

3. **Cousins, J. B.** (2007, Nov). *Kativik Regional Government AHRDA Formative Evaluation Report: Peer Review.* Submitted to Human Resources and Social Development Canada. Ottawa: J. B. Cousins Research Services.

4. **Cousins, J. B.** & Chouinard, J. A. (2007, Sept.). *Evaluation framework: National Aboriginal Youth Suicide Prevention Strategy (NAYSPS).* Submitted to First Nations and Inuit Health Branch, Health Canada. Ottawa: Centre for Research on Educational and Community Services.

5. **Cousins, J. B.,** Malik, S., & Maicher, B. (2007, June). *Integration of consultative input: Professional designations for evaluators.* Ottawa: Canadian Evaluation Society.

6. **Cousins, J. B.** (2006, Dec.). *WUF3 Evaluation Report: Peer Review.* Submitted to Human Resources and Social Development Canada. Ottawa: J. B. Cousins Research Services

7. **Cousins, J. B.,** & Aubry, T. (2006, April). *Role's for government in evaluation quality assurance: Discussion paper.* Ottawa: Treasury Board of Canada, Secretariat and University of Ottawa.

8. **Cousins, J. B.** (2006, April.). *Peer review of evaluation process for 'Correctional Services of Canada education service delivery models'* Submitted to Human Resources and Social Development Canada. Ottawa: J. B. Cousins Research Services.

9. **Cousins, J. B.** (2005, May). Evaluation framework: Skills Enhancement for Health Surveillance Program. Submitted to Public Health Agency of Canada. Ottawa: J. B. Cousins Research Services.

10. **Cousins, J. B.,** Goh, S. & Clark, S. (2003, Oct.). *School decision making and problem solving study: Phase 2 results* Ottawa: University of Ottawa.

11. **Cousins, J. B.** (2003, July). *Knowledge test development project: Final report.* Ottawa: International Program for Development Evaluation Training.

12. Aubry, T., **Cousins, J.B**., Basevitz, P., Tsarouhas, A., Farrel, S. & La Ferriere, D. (2003, March). *Evaluation of Concurrent Disorders Group Treatment Program: Implementation Evaluation Report.* Ottawa: Centre for Research on Community Services.

13. **Cousins, J.B.**, Goh, S., Lee, L. (2003, January). *School Decision Making and Problem Solving Study: Summary of Findings for Phase 1.* Ottawa: University of Ottawa.

Recent AEA presentations

1. **Cousins, J. B.**, Goh, S., & Elliott, C. (2007, Nov.). *Integrating consequences of evaluation into evaluation capacity building inquiry.* Paper presented at the annual meeting of the American Evaluation Association, Baltimore.

2. **Cousins. J. B**., Cullen, J., Malik, S., & Maicher, B. (2007, Nov.) *Warming up to the prospect of professional designations: Reflections on the Canadian process* Paper presented at the annual meeting of the American Evaluation Association, Baltimore.

3. Amo, C., & **Cousins, J. B.** (2007, Nov.). *On the value-added of the evaluation process: Investigating process use in a government context.* Paper presented at the annual meeting of the American Evaluation Association, Baltimore.

4. Amo, C., & **Cousins, J. B.** (2006, Nov.). *Going through the process: An examination of the operationalization of process use in empirical research on evaluation.* Paper presented at the annual meeting of the American Evaluation Association, Portland.

5. **Cousins, J. B.,** Goh, S., Aubry, T., Lahey, R., Mongtague, S., & Elliot, C. (2006, Nov.). *What makes evaluation useful in government? A concept mapping study.* Paper presented at the annual meeting of the American Evaluation Association, Portland.

6. **Cousins, J. B.** (2006, Nov.). *Data use leads to data valuing: An evaluation capacity building thesis.* Invited address presented at the annual meeting of the American Evaluation Association, Portland.

7. **Cousins, J. B.** (2004, Nov.) *Pathways to glory? Implications of looking "within" use for research-based knowledge development.* Paper presented at the annual meeting of the American Evaluation Association, Atlanta.

8. **Cousins, J. B.** (2003, November). *Complexities in setting program standards in collaborative evaluation.* Paper presented at the annual meeting of the American Evaluation Association, Reno, NV.

9. **Cousins, J. B.**, Brandon, P., Goh, S., Quon, T., & Heck, R. (2003, November). *A comparative study of organizational readiness for evaluation.* Paper presented at the annual meeting of the American Evaluation Association, Reno, NV.

10. **Cousins, J.B.** & Shulha, L. (2002, Nov.) *Recent developments about inquiry into research and knowledge utilization.* Paper presented at the annual meeting of the American Evaluation Association, Washington.

11. **Cousins, J. B.**, Aubry, T., Smith-Fowler, H., Smith, M. & Tsarouhas, A. (2001, Nov.). *In search of the Holy Grail : Linking program implementation with program outcomes.* Paper presented at the annual meeting of the American Evaluation Association, St. Louis

12. **Cousins, J. B.** (2001, Nov). *A case examination of the program development function of practical participatory evaluation.* Paper presented at the annual meeting of the American Evaluation Association, St. Louis.

13. Weaver, L. & **Cousins, J. B.** (2001, Nov). *Unpacking the participatory process.* Paper presented at the annual meeting of the American Evaluation Association, St. Louis

14. **Cousins, J. B.** (2000, Nov.). *Revisiting responsiveness in evaluation.* Paper presented at the annual meeting of the American Evaluation Association, Honolulu HI.

15. **Cousins, J. B.** (2000, Nov.). *Conceptual links between evaluation utilization and capacity building.* Paper presented at the annual meeting of the American Evaluation Association, Honolulu HI.

16. MacDonald, C. J., & **Cousins, J. B.** (1997, April). *Factors influencing adult learning in technology based firms: Learning from one training program's experience.* Paper presented at the annual meeting of the American Educational Research Association, Chicago.

END OF VITA

B.III Supporting Documentation – Beginning next page:
  ii. Reports/Publications (no more than 3)

A Comparative Analysis of Evaluation Utilization and Its Cognate Fields of Inquiry: Current Issues and Trends

Chapter 12 in The Handbook of Evaluation

Edited by Ian Shaw, Jennifer Greene and Mel Mark, Sage, 2006

J. Bradley Cousins

University of Ottawa

and

Lyn M. Shulha

Queen's University at Kingston

Some time ago Huberman provided a challenge to researchers interested in evaluation utilization by noting that "the communities of research utilization and evaluation utilization have evolved an overlapping corpus of work to guide future research applications, with little concern for the meaningful distinctions between the two fields." (1994, p. 7). Needed is serious inquiry to explore how these cognate fields overlap and in what ways they part company. Over a decade later, we observe that some important progress has been made in this regard, but considerable gaps remain. Hofstetter and Alkin (2003) contributed in a very direct way to our understanding of evaluation and knowledge use relationships by providing an excellent historical overview. They reviewed studies of knowledge utilization to inform social sciences and policy and made links to evaluation utilization as a domain of inquiry. Their conclusion was that "many of the bourgeoning ideas related to knowledge utilization and evaluation utilization research overlapped, some even occurred simultaneously in both areas, in part due to the goals, process and use found in research and evaluation studies." (2003, p. 204). But more importantly, we think, they helped to clarify the distinctions between evaluation utilization and its cognate field social sciences research utilization. In particular, they reminded us that, despite remarkable overlap in methods with social science research, evaluation by definition is context-bound; knowledge is produced for a particular purpose for a particular set of users in a specific context.

While social science research can have significant uses and influences in the community of practice, its use is not context bound in the way that evaluation knowledge is. For this reason, the *"applied* versus *basic* research dichotomy … does not adequately capture the evaluation-research distinction" (Alkin & Taut, 2003, p. 3, emphasis in original). (See also distinctions between evaluation and social sciences research made by Levin-Rozalis, 2004 and Scriven, 2003/2004).

Our present purpose is to take up Huberman's challenge, to further examine interconnections between evaluation use and related domains of inquiry. We add to the contribution made by Hofstetter and Aklin (2003) in two principal ways. First, Hofstetter and Alkin's focus was primarily historical; they identified several points of overlap with regard to the conceptualization of the utilization construct and factors related to the pattern and extent of observed use. In many ways, their analysis captures the historical evolution of inter-relationships among cognate fields. Our focus, on the other hand, is on current developments in research and knowledge use and the extent to which those relate to developments in evaluation use. Our inquiry is thus more future-oriented regarding utilization theory, research and practice. Second, our inquiry provides a more thorough and comprehensive look at the inter-relationships between evaluation and knowledge use. As will be detailed below, our conceptualization of knowledge use is more broadly encompassing and extends beyond the use of social sciences research to the diffusion of innovation and planned change literatures. We are persuaded that these literatures are highly relevant as cognate fields of inquiry to evaluation use and for that reason their inclusion would provide for a more complete analysis.

In our 1997 paper (Shulha & Cousins, 1997) we identified a number of themes emerging from research and theory on evaluation utilization during the period 1986-1996. We noted how, at that time, many in the evaluation community felt constrained when thinking about evaluation use in one of three conventional ways: instrumental, conceptual or symbolic (see Leviton & Hughes, 1981 for a complete discussion on the origins of these dimensions). While newer notions of evaluation use have in many ways changed the face of practice, these three foundational dimensions remain relevant. A look at some contemporary evaluation examples tells us why.

In describing an evaluation commissioned by a high school's administration in order to assess the strengths and weakness of the current curriculum, McNance (2003) provided a

practical example of appreciative inquiry (Preskill & Coghlan, 2003). She gives a thorough and engaging explanation of the process and how it led to a four-step action plan for program improvement. While her discussion centers primarily on the strengths of the appreciative process and how it acted as a catalyst for collective understanding, it is clear that the evaluation was able to generate information that was used to support subsequent program decisions and directions (instrumental use).

For Shulha (2000) a school-university professional learning partnership offered a rich context for expanding the scope of evaluation use. The needs assessment she described sheds light on the complexity of reaching out across organizational boundaries and on the negotiation of authority for decision making. Embedded in this discussion, however, is how evaluative inquiry served a significant educative function for both the participants and the evaluators, enabling them to learn about each other and the state of teaching and learning in the school (conceptual use).

Program evaluators must remain cognizant of the fact that their work can be conscripted for politically persuasive purposes or as a rationale for calculated action (symbolic use). Kleit's (2004) evaluation of an experimental public housing self-sufficiency program is an example of the kind of evaluation that runs this risk. Implicit in the program he evaluated are controversial values and beliefs about the responsibility of government in aiding low income workers. The evaluation findings also appear to have significant social policy and resource implications. Kliet, perhaps in anticipation of the contexts in which his findings could be used, protects the integrity of his work by presenting a thoroughly grounded and defensible mixed method design and displays his data and findings in ways that discourage simplistic interpretation.

Each of these exemplars demonstrates how conventional notions of evaluation utilization still serve. They also exhibit the very quality that we observed burgeoning in 1997, namely the expanding conceptions of use, especially 'process use' or effects that are independent of evaluation findings. Other developments in evaluation utilization as a domain of inquiry that we identified at the time included the influence of context (political considerations, diversity, support for learning); emergent practices and role implications (collaborative, participatory and empowerment evaluation); and considerations of misuse (understanding misuse, link to standards of practice).

Since the turn of the millennium there have been additional important developments and trends in research, theory and practice on evaluation use. In this chapter our goal is to situate current trends in the study of evaluation use within the broader intellectual landscape of research and knowledge utilization.

We begin by providing some conceptual background on knowledge utilization as a domain of inquiry in order to help shape the intellectual landscape into which evaluation use will be situated. We then proceed to summarize a series of emergent and ongoing themes related to contemporary developments and issues for utilization inquiry. We do this by sequentially considering particular developments in the broader cognate fields and then related developments in evaluation use. Finally, we comment on points of divergence and convergence and conclude with some broad stroke impressions about contemporary utilization inquiry and implications for future research and practice.

Conceptual Framework for Knowledge Utilization

Knowledge utilization as a field of inquiry has expanded rapidly in a relatively short period of time and has taken on many facets (Davies, Nutley & Walter, 2005; Nutley, Walter & Davies, 2003). We are guided by Zhang's (1989) framework on knowledge use because we find it to be most parsimonious relative to others that exist (e.g., Backer, 1991).[1] In his first of five categories of major theoretical perspectives, Zhang collapses technology transfer and the innovation diffusion perspective on the assumption that knowledge is relatively well defined and utilization is equated with a decision to adopt the innovation. Rogers (e.g., 1995) has guided scholars, policy makers and change agents for over four decades with his continuous examination of this field. Second, Zhang categorized the program implementation or planned change perspective as a major focus for the study of organizational innovations embodied in

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[1] **At the outset it is important to differentiate 'information' from 'knowledge'. We concur with others (e.g., Backer, 1991; Dunn & Holtzner, 1988) that information is essentially raw data, whereas knowledge is interpreted data. But as Weiss (1983, p. 225) observed "… 'knowledge' might be a better label but it often communicates a sense of accuracy, rightness and validity . . . whereas 'information' has a tentative enough aura to contain the partial, biased, or invalid understandings" (Weiss, 1983, p. 225). Regardless of differences over terms, there is some agreement that scientific and professional knowledge is corrigible and may be subjected to non-arbitrary standards of assessment thereby permitting judgments of merit (Dunn & Holtzner, 1988). This proposition, however, is contested, as is described below.**

programmed actions. This practical problem-solving approach was championed by scholars such as Havelock, Zaltman and others. Third, evaluation for decision making is suggested by Zhang to be an extension of the planned change perspective where knowledge is equated with findings arising from the systematic investigation of practical problems. Essentially, this category is the domain of evaluation utilization; Alkin, Patton and Davis are named as proponents. Fourth, on a somewhat broader plane are those subscribing to the study of knowledge for policy making, who construe knowledge as being predominantly that arising from social science research (e.g., Dunn, Knorr-Cetina, Lindblom, Rich, Weiss). Social science research may be differentiated from evaluation on contextual (Hofstetter & Alkin, 2003; Zhang, 1989) or valuing dimensions (Levin-Rozalis, 2003; Scriven, 2003/2004). Zhang's final category is broader yet and is considered a knowledge system-utilization perspective, a macro approach concerned with the impact of knowledge on society. Dunn and Holtzner are the scholars credited with pioneering work in this domain.

And so we can see the breadth and scope of knowledge utilization inquiry is enormous. We believe that the cognate domains of most relevance to the study of evaluation utilization are the diffusion or transfer of innovation (including technology) orientation, the program implementation/planned change perspective, and the research for policy making perspective. The impact of knowledge on society, in our view, is sufficiently abstract as to diminish its relevance to evaluation use.

Contemporary Issues and Trends in Utilization Inquiry

As shown in Table 1, our review of contemporary issues in knowledge and research utilization has resulted in the identification of six principal themes of interest. These are (1) epistemological challenges, (2) emphasis on context for use, (3) focus on user characteristics, (4) linking knowledge production and use (5) utilization as process, and (6) methodological challenges. For each of these thematic areas, we located developments and contributions in the evaluation utilization domain. Some of these we recognized in our earlier paper (Shulha & Cousins, 1997), others we explore more thoroughly in this chapter. Table 1 also reveals two themes associated with evaluation use that appear to be unique to the domain. We failed to locate serious scholarship about such themes in the broader cognate fields. We now turn to an

abbreviated summary of substantive developments and issues within each of these themes and, ultimately, a comparison of fields of inquiry.

Table 1:

Comparison of Contemporary Issues in Knowledge and

Evaluation Use Domains of Inquiry

Thematic Category	Knowledge and Research Use	Evaluation Use
Epistemological Challenges	√	√
Emphasis on Context for Use	√	√
Focus on User Characteristics	√	√
Linking Knowledge Production and Use	√	√
Utilization as Process	√	√
Methodological Challenges	√	√
Considerations of Misuse	Na	√
Influence vs. Use	Na	√

Epistemological Challenges

Epistemology in its simplest terms is concerned with the nature of knowledge. When researchers and evaluators ask themselves, "How do I know?" or "How certain am I about what has happened here?" or "Under what conditions might others view my findings inadequate?" they are asking epistemological questions about the attributes, scope and sources of their knowledge. They are examining the manner in which they have gathered information, constructed and manipulated concepts, and used their thoughts, memories, senses and emotions to analyze and justify what they are presenting as 'knowledge about'. Evaluation like social science research is now rooted in a growing diversity of epistemologies. As a consequence practitioners in both venues are challenged to be more cognizant of how their methods and their dispositions towards 'what is most worth knowing' together influence the selecting, combining and discarding of information, and thus the constructing of knowledge claims.

Knowledge Use

Concurrent with debates in other domains of inquiry several serious challenges to traditional modes of conceptualizing research-based knowledge have been recently launched. Watkins (1994) provides a well-developed argument for a postmodern, critical theory of research use. He critiques traditional theories as being entrenched in objectivism and alleges that knowledge, once separated from the knower, is no longer valid. This assertion is based on a critique of the assumption that knowledge is value-free, an increasingly untenable position. A strong response to this perspective resides within an interpretivist framework that assumes the existence of multiple realities, no one more valid than the next. But Watkins criticizes the interpretivist perspective because it does not acknowledge power inequities and value systems. Clearly, from a critical stance, some interpretations (e.g., those of the more powerful and dominant group) are taken as more valid than others. Watkins then advances his critical theory of knowledge use and proceeds to express concern about the domination of the knowledge production process by researchers and to question the need for a research community as opposed to strategies that infuse a culture of systematic inquiry into the community of practice. His view is that knowledge is not disseminated *per se*, but that it is information that can be transferred and subsequently fed into local knowledge production.

Huberman (1989, 1994) and Louis (1996) both ascribe to some of Watkins' arguments but take exception to his more extreme views. Huberman maintains that constructivists' perspectives on knowledge utilization have provided an impetus for improving linkages between researcher and practitioner communities. He develops a revised traditionalist perspective on knowledge utilization having acknowledged the original knowledge transfer "theory-to-practice" framework as being deficient in its absence of a link between user needs and knowledge production. He suggests as necessary the need to acknowledge the bargained nature of research knowledge and the likelihood that findings will be used strategically. Huberman rejects the postmodernist perspective because its assumptions render dissemination a "dead letter." Louis (1996) shares this view. She acknowledges the integral role of social constructivism and that knowledge from outside must be interpreted from within. Communication happens and knowledge gets used and because this happens within a social frame does not imply knowledge cannot be disseminated. Rather, knowledge will need to be reconstructed in any local use setting (Louis, 1996; see also Breslin, Tupker, & Sdao-Jarvie, 2003).

Yet contemporary theorists continue to elevate social responsibility and cultural sensitivity in considering knowledge use. In a recent essay Manzini (2003) provides a compelling argument that public accessibility into science and participation in it are matters of equity and basic human rights. In keeping with this thinking, the concept of 'civic scientist' is receiving increasing attention of late. Civic scientists articulate and illuminate science content in the context of societal issues and interact with general audiences with goals ranging from passive appreciation of science to enhancing citizen ability to analyze and take action (Chui, Petit & Riordan, 2001).

Evaluation Use

Similar to virtually all domains of inquiry in the social sciences, the traditional, dominant paradigm for the study of evaluation and indeed the conduct of evaluation has met with significant challenges. These challenges are wide ranging and include various approaches associated with interpretivist (e.g., Stake, 1983; Guba & Lincoln, 1995) and critical theoretic (e.g., McTaggart, 1991; Sirotnik & Oaks, 1990) perspectives. The central problem with the traditional perspective lays in its extremist modern notions of objectivity, correspondence theories of truth, and the belief that facts and values can be separated. Relativists argued that knowledge is context bound and once removed from the context within which it was created is no longer valid. But, as has been argued elsewhere, the relativist perspective is itself extreme and limited in explaining knowledge production and use (e.g., House, 2001; Howe, 1988; Louis, 1996).

For evaluation, the critical theoretic epistemological perspective is normative in form and function. Of central interest is the use of evaluation to help ameliorate social injustice and inequity. As Greene (1998) observed

> Feminist, neo-Marxist, critical and other theorists in this genre promote "openly ideological" forms of inquiry that seek to illuminate the historical, structural and value bases of social phenomena and in doing so, to catalyze political and social change toward greater justice, equity and democracy. (pp. 377-378)

Epistemological challenges have carried with them significant implications for evaluation use, mostly centered around interconnections among evaluator and program stakeholder communities. House and Howe's (2000, 2003) democratic deliberative approach embraces this principle. They specify three requirements for evaluation that would support democracy:

inclusion, dialogue and deliberation. Evaluation from this perspective is less about practical problem solving and more about learning (Preskill & Torres, 2000; Rossman & Rallis, 2000). The evaluation process itself is used as a social intervention. In essence, evaluation use is construed as action arising from learning from the evaluation, particularly its deliberative processes. "If we view evaluation as learning and see learning as a socially constructed, appreciative process, then evaluation use becomes reconceptualized as continual and collective knowledge generation and application" (Rossman & Rallis, 2000, p. 59). But essential to action are considerations of power differentials. Despite the rhetoric of valuing diversity and different ways of knowing, critical theorists argue that the system is inherently unjust. From a utilization standpoint, evaluators need to be mindful of whose interests are being served. Whose knowledge counts?

Emphasis on Context for Use

The attention social scientists and evaluators pay to the context for knowledge use can differ significantly. For many researchers this context is an enigma. Not usually privy to the intricacies of the political or social cultures for which findings are intended, historically, social scientists often have had little recourse but to assemble their findings either in ways that demonstrate the credibility of their new understandings, or in the case of an innovation, in ways that will have most appeal to potential users. Once this is done, they release them and hope for the best. Evaluators, by the very nature of their work, are often drawn into the context for use, learning about the assumptions that ground the program, the social networks that support program processes and the vested interests that may or may not be served by the inquiry and its findings.

Knowledge Use

Perhaps among the more significant developments, then, and one arising from epistemological debates in research and thinking about knowledge utilization is the heightened emphasis on the context for utilization and the recognition that utilization cannot be understood in the absence of a detailed understanding of context. There is wide agreement that utilization is a social process subject to political influences and that the organizational context in which utilization is expected to take place operates in non-rational ways (Davies et al., 2005; Hutchinson & Huberman, 1994; Rich & Oh, 2000).

A detailed sociological understanding of the context for utilization is important for several reasons. First, as a social process knowledge utilization occurs in the context of social interaction and processing (Cousins & Leithwood, 1993; Louis, 1996) and must be interpreted locally. Second, there exist inside organizations hierarchies of knowledge and power. As Huberman (1994) puts it "There is, in fact, probably no formulation of an educational problem devoid of partisan interests. Research findings drop into that field of interests, and the researchers themselves are usually powerless--or indifferent--to affect the ensuing debate" (p. 18).

Some researchers have endeavored to understand non-linear, unpredictable patterns of research use in context-sensitive 'forward tracking' approaches. Molas-Gallart, Tang, Sinclair, Morrow and Martin (2000) (cited in Davies et al., 2005) employed 'user panels', members of which were interviewed several times during the duration of the intervention project. Walter, Nutley, Percy-Smith, McNeish and Frost (2004) (cited by Davies et al., 2005) propose three models for research uptake: the evidence-based practitioner model (evidence sought in response to locally generated researchable questions), the embedded model (research is distilled and codified before being incorporated into organizational processes and procedures); and the organizational excellence model (local strategies of continuous improvement that draw on both research and local experimentation). This framework implies different environments for research uptake and a customized approach to impact assessment.

Evaluation Use

A recent American panel on evaluation use that was ultimately published (see special section of the *American Journal of Evaluation* introduced by Sridharan, 2003) underscores the continuing primacy of evaluation context as a utilization consideration. Leviton (2003) who synthesized papers in the panel, reminds us that knowledge of context is essential to enhanced use of evaluation and that context must be understood as both content knowledge of the program as well as the organizational context within which this is to be understood. Leviton supports the conclusion of Ginsburg and Rhett (2003) that evaluation use is about knowledge production and is most likely to occur when a body of evidence (as opposed to individual studies or reports) accrues. But what is more important, she claims, is the extent to which evaluation succeeds in challenging collective assumptions held by the user (in this case policy making) community. Collective assumptions may be flawed or understanding may not be well-informed (i.e., high

uncertainty). In each instance, evaluation can provide the challenge that will help to address these deficiencies, regardless of the extent to which such knowledge is definitive.

As a point of departure from inquiry on knowledge and research use, the clear implication of this perspective for the study of evaluation use and for evaluation practice is the need to know and understand the program *and* the decision or policy context (Leviton, 2003). Understanding the fit of evaluation findings with the users' construction of reality and the extent to which uncertainty exists or collective assumptions may be in error are likely to have potent explanatory value for evaluation use.

In addition to the ongoing interest in program and decision setting context, recently there has been a considerable focus on integrating evaluation into organizational culture and organizational capacity building. We recently completed an integrative review of relevant empirical literature (Cousins, Goh, Clark & Lee, 2004) and located several studies on evaluation capacity building (ECB) (e.g., Brandon and Higa, 2004; Compton, Baizerman, Preskill, Rieker & Miner, 2001; Compton, Glover-Kudon, Smith & Avery, 2002; Gilliam, et al., 2003; Milstein, Chapel, Wetterhall, & Cotton, 2002; King, 2002) Many ECB studies examine the direct contribution to the development of evaluation capacity from interventions involving personnel, training, resources, and conceptual models. Other researchers studied external initiatives that carry with them accountability requirements and found that process use catalyzed the development of evaluation skills, knowledge and 'habits of mind'. From these studies we concluded that "the integration of evaluation into the culture of organizations … has as much to do with the consequences of evaluation as it does the development of skills and knowledge of evaluation logic and methods." (Cousins et al., 2004, p. 101). Yet developing capacity for use has met with less attention than the capacity to do evaluation.

Focus on User Characteristics

Increasingly, both social scientists and evaluators are learning that attention to the characteristics of knowledge users is a potent way to stimulate the utilization of findings. For social scientists, this attention may be, in part, compensatory given the constraints they can face in developing deep understandings of the contexts for knowledge use. For evaluators immersion into program contexts, almost by definition, requires learning about the individuals directly affected by the inquiry. There is evidence that evaluators are learning how to shape the activities of data collection and analysis in ways that can help users better integrate and then communicate

constructed knowledge. The process of shaping and disseminating knowledge in light of user characteristics appears to take on significant refinements as the distance between the knowledge producer and knowledge user decreases.

Knowledge Use

Often is the case in diffusion research that new ideas enter the system through higher status and more innovative members, usually with the assistance of an external change agent. This process is problematic in diffusion if the functioning interpersonal networks of the system are comprised primarily of like-minded individuals. In this context there is minimal "'trickle-down' to non-elites" (Rogers, 1995, p.288). "*One of the most distinctive problems in the diffusion of innovations is that the participants are usually quite heterophilous*" (Rogers, 1995, p. 19, emphasis in original) meaning that gaps in communication occur among individuals, including the change agent, when they do not share the same space or attributes such as beliefs, education, and social status.

Over time scholars of knowledge utilization have come to recognize users as being active as opposed to passive recipients of information. Knowledge, especially knowledge in the form of technology, may be difficult to understand and its use is likely to be discarded unless potential adopters are provided with opportunities to experiment with it on limited basis in a low risk context (Rogers, 1995). Knowledge entering an organization from outside will not be used unless it successfully passes truth and utility tests (Weiss, 1983). Truth tests determine the extent to which knowledge corresponds to what is already known by the user and speak to the credibility of the knowledge, but it must also be judged by users as being usable. In large part, according to Weiss (1983), this determination will be a function of the user's ideologies and interests as well as attributes of the knowledge to be used. Rogers (1995) confirms the importance of a high degree of compatibility between the innovation and the current values and needs of the potential adopters of innovation. Interests and needs on the other hand, correspond to people's stake in the policy or practice under study. Weiss alleges that interests are rarely hard-and-fast, single-position commitments. The effect of research knowledge can be to reduce uncertainty and thereby lead to a major re-estimate of where interests lie.

Users of innovation are known to have very pragmatic concerns. Consistent with the inadequacies of the rational actor model (Rich & Oh, 2000) users are more open to potential

changes in thinking and behaving that contribute directly to some economic gain, social prestige, work convenience or sense of satisfaction. At every stage in diffusion the more visible positive evidence there is for these outcomes the more likely adoption is to continue (Rogers, 1995). Finally, in their study of policy makers, Landry, Lamari and Amara (2003) found that user acquisition efforts are positively related to their propensity to use university research. In some Canadian policy domains this finding was mediated by level of education.

Evaluation Use

Patton's 'personal factor' continues to be an integral force supporting the normative utilization-focused evaluation approach that he advocates (1997, 2003). In his words "To target an evaluation at the information needs of a specific person or a group of identifiable interacting persons is quite different from what has been traditionally recommended as 'identifying the audience' for an evaluation…. People, not organizations, use evaluation information – thus the importance of the *personal factor*" (2003, p. 225, emphasis in original). Leviton (2003) considers user learning characteristics, specifically program practitioner cognitive processes and learning capabilities. She describes techniques and applications for eliciting constructed knowledge by creating mental models; the techniques have been used to understand and communicate risk information and are adaptable to the evaluation context.

> A user's decision context depends on a mental model of the program, including specific practices within a program, the nature of the social problem being addressed, the workings of the policies that control the program, the characteristics and behaviors of both the service providers and recipients. New information from the evaluation would be processed in terms of the user's mental model of the program. (Leviton, 2003, p. 529).

Users learning characteristics is another related focus for inquiry. Preskill and Torres (1999, 2000) lay out evaluator role and practice options (e.g., learning diagnosis, clinical approaches) that would position evaluative inquiry as a force in stimulating learning in users. Learning is essential to the approach addressed by Rossman and Rallis (2000), as well. In their terms, evaluation as a stimulus for learning seeks to raise questions, rather than to solve problems; learning is seen as a platform for action on a cyclic basis.

Linking Knowledge Production and Use

There are now concerted efforts by some social scientists to purposefully bridge the community-of-theory/community-of-practice gap in knowledge production and knowledge use. Letting go of the "two worlds" conception of how knowledge is constructed and disseminated has illuminated the importance of better understanding the intricacies of collaborative inquiry and joint meaning making. Those concerned with evaluation use have embraced this challenge, examining what it means to expand the goals of evaluative inquiry and distribute authority for decision making to those who are most effected by its processes and outcomes. The notion of linking knowledge production and use through a partnership appears to be more easily embraced by evaluators than university-based researchers. Yet the study of interventions and interactive processes between production and use communities has emerged as a focus of contemporary inquiry on research use (Davies et al., 2005; Lomas, 2000; Nutley et al., 2003).

Knowledge Use

Perhaps among the more salient developments in the study of knowledge and research utilization has been the heightened interest in and attention to the connectedness of knowledge production and utilization functions. In traditional knowledge utilization frameworks knowledge production, dissemination and utilization were typically considered to be sequential if not cyclical activities. In contrast, contemporary theorists and researchers have adopted a more integrative perspective, one that captures reciprocal influences among these activities in a non-sequential, continuous way (Huberman, 1994; Nutley et al., 2003). Researchers have focused on the consequences for the community of practice of increasing the frequency and intensity of contacts between members of both sides. Huberman dubbed such contact "sustained interactivity" and worked within a research utilization framework of reciprocal influence – researchers using analytic power and practitioners drawing on clinical and pragmatic experience. He casts the experience as a "sense-making and interpretive exercise on both sides" (1994, p. 23). Lavis, Ross, McLeod and Gildner (2003) further added to understanding of researcher-user interactions. They identified three models of interaction – producer-push, user-pull, and exchange – the final corresponding most completely with Huberman's reciprocal influence conceptualization.

While reciprocal influences of increased linkages are alluring, empirical evidence has largely addressed effects in the user community. In a survey of Canadian school district decision

makers, Cousins and Leithwood (1993), for example, showed the potency for knowledge use of interpersonal networks and other forums for practitioners' "social processing" of knowledge. This finding was replicated by Mycio-Mommers (2000) in a North American survey of educators using a well-developed environmental program innovation. Mycio-Mommers showed that social processing and user engagement led to higher levels of process and conceptual types of use.

Unquestionably, considerable empirical support for strategies designed to increase links and contacts between knowledge user and knowledge production communities is beginning to accumulate (Amara, Ouimet & Landry, 2004; Castillo, 2000; Cousins & Simon, 1996; Davies et al., 2005; Landry, Amara & Lamari, 2001a; Landry, Amara & Lamari, 2001b; Landry et al., 2003; Lomas, 2000). However, little research on knowledge use examines inquiry partnerships between members of these respective communities. An exception is a study by Latowski (2003) which reports on a community-based participatory research project in Massachusetts. Community residents, environmental scientists, and local health agencies collaborated in a study that documented significant health hazards and ultimately led to substantial educational outreach activities.

Evaluation Use

In contrast to inquiry on knowledge utilization, collaborative, participatory and empowerment forms of evaluation have captured considerable interest among evaluation theorist, researchers and practitioners in recent years (Cousins, 2003; Fetterman, 2001; Fetterman & Wandersman, 2005; O'Sullivan & D'Agostino, 2002; O'Sullivan, 2004). Such forms of evaluation might be differentiated on the basis of their goals and interests (Cousins & Whitmore, 1998; Weaver & Cousins, 2004). First, there may be justifications for collaborative forms of evaluation on the basis of practical problem solving pursuits. This approach – 'practical participatory evaluation' (Cousins and Whitmore, 1998) – would be openly associated with the use of evaluation for program decision making and improvement. Second, collaborative forms of evaluation may be guided by normative or political pursuits, such as the amelioration of social inequity. This we called 'transformative participatory evaluation'. Finally, collaborative evaluation might be motivated by epistemological interests, associated with deepening meaning and understanding of programs or other social phenomena. Stake's (1983) responsive model may be an exemplar of that justification, although Stake might argue that the approach is hardly collaborative (see Cousins, 2004a)

In a recent review and integration of literature Cousins (2003) showed that stakeholder involvement in evaluation is potentially powerful in enhancing program practitioners' sense of ownership and understanding of programs and can lead to conceptual and instrumental uses of evaluation data. Even more evident were effects on process use, or effects resulting from evaluative processes independent of results.

It is also possible to differentiate collaborative evaluation approaches in terms of process or form (Cousins & Whitmore, 1998; Weaver & Cousins, 2004). Any given evaluative inquiry might be characterized by (1) the extent to which control of the evaluation rests with the evaluator or program stakeholders, (2) diversity among program stakeholders, (3) power relations among program stakeholders (conflicting or neutral), (4) the manageability of the evaluation, and (5) the extent or depth of participation in the evaluation by program stakeholders. For example, practical participatory evaluations tend to be characterized by balanced control, modest diversity among stakeholder groups, and an absence of conflict among those with access to different levels of power. They are also relatively manageable and involve program stakeholders in significant aspects of the evaluation knowledge production function (Cousins, 2003; Weaver & Cousins, 2004).

More needs to be known about what forms of collaborative evaluation are likely to generate higher levels of use and under what conditions. For example, practical participatory evaluation may be best suited to improvement-oriented evaluation pursuits and not suited to the kinds of policy-oriented evaluation referred to by Henry (2003) and Leviton (2003). Yet the need to understand the decision context at deep levels is essential to use within the policy arena (Leviton, 2003). This need is addressed in collaborative forms of evaluation where knowledge of program logic and the context within which programs are implemented is introduced by virtue of participation in the evaluation by members of the program practice community.

Utilization as Process

Possibly the most significant development of the past decade in both the research and evaluation communities has been a more general acceptance that *how* we work with clients and practitioners can be as meaningful and consequential as *what* we learn from our methods. Evaluators and evaluation researchers, in particular, have been exploring the implications of this phenomenon. Evidence continues to grow on how the act of inquiry, orchestrated in fully engaging ways demonstrates a capacity to support individual and collective knowledge

production. What makes this learning unique is that it is both emergent and regulated primarily by the participants themselves. In effect, the researcher/evaluator creates the conditions that allow knowledge to be generated by those who, at least tacitly, know what they most need to learn. It is thus the process itself that facilitates utilization.

Knowledge Use

Increased attention to the investigation of linkages between knowledge production and utilization communities has put the conceptualization of utilization in a new light. To be sure, scholars continue to think of the utilization of research findings or program knowledge in instrumental, conceptual and symbolic terms (Amara et al., 2004; Huberman, 1994; Mycio-Mommers, 2002) but utilization is now considered to be linked in direct ways to stages of the knowledge production process, stages thought to be interdependent and non-linear. Fundamental to such a perspective is the conception of the user as an active participant in knowledge production. Inasmuch as dissemination will not automatically engage users unless the knowledge being transferred is compatible with users' opinions and beliefs, Huberman (1994) proposes that researchers need to negotiate their continuance and their presence in the user context and that doing so may raise users' awareness of problems and the permeability of unwanted findings.

In addition to the positive influences of sustained interactivity and the intensification of contacts, considerable evidence suggests that direct participation in knowledge production may be, at least as, if not even more potent. Mycio-Mommers (2002), for example, found that educators' participation in implementation of an educational innovation led to benefits that were quite unrelated to the target program. Such benefits included enhanced pedagogical confidence, self-efficacy and even career considerations. From this perspective, direct participation in the knowledge production loop occurs at the point of local interpretation and adaptation (Dunn & Holtzner, 1985; Rogers, 1995)

In a mixed-method, Canadian nation-wide empirical study Cousins and Simon (1996) focused on research funding strategies designed to involve members of the community of practice in social sciences research knowledge production. While results were somewhat favorable, several barriers and obstacles to this general strategy emerged. Many of these were directly tied to the establishment of partnerships between researcher and practitioner communities. Impediments to the successful establishment of partnerships were predominantly

reflected in differences in culture, but micro-political issues of ownership and control also surfaced. Such concerns have been noted by Weiss (1983) and more recently by Watkins (1994) who highlights the potential for domination by researchers who enjoy a relatively privileged position as compared to that of their practitioner colleagues. Further, Jacobson, Butterill, and Goering (2004) noted several organizational factors that may constrain researchers in connecting with the community of practice, even for the purposes of transmission and dissemination. Incentive systems, competing demands and unavailability of resources were prominent among these constraints.

Evaluation Use

In evaluation circles, Patton's concept of process use (1997) has come to the fore and has stimulated much interest on several levels. First, the concept has been operationalized and studied empirically. For example, in a large scale survey, Preskill and Caracelli (1997) observed evaluators' self-reported user benefits and effects of evaluation were attributable to the process of user participation in or proximity to the evaluation. Russ-Eft, Atwood and Egherman (2002) carried out an evaluation utilization reflective case study within the American corporate sector. Through satisfaction interviews and surveys they concluded that ultimately the fate of the sales program within a business services organization was determined by forces outside of the evaluation (e.g., rumours of merger). However, despite this apparent non-use of findings, the authors identified several process uses: supporting and reinforcing the program intervention; increasing engagement, self-determination, and ownership; program and organizational development; and enhancing shared understandings. In a more recent exploratory study of process use within the context of the Collaborative Evaluation Fellows Project of the American Cancer Society, Preskill, Zuckerman and Matthews (2003) concluded that evaluators should intentionally enable stakeholders to understand learning as part of the evaluation process. In addition to process use the authors also observed other instances of conceptual and instrumental use.

Process use has also found its way into theoretical formulations about integrating evaluation into the organizational culture (Cousins, 2003; Cousins et al., 2004; Preskill & Torres, 1999; Shulha, 2000; Torres & Preskill, 2001). Developing the capacity to learn by virtue of proximity to evaluation logic and processes can occur at the individual, group or organizational

level. Evaluation playing a role in developing organizational learning is considered by some to be an instance of process use (e.g., Cousins, 2003; Cousins et al., 2004).

Finally, those advocating expanding thinking beyond use into theories of evaluation influence have identified process uses as important examples of evaluation influence (Kirkhart, 2000; Mark & Henry, 2004). More will be said about this issue below.

Methodological Challenges

Knowledge Use

How does one measure use? For classical diffusion researchers the answer is straightforward—adoption (Rogers, 1995). For others this question has been and continues to be a very slippery one in contemporary work on knowledge and research utilization. Several issues appear to dominate the methodological agenda. First, as has been the case for quite some time, researchers remain interested in capturing the utilization phenomenon as a process thereby supporting the utilization of longitudinal methodologies (Davies et al, 2005; Rich, 1991). The utilization process has many facets -- production, transmission, processing and application -- and in order to more completely understand utilization it will be necessary to measure variables at each of these stages. Although they did not employ a longitudinal methodology, Landry et al. (2001b) took up the challenge of operationalizing use in stages by adapting a scale developed by Knott and Wildavsky (1980). The scale is cumulative and involves six stages of utilization, including transmission, cognition, reference, effort, influence, and application. Landry et al. showed that different factors the impact of social sciences research at different stages, prompting them to consider researcher dissemination strategies that might optimize use.

It has been the lack of a longitudinal orientation accompanied by an interest primarily in the transmission and processing elements of use that has led to what Rogers (1995) identifies as the most significant methodological issue in diffusion research – a pro-innovation bias or "the implication in diffusion research that an innovation should be diffused and adopted by all members of a social system, that it should be diffused more rapidly, and that the innovation should be neither re-invented nor rejected" (Rogers, 1995, p. 100). An important force supporting pro-innovation bias is that diffusion research tends to focus on successful diffusions. While understandable, the result is that the field has collected little information on innovation failures. This kind of study would no doubt lead to a more in-depth look at the nature of the

innovation, both how it is developed and how it is used in the adopting context and what is the role of aspects of context in determining utilization outcome.

A second concern is more deeply grounded in issues associated with the development of constructivist and other subjectivist theories of knowledge. Some researchers such as Gabbay et al. (2003) have employed ethnographic techniques to understand the complexities of research uptake. Others have been working to develop research methods that embrace and integrate constructivist perspectives with more traditional approaches to research. Cousins and Leithwood (1993) provide a fairly conventional approach to this problem. They content analyzed written comment data from a survey of educational practitioners and found these data to be comparatively more powerful than quantitative indicators in uncovering the potent influence of interactive processes on conceptual and instrumental knowledge utilization. Hutchinson (1995) developed a grid interview technique that enables the subsequent construction of survey instruments to be directly informed by the perspectives of practitioners. More recently, Shulha and Wilson (2003) constructed an assessment framework for inquiry that allows academic and practice based researchers together to judge the degree to which their efforts and understandings are anchored in joint meaning making and thus represent collaborative learning.

A third methodological issue also has substantive attraction. Moving beyond the identification of types of use -- symbolic, conceptual, instrumental -- some authors have given consideration to relationships among them. Amara et al. (2004) surveyed 833 Canadian government officials and observed that the three types of use of research simultaneously play a significant role. They confirmed that conceptual use is considerably more frequent than instrumental use; that symbolic use is relatively prevalent; and that day to day use of university research, though not extensive, is significant considering the array of other sources of knowledge and information available to decision makers. The authors conclude that more needs to be known about how conceptual, instrumental and symbolic uses interact in complimentary ways.

Finally, much of the research on knowledge utilization focuses on either the knowledge production or the knowledge use communities. Given that most of these are self-report studies with inherent potential for bias, needed are studies that compare and contrast knowledge production and knowledge use perspectives. Cousins (2001) provided such a study on collaborative forms of evaluation with some quite remarkable differences between evaluators'

perspectives and those of members of the community of program practice. In general, evaluators attributed relatively greater impact to the evaluation.

Finally, Davies et al. (2005) acknowledge additional perennial methodological challenges faced by those interested in assessing knowledge use. In particular, *when* to gather data (forward vs backward tracking) and identifying from *whom* data will be gathered are chief concerns. The framework put forward by Walter et al. (2003) (cited by Davies et al., 2005) provides some useful guidance on the latter issue.

Evaluation Use

Several authors have argued that research on evaluation use has diminished significantly over the years or that there is remarkably little empirical study to support many of the claims concerning evaluation use (Henry & Mark, 2003a; Ginsburg & Rhett, 2003; Leviton, 2003). Leviton even suggests that even the body of available evidence suffers from flawed standard of evidence.

> People's self-report about use of information is frequently taken at face value, with no validation of measurement … or triangulation of information …. A standard of evidence that many of us would never dream of applying to the conduct of evaluations, too often predominates the study of evaluation use. (2003, p., 526).

We are somewhat but not entirely sympathetic to these points of view. First, there is little argument that the amount and nature of research on evaluation use has changed significantly since the "golden age" of 1970's (Henry & Mark, 2003b; Weiss, 1998). Yet, we would argue, this change is pervasive in evaluation as an applied field and not limited to the study of evaluation use. Others have been lamenting the lack of empiricism in evaluation for quite some time (e.g., Smith, 1993; Worthen,1990). In our own words, "we have more than a niggling feeling that empirical research in the field remains largely undervalued" (Cousins & Earl, 1999, p. 315). Having said that, in a recent integration of empirical work on evaluation capacity building and use, we located a substantial number of studies (36), published within the previous five years (Cousins et al., 2004). Further, Leviton, for one, either fails to recognize or dismisses out of hand that the face of research in the social sciences has changed, due largely to emerging challenges to the dominant epistemological paradigm, as we described above. Valuing epistemological diversity implies that reflective narratives or case analyses are legitimized as ways of knowing. Such choices can provide rich and deep understanding of highly complex

phenomena, such as the use of evaluation. We acknowledge such approaches and recognize them as legitimate, but not without qualification. First, most such studies, in our experience (e.g., Cousins, et al. 2004), are written from the point of view of the evaluator and infrequently involve members of the program stakeholder community. They rely heavily on the story-telling capabilities of the evaluator. We believe that more balance is warranted since reflective narratives do not typically include explication of the basis for narrative development for the purposes of verification. Second, we would suggest that such approaches are best used in conjunction with or complementarily to more conventional approaches to empirical inquiry, ones that do include explicit methodological procedures and strategies that help to establish trustworthiness.

Considerations of Misuse

The study of misuse of knowledge continues to present significant challenges to scholars. We were unable to locate any scholarship explicitly focused on this important topic in the knowledge utilization domain using such search keywords as 'misultilization', 'misuse' in conjunction with 'knowledge', 'social sciences research'. While the direct study of the misuse construct does not appear to have made its way into the scholarly literature, there has been a developing trend in contemporary political discourse to embrace, at least at a rhetorical level, research support as essential to political argumentation. Regardless of the social issue or policy up for debate, politicians in Western societies tend to rely on what is known or not known, supported and not supported by research. The call for evidence-based decision making in virtually all domains of social, health, educational and human services inquiry and practice is testament to this sensitivity. Under such circumstances and with stakes increasing, it would not be difficult to imagine increased manipulation of research processes and findings, even if such tendencies have not been well documented in the academic knowledge base.

On the side of evaluative inquiry only a limited amount of published work has addressed directly the phenomenon of misuse. To be sure, much is written about standards of evaluation practice and ethics, typically to do with the development and explication of standards and suggestions for their intended uses (Hood, 2004; Shadish, Newman, Scheirer, & Wye, 1995; Stufflebeam, 2003). They tend to focus on what evaluators should do in order to bring about good quality and ethically defensible evaluations. To this point, however, standards of practice have not stimulated a great deal of research on evaluation (Stufflebeam, 2003).

Christie and Alkin (1999) revisited some prior work by others (Alkin & Coyle, 1988; Christie & Alkin, 1999; Patton, 1988) to help conceptualize evaluation misutilization. One of us recently reformulated this framework from the perspective of the user and applied it in conjunction with the *AEA Guiding Principles* as a mechanism to analyze and develop a response to an Ethical Challenge (Cousins, 2004b). The framework, reproduced in Figure 1, was helpful for that purpose and may have potential to assist research on misutilization. A paucity of research with this focus continues to exist.

<div align="center">**Insert Figure 1 about here**</div>

The figure is divided into four quadrants by two orthogonal dichotomous dimensions corresponding to the intended user's choices and actions: (1) Use: evaluation findings are either used or not used and (2) Misuse: evaluation findings are either handled in an appropriate and justified manner or they are not. Evaluation findings may either be used in appropriate ways (quadrant 1), or used inappropriately (quadrant 2) as a result of flawed evidence (misevaluation) or mischievous intent (misuse). Alternatively, the findings might be ignored, suppressed or buried when they should not be (quadrant 3) or this may occur for justifiable reasons (quadrant 4). Alkin calls the former *abuse* or *blatant non-use* of sound evaluation findings (Alkin & Coyle, 1988; Christie & Alkin, 1999). An interesting question would be what criteria are used to determine when a decision not to use sound evaluation findings is justified and when it is not? Some would argue that blatant non-use of sound evaluation findings is entirely defensible in the political context of program and policy decision making. This issue reflects the sometimes ambiguous boundaries of misutilization and the political use of evaluation, a concern we have raised elsewhere (Shulha & Cousins, 1997) and one that Henry and Mark (2003b) rightly suggest is problematic.

Influence vs. Use

The final theme that we identified corresponds to a contemporary issue concerning evaluation use. Should we move beyond conceptions of utilization to a theory of influence? Kirkhart (2000) critiqued theory and research on evaluation use on a number of fronts. Among her chief concerns are a narrow focus on an inappropriate imagery of instrumental and episodic application and attendant construct underrepresentation. She maintains that models of use imply purposeful, unidirectional influence and that a broadened perspective is required in order to more fully and completely understand evaluation impact.

Kirkhart advocates abandoning conventional thinking about use in favor of a theory of influence. She proposes a conceptual framework of utilization that consists of three fundamental dimensions: source of influence (evaluation process, evaluation results); intention (intentional use, unintentional use); and time (immediate, end-of-cycle, long-term). A theory of influence, according to Kirkhart, would permit: (1) tracking of evolving patterns of influence over time; (2) sorting out conceptual overlap between use and misuse (by expanding conversations about misuse and illuminating beneficial and detrimental consequences of influence); (3) improving the validity of studies of evaluation consequences (by dealing with the problem of construct underrepresentation); (4) tracking the evolution of evaluation theory; (5) comparing evaluation theories; and (6) supporting theory building through empirical tests of evaluation theory.

A theory of influence would have positive implications for evaluation profession as a whole, says Kirkhart. At question is not just a validity issue; the scope of evaluation influence would become increasingly visible and that would be a good thing. "Understanding long term evaluation impact builds credibility for the profession and generates support for evaluation among service delivery professionals" (p. 20).

In two significant papers, Henry and Mark recently extended thinking about a theory of influence in important and complex ways (Henry & Mark, 2003b; Mark & Henry, 2004). They acknowledge and accept many of Kirkhart's arguments and use her initial framework as a platform for further conceptual development and contribution toward a theory of influence. One of their concerns about alleged conceptual constraints inherent in models of use is that research productivity has been hampered. They also question why evaluators would be guided by the goal of maximizing use in the first place. "Use is inadequate as a motivation for evaluation because it fails to provide a moral compass … and falls short of recognizing and promoting the ultimate purpose of evaluation as social betterment" (2003b, p. 295). Part of this argument is based on House's (1995) identification of the 'fallacy of clientism' in evaluation.

Having elaborated their framework and linked it to prior work on evaluation use Mark and Henry make several claims germane to ongoing inquiry on evaluation impact. First, they suggest that more research may be stimulated by virtue of the new framework and its links to change theory. Second, they purport that the framework provides the clarity lacking in extant models of evaluation use, and third that greater clarity will make it a better guide to practice. Finally, by thinking in terms of the sorts of mechanisms (processes and outcomes) that

evaluators are likely to influence (i.e., immediate and short term influences within complex influence pathways) more appropriate expectations about evaluator responsibilities can be developed.

These new developments are exciting and stimulating and add considerable value to the prospect of the study of the effects of evaluation. While many of the claims are supportable, others, we believe, are problematic. First, as we observed earlier, claims about the paucity of recent empirical research on evaluation utilization are somewhat overstated in the face of changes in the nature of research on evaluation, specifically the emergence of the reflective case narrative as a popular mode of inquiry. Second, Henry and Mark proclaim that social betterment is the ultimate goal for evaluation. There are two problems with this proclamation. First, it excludes the many and valued types of evaluation that take place outside of the social policy domain (see, e.g., Russ-Eft et al., 2002). Second, some would argue that evaluation is a service industry and as such, in the social policy world, social betterment is the proper goal of the program providers and sponsors.

A third concern is raised by Alkin and Taut (2003) who point out that a conscious awareness of use-oriented effects, whether intentional (e.g., instrumental support for decision making) or not (e.g., skill development as a consequence of proximity to the evaluation or process use), are important concerns and will continue to be so. In their words, "Influences of evaluation are undoubtedly of importance, but they are unintended and cannot be addressed until after they have occurred. Practicing evaluators have to do their best in actively ensuring and promoting evaluation use, while at the same time noting evaluation influences that might occur but which are outside of their sphere of action" (p. 10).

Despite these concerns, the prospect of moving beyond use to a theory of influence is an intriguing one and is likely to stimulate ongoing debate and inquiry in the field.

Conclusions

Our primary goal in this chapter has been to situate current trends in the study of evaluation use within the broader intellectual landscape of research and knowledge utilization. In doing so, we observe several points of convergence, but many points of divergence too. This analysis helps to frame evaluation utilization as a unique and interesting domain of inquiry. Our analysis is not without limitations and shortcomings, however. One significant one is associated

with our sample of material. While we are relatively confident that we captured all current trends in research and theory on evaluation use, the same cannot be said for the more broadly defined multifaceted landscape of knowledge use. Boundaries in the latter category are more diffuse and ambiguous. Nevertheless, we are satisfied that our sample of scholarship on knowledge use is adequate for the present purpose.

We identified a considerable list of emergent themes in the literature, most common to both spheres of inquiry but two that are unique to evaluation use. While these themes are comprehensive, they did not accommodate all of the current contributions being made. For example, in the study of knowledge use, specific findings about influences were not addressed. A case in point would be the observation by Landry and associates that quantitative studies tend to be more useful to policy makers than qualitative ones (Amara et al, 2003; Landry et al., 2001a). Or the finding of Hijmans, Pleeijter and Wester (2003) that even the most sophisticated media coverage of scientific research tends to avoid reporting complex findings. Regardless, on the whole, the identified themes adequately reflect the current landscape.

Insert Table 2 about here

Table 2 presents a summary of the points of convergence and divergence that we observed in knowledge versus evaluation utilization emergent themes. Both domains of inquiry show developments aligned with emergent epistemological challenges. The discourse is predominantly philosophical in the knowledge use literature whereas that associated with evaluation is decidedly normative in tone. True, the concept of civic scientist has recently emerged in the former but we found a much more thorough treatment in the evaluation literature through the exploration of concepts of diversity, evaluation as a social intervention, and power relations, for example. Both domains of inquiry placed significant emphasis on context for use but differences emerged. In the broader knowledge use domain, we observed a distinct focus on the analysis of sorts of conditions likely to support or engender use. The primacy of context considerations continues to be pervasive in the evaluation literature, here we observed a substantial amount of interventionist work. Studies of evaluation capacity building tend to integrate rather penetrating analyses of context.

Another emergent theme touched upon in both domains is a focus on user characteristics. Discourse on knowledge utilization within this theme centered on users' evaluation of new knowledge against existing cognitive and belief systems. Weiss' concept of truth and utility tests

typifies the focus of interest with regard to the use of research. Similarly, from the diffusion literature, innovations are compared against existing belief and value systems. A corollary from the evaluation literature would be the test of the extent to which evaluative knowledge is consistent with pre-existing mental models. However, other user attributes were profiled by authors. The integral nature of the personal factor or the importance of interpersonal relations to the use of evaluation remains prominent. Linked to this is new work conceptualizing evaluation as a learning system the feeds into individual and organizational learning. Connections between knowledge production and use communities was a fourth theme that emerged. Emerging from research on knowledge use is the concept of sustained interactivity and the potential for reciprocal influences between production and user communities arising from increased contacts. In evaluation, such contacts are much more intimate to the extent that members of the utilization community become integral members of evaluation knowledge production through participation in collaborative, participatory and empowerment modes of inquiry. Considerable work has been done on understanding the justification for collaborative work, the nature of its process and ultimately its consequences.

Through negotiated access, researchers or members of the knowledge production community affect change in the user community, an observation associated with the utilization as process theme. To a very limited extent research on knowledge use has identified positive spinoffs from user participation in research. Yet such processes have been recognized as difficult to enact given a host of barriers and constraints not the least of which would be the relatively privileged position enjoyed by researchers. On the other hand, participatory and collaborative approaches to evaluation that involve direct or indirect participation in knowledge production by members of the user community have generated considerable insight into the benefits of process use or effects arising from proximity to the evaluation as opposed to an appreciation of evaluation findings. Organizational learning has been conceived to be an instance of process use at the group or organizational level, a conceptual relationship that has generated much interest in research and theory on evaluation use. Finally, a variety of methodological challenges were identified as being associated with both domains of inquiry. On the knowledge use side, these have included a lingering paucity of longitudinal research, problems associated with the operationaliztion of variables and conceptual issues in ferreting out interrelationships among different types of use. Within the evaluation domain, concern appeared to be focused on a

general shortage of original empirical research on evaluation use and an increasing prevalence of narrative inquiry or the reflective case study as a popular mode of inquiry. This observation does not appear to generalize to the knowledge use domain where relatively more sophisticated approaches to empirical inquiry continue to be published.

Finally, two themes that emerged appeared to be unique to the evaluation literature. The first is the study of misuse. It seems likely that interest in the topic arises from considerations of evaluation as a professionalized body of practice with relatively well developed standards of practice and codes of behavior. Yet research on the topic beyond reasoned responses to hypothetical ethical challenges has not developed. This may be partly attributable to the technical, ethical and moral complexities involved in studying such a delicate topic. Regardless, we would look forward to a more concerted systematic effort to understand issues of evaluation misuse, its antecedent causes and its consequences for programs, organizations and program recipients, alike. The other unique emergent theme concerns a call to move beyond use to a theory of influence. While there are strong arguments both for and against such direction, it strikes us that the debate lies at the heart of the intersection of evaluation and knowledge use more broadly defined. Further inquiry along these lines, particularly that relying on principles of change theory, is likely to assist further in understanding evaluation use situated among its cognate fields. To that end, a theory of influence might help to pursue Huberman's (1994) challenge of meaningfully distinguishing evaluation use from its cognate fields in more direct and penetrating ways.

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Table 2: Points of Convergence and Divergence between Knowledge Use and Evaluation Use Domains of Inquiry

Theme/NOTES	Knowledge Use	Evaluation Use
Epistemological Challenges/ CONVERGENCE	• Challenges to dominant paradigm • Revised traditionalist perspective • Emergence of civic scientist	• Challenges to dominant paradigm • Valuing diversity • Use of evaluation as social intervention • Power relations; whose knowledge counts?
Emphasis on Context for Use/ DIVERGENCE	• Partisan interests, findings drop in • Analysis of contextual conditions under which use is more likely to occur	• Continued primacy of context • Challenge collective assumptions of user • Evaluation capacity building focus
Focus on User Characteristics/ MIXED	• Hetrophilious nature of participant group • Active users; truth and utility tests • Compatibility of innovation and values/beliefs	• Pervasiveness of personal factor • Importance of individual mental models • Evaluation role and practice options • Critical inquiry for learning
Linking Knowledge Production and Use/ DIVERGENCE	• Reciprocal influence through sustained interactivity (theory vs. practice) • Increased contacts	• Direct participation in production of knowledge • Collaborative, participatory and empowerment approaches • Justification for collaboration • Process variation • Use to what end?
Utilization as Process/ DIVERGENCE	• Negotiated continuance and presence • Direct participation potency but barriers exist • Privileged members of research community	• Process use; effects independent of findings • Intentionality in promoting process use and learning • Link to organizational learning

Methodological Challenges/ MIXED	• Lack of longitudinal research • Operationalization problems • Innovation bias • Constructivist methods • Inter-relationships among types of use • Lack of studies comparing production and use communities • When and from whom to gather data	• Lack of empiricism • Epistemological diversity; dominance of reflective case study.

Use

2. Misuse   *1. Ideal Use*

Mistaken Use   Instrumental Use
(incompetence, uncritical
acceptance, unawareness)   Conceptual Use

Mischievous Use   Symbolic/Persuasive Use
(manipulation, coercion)

Misuse   **Legitimate
                                                               Use**

                 Abuse   Rational non-use
        (Inappropriate suppression
               of findings)   Political non-use

3. Unjustified Non-use   *4. Justified Non-use*
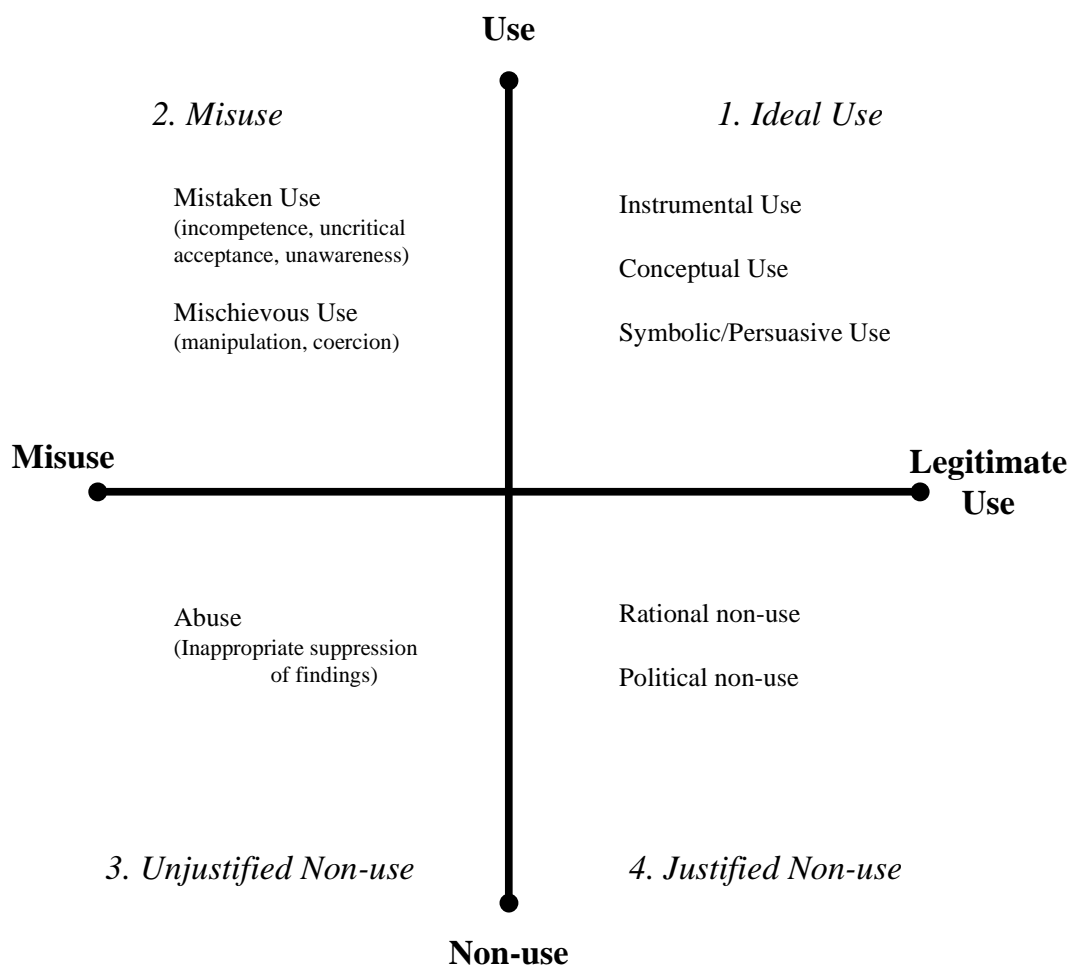
Non-use

Figure 1: Intended user uses and misuses of evaluation findings
(From Cousins, 1994b)

Going through the Process: An Examination of the Operationalization of Process
Use in Empirical Research on Evaluation

J. Bradley Cousins

Professor, Faculty of Education, University of Ottawa, Ottawa Ontario

Courtney Amo

Graduate Student, Faculty of Education, University of Ottawa, Ottawa Ontario

Acting Senior Performance and Evaluation Officer, Social Sciences and Humanities Research

Council of Canada, Ottawa Ontario

Introduction

The study of the consequences of evaluation, or more specifically of evaluation use or utilization[1], represents a significant portion of the body of research on evaluation (Alkin, 2003). Much has been written on the evolution of the multidimensional concept of evaluation use over the years, with the most recent and most exciting in the opinion of many being the examination of consequences of evaluation that are not a function of evaluation findings or recommendations, but rather of the *process* of evaluation in its own right (Alkin & Taut, 2003; Cousins, Goh, Clark, & Lee, 2004; Preskill, Zuckerman & Matthews, 2003).

Although Patton (1997) was perhaps the first to coin a name – *process use* – for the impacts that result from the learning that occurs as a consequence of involvement in the evaluation process, many researchers have noted, earlier evidence of this type of evaluation "use" (Cousins & Earl, 1992; Cousins & Leithwood, 1993; King & Pechman, 1983; Greene, 1988). In addition, the effects of involvement in applied, systematic inquiry have been mentioned in the literature on participatory action research (Whyte, 1991), knowledge use (Dunn & Holtzner, 1988) and other forms of collaborative inquiry (Levin, 1993).

Conceptual and theoretical work on process use (e.g., Alkin & Taut, 2003; Fetterman, 2003; Patton, 1997) has begun to spark empirical research (e.g., Morabito, 2002; Preskill &

Caracelli, 1997; Preskill et al., 2003; Taut, 2005; Turnbull, 1998, 1999) that is increasing understanding and use of the concept in informing evaluation practice (Patton, 1998). Our interest in this paper is to consider how the construct of process use has been operationalized in empirical research examining process use either directly or indirectly, and in describing the types of research that have been carried out with an eye to developing an agenda for ongoing research in this area. It is hoped that this study will contribute to future empirical inquiry on this important consequence of evaluation.

As will be later discussed, Patton's (1997) definition of process use, presented below, has found its way into, and has influenced the design of, the majority of the empirical research reviewed in this paper.

> Process use refers to and is indicated by individual changes in thinking and
> behavior, and program or organizational changes in procedures and culture, that
> occur among those involved in evaluation as a result of the learning that occurs
> during the evaluation process. Evidence of process use is represented by the
> following kind of statement after an evaluation: "The impact on our program
> came not just from the findings but also from going through the thinking process
> that the evaluation required." (Patton, 1997, p.90).

This positive, mostly incidental consequence of evaluation is consistent with constructivist-learning theory which purports that learning is a social process (Bandura, 1986) and that groups of people make meaning through the process of conducting an evaluation (Preskill et al., 2005). Process use thus has been linked to collaborative, participatory, empowerment, utilization-focused and learning-oriented approaches to evaluation – which advocate various levels of direct or indirect involvement of stakeholders in the evaluation process (Cousins & Earl, 1992; Fetterman, 1997, 2003; Preskill & Caracelli, 1997; Preskill, et al., 2005).

Process use also presents itself as the conceptual cousin of other observed consequences of evaluation such as organizational learning (Cousins et al., 2004; Preskill, 1994), evaluation capacity building (Stockdill, Baizerman & Compton, 2002), and evaluation influence (Kirkhart, 2000). The conceptual framework presented in Figure 1 which emerged from a recent study of evaluation capacity building by Cousins et al. (2004) on the conceptual interconnections and linkages among evaluation utilization, evaluation capacity building, and organizational learning,

helps to situate process use in a larger context. Evaluative inquiry is conceived as an organizational support structure that leads to particular organizational consequences, namely evaluation consequences manifest as knowledge production, use of findings and process use. Process use, in turn, is thought to enhance organizational readiness for evaluation through augmenting organizational capacity to do and to use evaluation.

Insert Figure 1 about here

Although process use is present in conceptual literature on evaluation use, it has thus far seldom been put to empirical test. As evaluation theorists call for more research on the influence of evaluation on individual-level cognitive processes and interpersonal behaviours (e.g., Henry & Mark, 2003), and as process use moves from being seen as a positive, incidental consequence of evaluation toward a goal evaluators aim to achieve through their approaches and methods (personal communication, M. Harner, March 2006), the need to provide empirical support for the concept becomes more pressing.

We now turn to a description of the methods that we used to track down empirical research concerned with process use and then to a description of the sample of studies we located. To follow is an analysis of these studies in terms of their operationlization of process use. We conclude with some thoughts about an agenda for ongoing research.

Method and Sample Characteristics

Empirical studies directly or indirectly inquiring about process use were identified through a computer search of all relevant databases using the CSA Illumina Search Platform[2] and Proquest's Digital Dissertations. Search terms included "evaluation utilization", "evaluation use", "organizational learning", "evaluation capacity", "knowledge utilization", "process use" and "process outcome". Bibliographic follow-up was also employed to complete the initial sample. Studies based on systematic observation of process use, including reflective accounts based on one or more case examples were identified. While some would argue that reflective accounts are hardly empirical, we chose to include them since they are based on observations made by evaluators or others and because they provide a rich source of information about complex phenomena in practical contexts. In the end we retained 18 studies for analysis.

Each study was content analysed in order to establish how process use was operationalized. For the purpose of this study, operationalization is defined as the process of translating an abstract construct into concrete measures for the purpose of observing the construct (Bouchard & Cyr, 1998; Greenstein, 2006). Although there are no steadfast rules for judging the appropriateness of an operationalization, *construct validity* – which refers to the degree of association between a theoretical construct or concept and its operationalization (Bouchard & Cyr, 1998; Greenstein, 2006) – provides a framework for gathering evidence in support of a particular operationalization. An operationalization showing evidence of construct validity should comprise the following: (1) a definition of the object of study grounded in the literature; (2) a definition of the underlying concepts that make up the object of study (if applicable); (3) definitions of related constructs and concepts in order to differentiate the object of study; and (4) indicators and measures in order to assess the occurrence, quantity and/or quality of the object of study (Cohen, Manion & Morrison, 2000; Fraenkel &Wallen, 2003; Trochim, 2006).

A one-page summary was prepared for each selected study using a template outlining its context; purpose and research questions; design, methods, sampling, and unit of analysis; direct or indirect study of process use; operationalization of process use (including conceptual source); and relevant findings. These one-page summaries represent the raw data for this study.

Insert Table 1 about here

Table 1 presents the descriptive characteristics of the sample of empirical studies selected for analysis. The studies are ordered by year of publication and they appeared in the period 1984 to 2005, with direct inquiries into the construct appearing after Patton (1997) coined the term. As a measure of quality control, we restricted our search to only peer-reviewed sources. All but three of the studies presented were published in peer-reviewed journals – Kamm (2004) and Taut (2005) are PhD theses; Cousins (1995) appeared in a volume co-edited by the author. As can be seen in Table 1, the sample of studies reflects a strong orientation toward qualitative research with the use of case studies (longitudinal, exploratory, reflective, descriptive) being present in many of the studies examined. Some studies were quantitative field studies yielding a mix of closed-form questionnaire data with written comments (e.g., Cousins, Donohue & Bloom, 1993;

Preskill & Caracelli, 1997; Turnbull, 1998). As mentioned above, in more than half of the studies (11/18), and particularly in those appearing before 2000, the examination of process use (or of earlier conceptions) was not the primary focus of the study. Direct investigations of process use did not commence until the beginning of the new millennium and following Patton's (1997) inclusion of the construct as a chapter in his third revised edition of *Utilization Focused Evaluation* (1997). Until that time, process use surfaced in empirical research in an incidental fashion.

Results

Operationalization of Process Use

Process use is a theoretical construct, and as such, requires careful operationalization in order to be studied. The basic requirements for operationalization outlined earlier were applied to the sample of studies selected for this analysis. Table 2 presents the results of this examination.

Insert Table 2 About Here

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1) Defining Process Use

As can be seen in Table 2, all but four of the studies (Brett, Hill-Mead, & Wu, 2000; Lau & LeMahieu, 1997; Shulha, 2000; Turnbull, 1998) provided an *explicit* definition of process use or of the similar concept being examined as it relates to their study, and all but four again (Lau & LeMahieu, 1997; Morabito, 2002; Preskill, Zuckerman, & Matthews, 2003; Shulha, 2000) provided definitions of other utilization constructs related to process use, which help to differentiate and delineate process use.

Although a few of the studies examined process use as it *emerged* in the research (Forss, Cracknell & Samset, 1994; King & Pechman, 1984), and a few others draw the concept from an implicit understanding of the literature (Lau & LeMahieu, 1997; Turnbull, 1998), the majority have provided definitions of process use (or similar concepts) grounded in the body of literature on evaluation use and on collaborative inquiry in evaluation (e.g., Cousins & Earl, 1992; Cousins & Leithwood, 1993; Greene, 1988; Kirkhart, 2000; Patton, 1997, 1998; Preskill, 2000).

The following provides a brief overview of some of the key definitional shifts that we observed to have shaped the study of process use.

One of the first studies found to mention a concept similar to process use is that of King and Pechman (1984). Emergent from this case study, which aimed at broadening and validating conceptualizations of evaluation use that were present at the time (instrumental, persuasive, and conceptual use of findings), is the concept of "charged use" – or use that "carries with it the potential for disruption or change." (p. 244). Although the authors mention in passing a possible link between changes in individuals' *attitude* over time as a product or impact of the evaluation process, they more clearly demonstrate changes in *actions* or *behaviours* as an effect of the interaction between non-evaluator stakeholders and the evaluation process through the examples provided as evidence.

> When an evaluator merely asked the director of a federal project why certain
> assistant teachers had attended an in-service workshop, the director realized that
> their attendance was inappropriate, and they were not included in the next
> session. (King & Pechman, 1984, p. 246)

Further early evidence of the effects of involving stakeholders in the evaluation process is evident in a study by Cousins and Leithwood (1993) on the relative influence of knowledge utilization variables (drawn from Cousins & Leithwood's 1986 evaluation utilization framework) on educators' use of information for improvement purposes. "Interactive processes", a construct which emerged from Cousins' (1988) doctoral dissertation on school principals' use of data on their own performance, refers to the "processes that lie between disseminators of information and its actual use in practice-based communities…" (Cousins & Leithwood, 1993, p.310-311). Four categories of such processes (social processing, engagement, involvement, and ongoing contact) were shown to result in a number of learning, behavioural and affective changes (such as personal and professional growth, organized reflection, and modification of practice) in individuals involved in local in-service activities. Although in both these cases it could be argued that changes that result from interaction with information is evidence of use of findings rather than use of process, since the process of conducting an evaluation inherently involves extensive interactions with information, we would argue that the line cannot be drawn as clearly.

In their study of the link between evaluation and organizational learning in the context of a Norwegian development assistance organization, Forss, Cracknell, and Samset (1994) found that evaluations result in *learning* in two different ways – through involvement in the evaluation process, and through receipt of evaluation information via communication. Although learning

through the communication of evaluation information is seen as having more of an organizational-level impact, learning by involvement "may lead to rapid development of knowledge structures at the level of individuals and sections within the organization" (p.585). This mode of more individual learning however is seen by the authors as less cost effective.

In response to a need to bridge the gap between theoretical interest in collaborative approaches to evaluation and their actual and perceived practical use and usefulness, Cousins, Donohue and Bloom (1996) surveyed a sample of evaluators and evaluation scholars on their perceptions and practices regarding collaborative evaluation. The potential effects of stakeholder participation were explored through questionnaire items that spoke to the learning and behavioural impacts that are characteristic of process use – for example, "practitioners' participation in evaluation helps to bring about social justice" (p. 216), and "intended users have developed (or will develop) their research skills" (p. 220).

The following year, Patton (1997) formally defined process use as "individual changes in thinking and behaviour, and program or organizational changes in procedures and culture, that occur among those involved in the evaluation as a result of the learning that occurs during the evaluation process" (p.90). An adapted version of this definition was used by Preskill and Caracelli (1997) in a survey examining, amongst other things, the perceptions of evaluators on the distinction between process use and use of findings. Although Patton's definition of process use speaks to changes in thinking and behaviour, results of this survey point to changes in attitude or *affect* brought up earlier by King and Pechman (1984) and Greene (1988). Preskill and Caracelli report that "nearly two-thirds of survey respondents agree that evaluation can lead to empowerment or self-determination of individuals through internalizing evaluation processes" (p.218).

Although the term process use had now emerged in the conceptual/theoretical literature, it would take a few more years before it found its way, in a direct sense, into the empirical studies sampled for review. For instance, Turnbull (1998, 1999) examined the effects of participatory evaluation on teachers involved in a school accreditation program, but does not specifically refer to process use. It is also interesting to note that other studies mention process use (Brett, Hill-Mead & Wu, 2000; Shulha, 2000) but do not explicitly define it as it related to their study. Morabito (2002) draws on Patton's (1997) definition, but calls the concept "process

influence", as a result of Kirkhart's (2000) reconceptualization of evaluation use as evaluation *influence.*

Subsequent studies (Russ-Eft, Atwoord & Egherman, 2002; Preskill, Zuckerman, & Matthews, 2003; Kamm, 2004; Taut, 2005) make explicit use of Patton's (1997) definition of process use.

In addition to drawing from Patton's (1997) definition, Forss, Rebien and Carlsson (2002) draw from his identification of four primary kinds of process use (enhancing shared understandings, supporting and reinforcing the program through intervention-oriented evaluation; increasing participants' engagement, sense of ownership and self-determination; and program or organizational development), and from additional types of process use suggested by Patton (1998) (learning to learn; qualitative insights; and goal displacement), in defining process use. Forss et al. expand on the concept of process use by suggesting that developing professional networks and boosting morale, categories that emerged from their case studies, were evidence of process use.

Although Patton's definition of process use mentions involvement in the evaluation process as a necessary element of process use, the link between process use and the level or intensity of involvement of stakeholders in the evaluation process was not explored explicitly in the studies reviewed.

Insert Table 2 About Here

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2) Measuring Process Use

Table 2 shows little variability in the indicators and measures of process use. Observation of process use and self-reported perceptions regarding process use serve well to document the *occurrence* of process use, but less to assess other qualifiers and quantifiers of the phenomena (such as type, depth, range, amount), or of its non-occurrence.

In contrast to the lack of variability in indicators or measures of process use, the sample of studies chosen for review show variability in the unit of analysis – that is, studying process use at the individual (14 studies), group (5 studies), and/or organization level (8 cases). Although Patton's (1997) definition accommodates process use at all three levels, the use of case study approaches invariably focuses the lens through which process use is examined.

Three broad *types* of process use – or what was considered evidence of process use – emerged from this review: process use as evidenced by *learning* (17 cases)*,* by changes in *actions* or *behaviours* (15 cases), by changes in *affect* or *attitude* (13 cases), and by a few other impacts that do not fit neatly into these categories (social justice, opportunity, networking, etc.). Table 3 presents a preliminary grouping of evidence of process use presented across studies. It should be noted that although this grouping is preliminary, and reflects a certain amount of overlap across categories, it highlights the sheer variety and variability of impacts that have been observed as evidence of the benefits of going through the evaluation process.

A few of specific examples of process use summarized in Table 3 are provided in more detail below:

Through being involved directly in the evaluation process and working closely with external evaluators, teachers no longer feared experimenting with new ways and being held accountable to outcomes. They had input into what was authentic in evaluating the new instructional practices, and evaluation became a non-threatening objective to inform change. (Lau & LeMahieu, 1997, p.13)

City Year has come to appreciate other uses for evaluation. It has recognized that evaluation is a key capacity for an organization that wants to be both a learning organization and one that is "built to last". (Brett, Hill-Mead, & Wu, 2000, p.83)

The results of this study indicate significant process use throughout the inquiry. The majority of participants reported learning from the evaluation process itself. Four compelling examples of process use that occurred during this study are discussed here: (1) learning about the Parenting Education Initiative, (2) learning about evaluation in general and EILO in particular, (3) recognizing [and acting on] other opportunities for learning, and (4) [learning and using] the four EILO learning processes. (Kamm, 2004, p.184)

Implications and Conclusions

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The literature search conduced in the context of this study, although certainly not exhaustive, nonetheless shows a relative paucity of empirical studies examining the concept of process use directly or indirectly. Almost a decade after the coining of the concept, there is still much opportunity to study, question, probe, test, and substantiate process use. Within the group of studies reviewed, particularly more recent studies, Patton's (1997) conceptualization of process use has provided a solid backbone for research in this area. In addition, other ways of thinking about process use – for example, process influence rather than use (Kirkhart, 2000) – have begun to emerge. However, it would be fair to conclude at this point that empirical research in the area of process use is in its infancy, and that more and different research will be required in order to move this area of inquiry forward.

In their recent review and synthesis of the knowledge base linking evaluation utilization, evaluation capacity building, and organizational learning, Cousins et al. (2004) point to important methodological challenges that are also quite relevant to the ongoing study of process use. These are:

- Reflective case studies, although important and necessary, are limited in that they tend not to present multiple interpretations of events (usually relying on the perspective of the evaluator). Such studies are essential to developing the conceptualization of the underlying construct, but the field would also benefit from more deeply systematic approaches to inquiry.
- There is little variability in design and methods (primarily qualitative), and little methodological sophistication. Many more questions are generated than answers provided.

In addition, this review has shown little variability in the ways in which process use has been measured, but high variability in what has been included as evidence of process use. There is a need to develop a better conceptualization of process use – what it is, what it is not, what it looks like and how it can be measured in terms of occurrence and in terms of other qualitative and quantitative indicators. Although conceptual and theoretical work (e.g., Alkin & Taut, 2003; Patton, 1997) has provided a solid basis for such a conceptual framework to emerge, there is also a need to empirically test and confirm ideas and assumptions presented thus far. In sum, empirical studies of process use have yet to show strong evidence of construct validity through the operationalization of process use.

It is hoped that this study has provided a picture of the state of empirical research on process use thus far, and will help to encourage the building of a balanced and strong knowledge base on process use that can help inform future debates on the theoretical, empirical, and practical implications of this important consequence of evaluation.

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Table 1
Descriptive Characteristics of Empirical Studies **(in chronological order)**

Study	Sample	Context	Design/Methods	Purpose/ Research Questions	Direct/ Indirect Study of Process Use	Operationalization of Process Use
King & Pechman (1984)	Research and evaluation unit in large city central office USA	Evaluation use in school systems	Longitudinal (1-year) case study; naturalistic observation (interviews, field notes)	Discuss evolving evaluation use literature; process of local evaluation use; categories of evaluation use; and implications of case study results	Indirect	"Charged use" - use with potential for disruption or change – triggered by interactions between potential user and informal evaluation information (including conversations)
Cousins & Leithwood (1993)	233 elementary school principals and 155 central board office staff members. CANADA	Examination of initiatives designed to support school improvement as a result of a provincial review of educational practice	Exploratory field surveys	Examine the contribution of a relatively comprehensive set of variables influencing knowledge use; test power of knowledge utilization framework in explaining observed use	Indirect	"Interactive processes" – interaction or linkages between researchers and practitioners; involvement of practitioners in the research process – social processing, engagement, involvement and ongoing contact
Forss, Cracknell & Samset (1994)	11 background reports; 8 case studies; survey and interviews of staff (n unclear) INTERNAT'L	Improving effectiveness of Norwegian development assistance	Meta-evaluation; case study of 8 evaluations, questionnaires, interviews, document review.	Explore role/impact/contribution of evaluation in organizational learning; explore ways of increasing evaluation contribution to organizational learning	Indirect	"Learning by involvement", characterized by program officer taking part in evaluations and project reviews and developing knowledge and external expertise
Cousins, 1995	2 case school districts CANADA	School district use of evaluative inquiry to support school improvement	Comparative case study design: high vs. marginal success; interview, document analysis	Examine extent to which evaluation was used and factors fostering or inhibiting use.	Indirect	Development of research skills and educator professional development function of participating in evaluation study.
Cousins, Donohue & Bloom (1996)	Members of professional evaluation/ education associations: AEA (n=306), CES (n=200), AERA (n=35), AERO (n=23) CANADA/USA	Assessing perceptions of evaluators and evaluation scholars re: collaborative evaluation	Exploratory research study; survey	Examine perceptions re. collaborative evaluation; establish extent to which practitioners find collaborative/participatory approaches useful; portray various collaborative practices/processes	Indirect	Survey questionnaire items address impacts of stakeholder participation in evaluation (participation helps bring about social justice; develops research skills; learn about evaluation as change strategy)

Study	Sample	Context	Design/Methods	Purpose/ Research Questions	Direct/ Indirect Study of Process Use	Operationalization of Process Use
Preskill & Caracelli (1997)	Members of AEA Evaluation Use TIG (n=282) USA	Assessing evaluators' perceptions about evaluation use	Exploratory research study; survey	Explore linkages between theories of evaluation use and perspectives of practice; obtain past and current perceptions and experiences with evaluation use	Direct	"refers to the cognitive and behavioral changes resulting from users' engagement in the evaluation process. Process use occurs when those involved in the evaluation learn from the evaluation process itself ...." (p.217)
Lau & LeMahieu (1997)	N/A USA	Evaluation of Humanities Ed, Research, and Lang Development (HERALD) project, California School Dist	Reflective case study; written from perspective of evaluators	Discuss theoretical underpinnings and execution of evaluation design aimed at empowering teachers	Indirect	Effects of teacher-evaluator collaboration, effects of participation in evaluation process (teachers as internal evaluators)
Turnbull (1998)	308 elementary and secondary school teachers CANADA	British Columbia School Accreditation Program	Exploratory/ confirmatory case study; questionnaire	To develop and test second-order confirmatory factor analytic model of conceptual, instrumental, and symbolic use	Indirect	Survey questionnaire items on conceptual use show overlap with process use (process gave better understanding of strengths and weaknesses of school; activities provided necessary knowledge to contribute to development of school growth plan)
Turnbull (1999)	315 elementary and secondary school teachers CANADA	British Columbia School Accreditation Program	Exploratory (or confirmatory?) case study; questionnaire	To gain better understanding of participatory evaluation by testing causal relations in proposed model of participatory evaluation	Indirect	"Participatory efficacy" – "refers to the degree to which expected or assumed outcomes of participatory evaluation have been achieved" (p.133) Survey questionnaire items relate to process use (learned useful things about school; activities provided necessary knowledge to contribute to development of school growth plan; better understanding of points of view of other staff)
Brett, Hill-Mead, & Wu (2000)	N/A USA	Evaluation use in national not-for-profit, youth services organization (City Year) with centralized evaluation department	Reflective case study; written from perspective of evaluator and two staff members	Discuss how organization's relationship with evaluation evolved; how evaluation has been used; lessons learned on enhancing evaluation use and influence	Indirect	Provides examples of impact of involvement in evaluation process (enhanced understanding of evaluation function; better appreciation of outcome orientation; forum for forced reflection; sense of ownership; ability to mentor others; strengthened services; organizational change)

Study	Sample	Context	Design/Methods	Purpose/ Research Questions	Direct/ Indirect Study of Process Use	Operationalization of Process Use
Shulha (2000)	N/A COLUMBIA	Influence of participatory, evaluative inquiry process in assessing need for university-school learning partnership between large Cdn university and large pre-k through 12 int'l school in Columbia	Reflective case study, written from point of view of evaluator	Show evaluative inquiry as potent alternative to classic forms of professional development; demonstrate challenges and results of rooting university-school learning partnership in evaluative inquiry; analyze utility of process using Kirkhart's (2000) theory of integrated influence	Indirect	Shows impact of involvement in evaluative inquiry through lens of theory of integrated influence. Impact evidenced by observation (including discussions of) learning (e.g., skills development), actions (e.g., decision-making), affective changes (e.g., independence), and other effects (e.g., de-facto public declaration of commitment).
Russ-Eft, Atwood, & Egherman (2002)	23 sales people, 10 implementation specialists, 9 consultants, 40 representatives of client companies USA	Evaluation of a sales program within a business services organization (XYZ Corporation) in the USA	Descriptive case study; interviews, surveys	Explore use and non-use of evaluation results, with particular emphasis on process use; factors contributing to use and non-use of private section evaluation	Direct	Patton, 1997, definition. Process use indicated by: enhanced shared understanding, supported/reinforced program intervention, increased engagement, self-determination, ownership.
Morabito (2002)	N/A USA	A USA school that provides instruction to physically and medically disabled children from K to 12	Reflective case study; written from perspective of evaluator	What specific evaluator roles, philosophies, and interpersonal dynamics hold the potential to foster process influence	Direct	"Process influence" – capacity of evaluation process to affect organizational stakeholders and entity being evaluated, as evidenced (in this case) by individual and team learning, changes in school structure and curriculum.
Forss, Rebien, & Carlsson (2002)	Not specified INTERNAT'L	Evaluation of Nordic Development Fund (NDF) (small enterprise development program) and of effectiveness of expatriate experts on aid programs	Meta-evaluation; review of literature, interviews, two case studies	Explore process uses of evaluation, develop typology of process use, generate hypotheses re. context and activities relating to process use of evaluations	Direct	Defined as "utility to stakeholders of being involved in the planning and implementation of an evaluation" (p.30), and evidenced by: learning to learn, developing professional networks, creating shared understanding, strengthening project, boosting morale.

Study	Sample	Context	Design/Methods	Purpose/ Research Questions	Direct/ Indirect Study of Process Use	Operationalization of Process Use
Preskill, Zuckerman, & Matthews (2003)	16 interviews with advisory group members and senior administrators of American Cancer Society USA	Yearly evaluation of the Tell a Friend program and the ACS in the USA	Exploratory case study of two evaluations; interviews	Explore what and how advisory group members learned from involvement in evaluation process, add to list of process use variables (Preskill, 2000) – factors that support or hinder learning	Direct	"We view process use as the learning that occurs from being involved in any phase of the evaluation process." (p.427), as evidenced by: learning about evaluation, learning about the program, and gaining overall evaluation experience.
Kamm (2004)	17 staff members (8 inquiry team members, 9 non-members) USA	Examination of the effects of implementing the EILO (Evaluative Inquiry for Learning in Organizations) approach with the administration, staff, and clients of a small women's health education organization within a US hospital	Longitudinal case study (during and post-intervention); Individual and focus group interviews, observations, document and artifact review, survey	Learn about effects of implementing EILO approach within health education organization; study of effects on organization, effects on people involved, and issues surrounding implementation process.	Direct	"Process use occurs when "individual changes in thinking and behavior, and program or organizational changes in procedures and culture…occur among those involved in evaluation as a result of the learning that occurs during the evaluation process" (Patton, 1997, p.90) (p.180) Process use evidenced by individual and organizational learning, changes in individual and organizational behaviors, and affective changes in individuals.
Sutherland (2004)	46 Teachers, administrators, students, parents at Edison Project school plus 12 district admin's USA	Use of evaluation as part of commitment to be an Edison Project school, major funded school reform initiative	Longitudinal case study: observation and interview.	How do the processes of data use and management feed into culture of continuous improvement?	Indirect	Data use integrated into the organization over time. Extrinsic motivators become less important and intrinsic motivators elevated as evaluation integrated into organizational culture.
Taut (2005)	Survey sample (n=215 directors, professionals and support staff); interview sample not specified EUROPE	Study of the effectiveness of custom made, self-evaluation capacity building interventions to foster learning from evaluation at a large international development cooperation organization.	Action research, involving embedded case study, survey, document analysis, personal interview, participant observation, group discussion, informal communication	Address how evaluation in UNESCO can more effectively fulfill its learning purpose; how self-evaluation contributes to learning, prerequisites, constraints, and supporting factors for learning, intended/unintended outcomes of interventions in terms of process use, explanations of effectiveness and sustain	Direct	Provides conceptual framework linking evaluation capacity building (elements of intervention), indicators of changes as a result of intervention (knowledge about evaluation, attitudes toward evaluation, perceived ownership of process, skills to conduct evaluation tasks, and motivation to engage), and final outcomes of the intervention in terms of use of evaluation for learning (increased conceptual use of external evaluation processes and findings, increased integration of self-evaluative thinking and inquiry into work

Table 2
Process Use Operationalization in Empirical Studies

Study	Operationalization of Process Use			Conceptual Source	Unit of Analysis	Type of Process Use			
	Process Use Defined	Related Concepts Defined	Indicators/ Measures Identified			Learning	Action/ Behaviour	Attitude/ Affect	Other
King & Pechman (1984)	Similar concept: Charged use	Yes	Researcher observation	Emergent	Individual		✓	✓	
Cousins & Leithwood (1993)	Similar concept: interactive processes, social processing.	Yes	Perceptions of respondents (written)	Pre-ordinate (Cousins 1988; Greene 1988; Huberman 1987, 1990; Louis & Dentler, 1988)	Individual	✓	✓	✓	
Forss, Cracknell & Samset (1994)	Similar concept defined	Yes	Evidence in documents, perceptions of respondents	Emergent	Individual and group	✓			
Cousins (1995)	Similar concept: research skills; pro develop't	Yes	Evidence in interviews with non evaluator participants	Emergent	Individual	✓		✓	
Cousins, Donohue & Bloom (1996)	Similar concept: benefits of collaborative inquiry	N/A	Evaluators' recall of effects of collaborative evaluation (ratings)	Pre-ordinate (Cousins & Leithwood, 1993; Cousins & Earl, 1992, 1995)	Individual	✓	✓		✓
Preskill & Caracelli (1997)	Yes	Yes	Perceptions of respondents (ratings)	Pre-ordinate (Greene, 1988; Patton 1997)	Individual, group, organizational	✓	✓	✓	
Lau & LeMahieu (1997)	No: implicit in text	No	Evaluator observations	N/A (although idea to implement collaborative approach grounded in the literature)	Group	✓	✓	✓	
Turnbull (1998)	No: implicit in text	Yes	Perceptions of respondents (ratings)	N/A (although conceptions of use grounded in the literature)	Individual	✓	✓		

Study	Operationalization of Process Use			Conceptual Source	Unit of Analysis	Type of Process Use			
	Process Use Defined	Related Concepts Defined	Indicators/ Measures Identified			Learning	Action/ Behaviour	Attitude/ Affect	Other
Turnbull (1999)	Similar concept defined	Yes	Perceptions of respondents (ratings)	Pre-ordinate (Brunner & Guzman, 1989; Cousins & Earl, 1992; Garaway, 1995; Green & Southard, 1995; Newman & Cai, 1995; Patton, 1986; Weiss, 1983)	Individual	✓	✓	✓	
Brett, Hill-Mead, & Wu (2000)	No: implicit in text	Yes	Participant observation	Pre-ordinate (Patton, 1997 – but not explicitly stated)	Organizational (site and national-levels)	✓	✓	✓	
Shulha (2000)	No: implicit in text	No	Participant observation	Pre-ordinate (concept drawn from a number of fields of inquiry – collaborative research, cognitive development and structures of learning, student assessment, learning in organizations, knowledge utilization. Example references provided)	Individual and organizational	✓	✓	✓	✓
Russ-Eft, Atwood, & Egherman (2002)	Yes	Yes	Perceptions of respondents, participant observations	Pre-ordinate (Patton, 1997)	Individual and Organizational	✓	✓	✓	
Morabito (2002)	Yes (but called process influence)	No	Participant observation	Pre-ordinate (Patton, 1997; Kirkhart, 2000)	Group and Organizational	✓	✓		
Forss, Rebien, & Carlsson (2002)	Yes	Yes	Participant observation, perceptions of interviewees	Pre-ordinate (Patton, 1997, 1998)	Individual	✓	✓	✓	✓
Preskill, Zuckerman, & Matthews (2003)	Yes	No	Perceptions of respondents (interviews)	Pre-ordinate (Patton, 1997; Preskill, 2000)	Individual	✓			
Kamm (2004)	Yes	Yes	Participant observation, perceptions of	Pre-ordinate (Patton, 1997. Also draws from Patton, 1994;	Individual and organizational	✓	✓	✓	

Study	Operationalization of Process Use			Conceptual Source	Unit of Analysis	Type of Process Use			
	Process Use Defined	Related Concepts Defined	Indicators/ Measures Identified			Learning	Action/ Behaviour	Attitude/ Affect	Other
			participants	Fetterman, 1996; Mertens et al, 1994)					
Sutherland (2004)	Yes	Yes	Interviews with educator participants	Pre-ordinate (Patton, 1997, 1998; Preskill, 2003)	Organizational	✓	✓	✓	
Taut (2005)	Yes	Yes	Researcher observation, participant self-report (ratings)	Pre-ordinate (Patton, 1997; but also Cousins 2003; Forss et al. 2002; Alkin & Taut, 2003)	Individual, group, organizational	✓	✓	✓	

Table 3

What Counts as Process Use?

Learning	Action/Behaviour	Attitude/Affect	Other
▪ Enlightenment ▪ Concept development ▪ Confirming prior impressions ▪ Awareness of key issues ▪ Knowledge development (about evaluation in general, evaluative inquiry, benefits of evaluation) ▪ Expertise development ▪ Research skills, ability to implement elements of evaluation inquiry ▪ Cognitive changes ▪ Increased, shared understanding ▪ Ability to train others ▪ Learning to learn, ability to recognize other learning opportunities ▪ Learning about program, intervention, organization	▪ Non-repeat of previous action ▪ Decision to act based on feedback from evaluator, based on participation in process ▪ Requesting of assistance from evaluator ▪ Modification of practice, integration of evaluative inquiry in work practices ▪ Utilization of evaluation data, results, findings ▪ Utilization of evaluation skills ▪ Behavioural changes ▪ Plan development ▪ Development of indicators, recommendations ▪ Transfer of decision-making power ▪ Acting on other opportunities for learning	▪ Improved morale ▪ Personal growth ▪ Professional growth ▪ Self-examination ▪ Empowerment, belief in ability to influence change ▪ Self-determination ▪ Better understanding, respect of others ▪ Appreciation of evaluation ▪ Sense of ownership ▪ Fostered independence ▪ Role reconceptualization ▪ Enhanced political self-esteem ▪ Increased engagement ▪ Desire to keep using skills	▪ Shared experience ▪ Organized reflection ▪ Social justice ▪ Program/project changes, strengthening of service ▪ Organizational improvement, development ▪ Creation of relationships, developing professional networks ▪ Opportunity (to test out partnerships) ▪ Public declaration of commitment (by being part of evaluation group) ▪ Overall evaluation experience

Culturally Competent Evaluation for Aboriginal Communities: A Review of the Empirical Literature

Jill A. Chouinard and J. Bradley Cousins
University of Ottawa

Much of program evaluation is concerned with understanding and improving social programs so that they are ultimately more responsive and more reflective of program participant needs. At the same time, these programs exist and are embedded within specific social, cultural and historical contexts which impact program development, implementation, and eventual outcomes. Evaluations that attempt to address responsiveness to contextual and cultural specificity are often referred to as culturally competent, culturally responsive, inclusive, multicultural, or cross-cultural, among other terms. While there are no agreed upon terminologies, definitions, or even methodologies, what these approaches all share is the recognition that culture and context matter, and that there are no universally agreed upon rules or abstractions that can be applicable in all contexts (Guba & Lincoln, 2005). The recognition of culture and context thus becomes "an explicit criterion rather than an unspoken expectation" (SenGupta, Hopson, & Thompson-Robinson, 2004, p. 15) in evaluations of this type.

Although culturally competent evaluation has been historically and largely influenced by international cross-cultural evaluations (Hopson, 2003) conducted in developing countries, the growing disparities and increasingly multiracial and multicultural contexts in Canada and the United States is adding to the knowledge base as well. Despite the fact that researchers and evaluators have been working in diverse communities for many years, the specific focus on culture and cultural context in evaluation is nonetheless a more recent phenomenon. Evaluators contributing to the 1985 edition of *New Directions for Program Evaluation* (edited by Patton) for the first time asked how culture and cultural context might impact program evaluation (Hopson, 2003). Almost a decade later, Karen Kirkhart's presidential address at the 1994 American Evaluation Association conference asked that evaluators explore multicultural influences on their work. More recently, the American Evaluation Association formed a Task Force to review the *Program Evaluation Standards* of the Joint Committee from a culturally competent perspective. After significant input from numerous evaluation scholars and practitioners, recommendations were approved for future revisions to the *Program Evaluation Standards* (American Evaluation Association, Diversity Committee, 2004) .[1] At the same time, program evaluation has greatly benefited from the active academic and practical interest in cultural competence in public and mental health and in social work (Lum, 2003; Sue & Sue, 1999).

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[1] To our knowledge the revised version of the Program Evaluation Standards is currently being field tested.

Yet, while there is significant interest in cultural competence in evaluation, and the knowledge base is indeed growing, there is still much work to be done in terms of conducting empirical research that seriously attends to the challenges of culturally competent evaluation. As Hopson (2003) explains, "the challenge is for evaluators to understand how awareness and knowledge of cultural differences in evaluation work can contribute to different kinds of understandings about what evaluation is and what it can be" (p. 3). Empirical research on evaluation can help to meet this challenge. It is therefore our intention that this review of extant empirical literature adds to this vital area of program evaluation by providing critical insight into culturally competent evaluation in Aboriginal communities.[2]

Purpose

The purpose of this paper is to review and synthesize the current empirical literature on cross-cultural evaluation in Aboriginal communities, and to begin to address the recognized lack of critically engaged discussion about research on culturally competent evaluation (Endo, Joh & Cao Yu, 2003; Hopson, 2003; SenGupta et al., 2004). It is our belief that the empirical research on cross-cultural evaluations has sufficiently evolved as to warrant stock taking in the interest of informing ongoing research in this growing area. To provide focus for this review we posed the following key questions:

1. What is culturally competent evaluation? What are the benefits to such practices? (Why bother?) Why does culture matter?
2. What does a culturally competent evaluation in Aboriginal communities look like? What are the relevant findings?

3. What methodological practices have been found to be culturally relevant in Aboriginal communities? What evaluation approaches have been found to be most effective?
4. What is missing in the literature? What gaps remain to be addressed?

Although we do not mean for this review to be exhaustive, we do intend to provide a comprehensive and critical review of the empirical literature on culturally competent evaluation in Aboriginal communities. One of the key assumptions guiding this review is the notion that culture is not a static and homogenous entity (Willging, Helitzer & Thompson, 2006), something that can be reified. Rather, culture is conceived of as a dynamic process in which beliefs and everyday practices are influenced by social transformation, social conflicts, and power relations (Guarnaccia & Rodriguez, 1996, as cited in Willging et al., 2006; Kirkhart, 1995; Kumanyika, 2003). As such, by focusing this review on the empirical research on evaluations in Aboriginal communities we attend to the specificities of culture, as well as to the historical and social domains that help define the dynamics of a cultural group. The primary focus on Aboriginal literature, however, does not imply that all Aboriginal groups are homogenous in any way (Weaver, 1999), but rather that there is a shared cultural, social and political history that is distinct and that must be understood on its own, as well as within the cultural framework of the dominant societal culture.

We now turn to a description of the methods we used to locate and define the sample of studies for review. This description is followed by a section that situates some essential conceptual distinctions necessary to understanding culturally competent evaluation and then a review and synthesis of the empirical studies we located. We end with a discussion about the state of knowledge in the empirical literature and a final section on implications

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[2] The term 'Aboriginal' will be used throughout this document to refer to First Nations, Inuit and Métis people. Members of each of these groups have indigenous cultural heritage in Canada.

from the knowledge base for evaluation practice in community-based Aboriginal programs.

Method

There remain significant gaps in our knowledge about how to integrate notions of cultural context in evaluation theory and practice (Thompson-Robinson, Hopson & SenGupta, 2004), as well as gaps in our knowledge about how to conduct evaluations in Aboriginal communities (Rodriguez, 2002, as cited in White & Hermes, 2005). Our initial search was limited primarily to the literature published in the last ten years, and began with a review of evaluation journals such as the *Canadian Journal of Program Evaluation*, *American Journal of Evaluation*, *New Directions for Evaluation*, *Evaluation and Program Planning*, and *Evaluation*. Bibliographies of key journal articles were perused for relevant citations. The search was further broadened to include key databases, the Educational Resources Information Clearinghouse (ERIC), PsycArticles, CSA Sociological Abstract, PsyINFO, and Medline.

To be included in this review, articles had to be empirical studies of evaluation of community-based programs specifically for Aboriginal people. In many cases, the published article took the form of a reflective narrative that used a specific evaluation as a basis for delving into cross-cutting evaluation issues. The majority of sources that were included came from peer-reviewed journals, academic books, Aboriginal and community-based foundation reports, academic conferences, or committee reports. To help further complement this review of empirical literature, articles discussing evaluations in Aboriginal communities but with a decidedly theoretical (as opposed to empirical) orientation were also included as a secondary source.

The literature search revealed a plethora of references to cultural competence, many of which are in the fields of public and mental health. Keeping the search focused only on articles that featured program evaluation, cultural context, and Aboriginal, Inuit, Native American or American Indian as key search terms, helped us to further refine the search. A total of 15 articles appearing in the period 1997 to 2006 resulted from this initial search. (All but three of the articles were published in the last five years). We read each empirical reference closely to assess the context, the purpose and focus of the study, the theoretical framework guiding or emerging from the study, characteristics of the evaluation approach and methodology used (if applicable), and the findings relevant to evaluations in Aboriginal communities. Table 1 provides a summary of our principal findings.

The majority of studies that we selected were reported by evaluators working in cross-cultural settings, and who were attempting to pursue culturally and contextually relevant evaluations in Aboriginal communities. Many of the reported findings are presented as lessons learned or guiding principles, and were based on evaluator impressions of or reflections on evaluation experiences. Seven of the studies were conducted within the community health field and three were based on evaluations in Aboriginal communities in Canada. Before turning to a review and synthesis of this literature, we will first explore the concept of culturally competent evaluation, what it looks like, as well as how it is enacted in Aboriginal communities. Much of our commentary in this section comes from an integration of the non-empirical, conceptual sources we located.

Tables omitted here for space.

Culture and Context in Evaluative Inquiry

There are many different ways of defining an evaluative inquiry. For the purposes of this review, evaluation will be defined as a "systematic inquiry leading to judgements about program merit, worth and significance, and support for program decision making and knowledge production" (Cousins, 2003; Weaver & Cousins, 2004). This definition, though broad, does provide a sense of purpose and does distinguish evaluation from other forms of social sciences research and inquiry (see Levin-Rozalis, 2003, for a further discussion of these differences). At the same time, it clearly underscores the fact that evaluation is about making "judgements" and about creating knowledge, two points to which we will return shortly. Of interest is that there is nothing in this definition about the program itself, about its context, nor about the people involved in, nor who will benefit from the program. Thus behind this rather stark definition of evaluation are essential methodological questions about the nature of knowledge and reality, values, methods and techniques, and the role of the evaluator. These questions cannot be answered in the abstract, but can only be "negotiated...in

the discretionary space formed by the intersection of an evaluator's theory and the particular characteristics of the presenting contexts" (Greene, Lipsey, Schwandt, Smith, & Tharp, 2007, p. 111). It is precisely within the space between the program context and the evaluator's perspective that culture, and ultimately culturally competent evaluation arises. According to Hughes, Seidman and Williams (1993), culture and research intersect in a number of places, influencing us (and what we observe) as researchers, as well as in the meanings and interpretations participants connect to the context and to the research

instruments. Culturally competent evaluation is thus "a matter of surfacing the culture-based assumptions of both those being evaluated and those doing the evaluation" (Nelson-Barber, LaFrance, Turnbull, & Abruto, 2005, p. 62). This requires that we critically examine our own individual values, assumptions and biases (Nelson-Barber et al., 2005; SenGupta et al., 2004), our "cultural ethnocentrism" (Reagan, 1996, p. 4), in order to more fully appreciate the dynamic cultural context in which evaluation takes place.

Enhanced cultural understanding and a commitment to cultural sensitivity, however, is not enough (Senese, 2005), as we need to

develop a far more profound appreciation of the impact of culture and context in evaluation than a mere appreciation of diversity can render. If we accept that knowledge and knowledge construction are "inherently culture bound" (Lather, 1991), it thus becomes imperative that evaluation practices move beyond a mere awareness of plurality and cultural differences to a more enhanced understanding of "related systemic processes of asymmetric power relations and privileges" (Symonette, 2004, p. 108). Culture, within this broader understanding, thus becomes thought of less as a local manifestation and more as a concept within a larger system of domination (Hall, 1999).

Reflecting upon power differences is significant, particularly when working in communities where there is history of power imbalance and dislocations. As Nelson-Barber et al. (2005) remind us, "simply inviting everyone to the table does not ensure that the power differential recedes" (p. 71). The notion of power becomes even more salient when working in Aboriginal communities, as the historical factors that created the power imbalances and inequities between Aboriginal communities and the dominant culture persist to this day. Contextual factors and cultural considerations must thus move beyond mere demographic descriptions of communities and program, to the less vocalized issues of power, racism, and economic and class disparities that continue to define our society (Senese, 2005; SenGupta et al., 2004). As Willging et al. (2006) challenge us, "the broader social context in which such programs take form requires our analytic attention" (p. 139).

Equally important is the recognition that evaluation is ultimately about creating knowledge, an output that is itself culturally and contextually-based (Hopson, 2001; LaFrance, 2004; Scheurich & Young, 2002). Knowledge production, according to Gordon et al. (1990), has been historically dominated by "communicentric bias," which they define as

"the tendency to make one's own community the centre of the universe and the conceptual frame that constrains all thought' (p. 15). To move cultural competence in evaluation beyond the more legitimate and accepted vocabulary, beyond mere words, we must appreciate that there are no resonant universal social science methodologies and no neutral knowledge generation. Knowledge, as Foucault (1980) suggests, is not only infused with power, it is an effect of power.

The impact of culture and context on evaluation, as well as the dynamic of power, "race" and the production of knowledge discussed above, helps underscore the complexities and interconnectedness of culture and context in the evaluative endeavour, particularly in more culturally distinct communities. For the purposes of this review, the following definition of culturally competent evaluation, as elaborated upon by SenGupta et al. (2004) in a recent edition of *New Directions for Evaluation*, provides a provocative and useful depiction:

> Cultural competence in evaluation can be broadly defined as a systematic, responsive inquiry that is actively cognizant, understanding, and appreciative of the cultural context in which the evaluation takes place; that frames and articulates the epistemology of the evaluative endeavour; that employs culturally and contextually appropriate methodology; and that uses stakeholder-generated, interpretive means to arrive at the results and further use of the findings (p. 13).

This definition of cultural competence in evaluation is useful insofar as it encompasses both a practical and a theoretical orientation, emphasizing responsiveness to the cultural context, methodological and epistemological considerations, and enhanced evaluator and stakeholder roles.

Review and Synthesis of the Empirical Literature

In this section we provide an overview and an integration of the literature we located for this review.

Description

As previously stated, only articles that make direct use of empirical research and pertain directly to program evaluation in Aboriginal communities have been selected for this analysis. The more theoretically oriented literature will be included as a secondary source to supplement the empirical literature. The 15 empirical articles selected for this review were published between 1997 and 2006, with the majority appearing between 2002 and 2006. Of these, 12 of the evaluations (on which the reflective accounts are based) were conducted from a cross-cultural perspective (Aboriginal and non-Aboriginal people working together); of the remaining three studies, one was conducted by an Aboriginal evaluator and two were conducted by evaluators in the field of public health.

All of the articles were based on participatory research methodology; of these, two were based on Participatory Action Research (e.g., Caldwell et al.,2005), two on Tribal Participatory Research (e.g., Fisher & Ball, 2002), one on Community Based Participatory Research (McKenzie, 1997), one on Culturally Responsive Evaluation (Peter, 2003), two on Empowerment Evaluation (blended) (e.g., Robertson, Jorgenson & Garrow 2004), and one on Collaborative Participatory Action Research (White & Hermes, 2005). The remaining eight studies were merely designated as participatory or collaborative evaluations, with no further methodological refinement provided. The purpose of the articles included providing lessons learned and guiding principles, describing culturally responsive programs and their evaluations, and developing culturally responsive and relevant evaluations.

Synthesis

As mentioned, all of the research studies included in this review are based on participatory principles, an orientation to research that has been found to be more responsive and germane to cultural context at the community level than have traditional or mainstream approaches to evaluation (Israel et al., 2003; LaFrance, 2004; Nelson-Barber et al., 2005). As Robertson et al. (2004) pointed out, in the participatory approach "people cease being relatively passive objects of research and assume active control over the research process. They generated the questions, interpret the data, and importantly, use the results of research to develop action plans aimed at transforming their communities" (p. 520). The participatory process thus enables people at the community level to become active participants in the research process and to cease being "considered as passive agents of someone else's vision" (Potvin, Cargo, McComber, Delormier, & Macaulay, 2003, p. 1301).

Participatory Variations

Before turning to some of the more salient issues in the literature, it is worthwhile to take a brief look at some of the distinctions in participatory approaches noted in these studies. Of interest is that many of the challenges and concerns raised, as well as lessons learned, have little to do with the methods evaluators used (the mechanics of the specific participatory approaches), though some of these were elaborated. Rather, challenges had mostly to do with the processes of developing participatory evaluation approaches in Aboriginal communities. While this does potentially further confuse one participatory approach with another by failing to distinguish among methodological differences, it provides rich data

on the cross-cultural experiences of evaluators in Aboriginal communities.

Tribal Participatory Research (TPR), as elaborated by Fisher and Ball (2002, 2005), is intended to be a refinement of community-based participatory research (CBPR), and is designed specifically for American Indian communities. The emphasis of TPR is on developing a collaborative process between researchers and community members and on establishing an infrastructure within the community to enable future research (Fisher & Ball, 2002, 2005). Letiecq and Bailey (2004) applied Fisher and Ball's (2002) TPR process to a cross-cultural evaluation of an American Indian youth-based initiative to explore the "outsider" perspective and provide lessons learned. Specifically, they applied the four principles of TPR, which are establishing tribal oversight of the project, using a cultural facilitator, training and employing community members as project staff, and using a culturally specific intervention and assessment (Fisher & Ball, 2002; Letiecq & Bailey, 2004). The four principles of TPR are based strongly on a "community-up" approach, and are designed "to ensure that the project would be culturally tailored and specific and would meet the needs of the community as determined by the community" (Letiecq & Bailey, 2004, p. 346).

Similarly, using a participatory action research (PAR) process, Caldwell et al. (2005) sought to develop a "culturally anchored methodology" in order to enable the "re-traditionalization" of community norms. At the beginning of the evaluation, they developed a "research code of ethics", a process designed to enable evaluators and community members to jointly develop a partnership to help guide the evaluation. Moreover, in an effort to culturally anchor the evaluation process, Potvin et al. (2003) developed a similar formalized partnership, which they explained "helped identify those aspects of the project likely to become obstacles to collaboration" (p. 1,299). Whether the evaluation process included such

formalized partnerships or not, all of the evaluations included negotiation and collaboration between outside researchers and Aboriginal communities concerning roles and responsibilities. Thus, despite the different names given to the evaluation approaches, most of the cross-cultural evaluations reviewed did develop processes to enable relationships between the community and the evaluator and to further facilitate the participatory process.

Cultural Context

Although the participatory approach as described in the literature did help with bridging the cultural gap between researchers and community members, an equally important consideration was the need to firmly ground the evaluation within the cultural context of the community. The literature clearly indicates that Aboriginal communities must be given the opportunity to decide the research priorities for their communities, set research agendas, and determine critical areas (Thomas & Bellefeuille, 2006). As "culturally bounded communities" (LaFrance, 2004), they need to be able to build culturally specific and locally meaningful constructs (Caldwell et al., 2005) and to integrate culture in all things. A number of the studies also underscored the fact that consideration must also be given to tribal, cultural and linguistic differences between communities (Letiecq & Bailey, 2004; Caldwell et al., 2005; Willging et al., 2006). Reflecting upon an evaluation conducted in eight different Aboriginal communities, Running Wolf et al. (2002) noted that not only do community needs differ from one to the other, but communities also interpret and enact culture differently as well, all of which Weaver (1999) pointed out makes it extremely difficult to generalize findings from one community to the other.

Strength-Based Focus

The need to maintain a strong cultural focus is also apparent in the emphasis put on developing community-based measurement protocols and defining culturally appropriate standards of excellence (Caldwell et al., 2005). An important finding reported in a number of the studies is that outcomes must not be based on a deficit model but rather based on the strengths, as well as the culturally protective factors found in the community (Caldwell et al., 2005; Novins, King & Son Stone, 2004). As Thomas and Bellefeuille (2006) explained:

> For many First Nations and Aboriginal peoples, healing means dealing with approaches to wellness that draw on the culture for inspiration and means of expressions. Hence, acknowledging the existing frameworks of healing and knowledge within Aboriginal communities...is needed (p. 11).

Enabling Aboriginal communities to develop a strength-based approach to evaluation rather than falling back on the negative stereotypes of the past, thus provides a more culturally and historically positive grounding for future evaluations. As Jolly (2002) concludes, "we must understand and be responsive to the nuances of culture without lowering our expectations by creating measures that reinforce stereotypes" (p. 20). At the same time, evaluation and outcome indicators must contribute to community empowerment and not be introduced merely as measures to ensure external accountability (McKenzie, 1997).

Culturally Relevant Outcome Measurement

Developing culturally relevant outcome measures and indicators in Aboriginal communities has also received considerable attention in the literature, as it challenges Western-based notions about what is accurate, reliable, and valid evaluation research (Letiecq & Bailey, 2004). As Smylie et al. (2003) pointed out, "Western science has been described as reductionist, linear, objective, hierarchical, empirical, static, temporal, singular, specialized, and written" (p. 141), all very different from the more holistically based Aboriginal epistemology. Aboriginal people "generally do not fragment experience into mutually exclusive dichotomies, but tend rather to stress modes of interrelatedness across categories of meaning, never losing sight of the ultimate whole" (Brown, 1982, cited in Christensen, 2002, p. 31). As a result, in Aboriginal communities, outcome indicators cannot be so neatly demarcated and contained, as outcomes are often integrated into the culture of the broader community (Thomas & Bellefeuille, 2006; Weaver, 1999; Willging et al., 2006), as well as historically and contextually interrelated (Fisher & Ball, 2005), making it expressly difficult to determine evidence-based progress (as is often required by funding agencies).

Differences in Western and Aboriginal epistemological constructs, in "ways of knowing", thus require more elaborated strategies for developing culturally and contextually appropriate approaches to outcome measurement. A number of studies (Novins et al., 2004; Weaver, 1999), for example, found that all data collected must benefit the whole community, thus underscoring the need to measure community level outcomes rather than more discrete individual outcomes. Fisher and Ball (2002, 2005) also noted the emphasis on the family's role in determining children's outcomes, thus indicating the need to look at the relationships between children and their immediate and extended families, a point that is further corroborated by Running Wolf et al. (2002). Robertson et al. (2004) observed that despite the outcomes selected, there is nonetheless difficulty reducing objectives and activities to specific timelines, making it "necessary to constantly assess the usefulness of evaluation indicators, including better or different indicators as they present themselves, adjust if the system changes make the data

irrelevant, and guard the integrity of the data despite a politically changed environment" (pp. 516-517). Fisher and Ball (2005) further suggested that changes in outcome indicators "might not be easily achieved until key contextual factors have been addressed" (p. 50). As the literature details, there are a number of challenges to conducting evaluations in Aboriginal communities, particularly in determining culturally relevant and meaningful indicators that truly reflect the programs and the communities they serve.

Inquiry Methodologies

To integrate Aboriginal ways of knowing into the evaluation, a number of the studies reviewed (McKenzie, 1997; Thomas & Bellefeuille, 2006; Weaver, 1999; White & Hermes, 2005) reported the use of qualitative methods, in the form of focus groups and interviews, as a means of engaging participants in a reflective dialogue about the issues that matter to them and to their communities. Thomas and Bellefeuille (2006) also pointed out that qualitative methods "provide a sensitive mode of inquiry more in line with the cultural oral traditions and non positivist epistemological worldview of Aboriginal people" (p. 4). Recent developments in the use of technology also show much promise for use in this context (Johnston, 2005; 2007). Budak and Taylor (2007), for example, illustrated the use and benefits of an approach called 'photovoice' in an evaluation of Aboriginal justice programs. Photovoice is a technique that engages community members in taking photographs of meaningful or salient phenomena, relative to intended outcomes or other evaluative issues. As a participatory process, the use of a qualitative approach in cross-cultural evaluations further provides the opportunity for non-Aboriginal people to learn about the Aboriginal cultural context.

Interconnectivity with Broader Community

Culturally competent evaluations in Aboriginal communities thus require not only an understanding of the community itself, and of Aboriginal epistemological "ways of knowing", but also an appreciation of the interconnectivity and relationship with the broader community, one that is situated within a historical context. A number of the studies do note that for authentic collaborative and participative evaluations to take place, there must be an active recognition that there is a history of exploitation and colonialization between Aboriginal communities and the dominant culture (of which external evaluators would generally be members) that cannot be ignored. As Letiecq and Bailey (2004) explain:

> Perhaps one of the more salient lessons learned has been the importance of relationship building and the need to reaffirm such relationships often. The historical injustices experienced by tribal communities and the misuse of tribal knowledge requires constant dialogue and frequent meetings to ensure cross-cultural understanding and appropriateness (p. 354).

Thus while many of the studies did acknowledge the historical legacy of Aboriginal communities and the need to consider the historical context in the process of evaluation, as well as the need to explore our own cultural biases, only Letiecq and Bailey (2004) and Senese (2005) actively noted the existence of unequal power differentials as an issue in developing authentic cross-cultural relationships.

This draws to a close our synthesis of the studies we located. We now turn to a discussion of these findings and their implications for ongoing research on cross-cultural evaluation in Aboriginal communities.

Discussion

Beyond a review and synthesis of the empirical literature on cross-cultural evaluation in Aboriginal communities, the purpose of this paper is to further our understanding of what it means to include culture and cultural context in an evaluation, in a setting where questions of program merit and worth help surface questions of values, epistemology, and politics. This review, though not exhaustive, does provide a current picture of the empirical research on evaluation in Aboriginal communities both in Canada and in the United States. All of the 15 studies discussed provide thorough accounts of participatory and collaborative evaluations in Aboriginal communities, with a strong emphasis on methods. The studies also provide examples of sincere attempts to fully engage community members in designing and implementing evaluations, and in learning and building new knowledge to ameliorate their lives. There is much that we can learn from these accounts of evaluation studies, particularly in terms of building collaborative relationships with Aboriginal people, the use of Aboriginal knowledge to evaluate programs, the relationship between culture and context in evaluation, and methods best suited to Aboriginal "ways of knowing."

At the same time, this review raised many questions from an evaluative perspective about validity, utilization, participatory inquiry, power dynamics and its effects on relationships, and the perspectives of the people themselves whose communities and whose programs are the focus of evaluation. All of the articles were written from emancipatory and constructivist perspectives, with the emphasis on understanding people's construction of meaning, their lived experiences. This emphasis, while necessary in a cross-cultural context, must strike a balance between evaluation as a transformational and emancipatory project and evaluation as a form of systematic inquiry related to questions of judgment, and program

merit and worth. In evaluation, particularly in cross-cultural evaluation, questions of validity and reliability of results, as well as questions concerning process use and the utilization of results, remain important to advancing knowledge *about* evaluation, and more specifically *about* culturally competent evaluation. Moreover, the use of a participatory or collaborative approach, while necessary in cross-cultural settings, should not obscure a more thorough analysis of power and politics within an evaluation context, as power differentials often persist despite the use of more inclusive approaches. What follows is a brief discussion about validity, power and politics, utilization, and collaborative approaches to evaluative inquiry within cross-cultural settings.

Validity Considerations

One of the persistent questions is how culturally competent evaluation that is grounded in the community context, in indigenous ways of knowing, and in a participatory approach, is more likely to generate accurate and valid findings? Cousins and Whitmore (1998) identified pragmatic, political and philosophical justifications for participatory and collaborative approaches to inquiry. The third justification, specifically enhanced meaning and understanding, relates the notion of validity in terms of evaluation knowledge, findings and data and practitioner perspectives. As has been noted, the lack of understanding about the interaction between cultural competence and program implementation and impact can "jeopardize the validity of the evaluation" (Nelson Barber, 2005, p. 61) and can "lead to misrepresentations of social reality" (Madison, 1992, p. 36). Considerations of validity in evaluation, particularly in culturally competent evaluations, has the potential to shed light on the relationship between culture, context and program outcomes, all of which would help further our understanding about culturally

competent evaluation. Kirkhart (1995) develops the notion of "multicultural validity", a construct designed to assess the accuracy, soundness and appropriateness of our understanding across-cultural contexts. Similarly, Stanfield (1999) considers "relevance validity" as a means of assessing whether the data represents the realities of the community. Both validity constructs are particularly salient given the power inequities and the potential for misunderstanding between evaluators and Aboriginal communities. As Kirkhart (2005) reminds us, "as with all knowledge, evaluative understanding and judgements are culturally contextualized" (p. 21), and thus employing validity as a construct enables evaluators to more adequately attend to issues of power and privilege. For Lather (1993), who has written extensively on validity in social research, "it is not a matter of looking harder or more closely, but of seeing what frames our seeing-spaces of constructed visibility and incitements to see what constitute power/knowledge" (p. 675). Considerations of validity thus have the potential to provide an enhanced understanding of the cultural context and may help to surface tensions inherent in cross-cultural evaluations.

Power and Politics

We need to articulate power differentials epistemologically and methodologically, recognizing that despite the collaborative methodologies and the methods we enact in good faith, we are not merely different but unequal, with power continuing to favour the dominant, and more privileged social class. As such, we need to engage in a more substantive discussion about power and politics in cross-cultural evaluation using participatory methods, particularly in communities with a continuing history of exploitation. This point has further merit if we consider the very different ways of knowing between Aboriginal communities and the West, and if we consider the prominence of Western scientific knowledge claims through

the centuries. As Hopson (2003) points out, "competence in a multicultural context will involve recognizing the "epistemological ethnocentrism" that privileges the dominant worldview and values of the white middle class" (p. 2). While participatory approaches to evaluation may help bring all stakeholders to the table and may even help ameliorate *some* power differentials, challenges of creating meaningful dialogue between the powerful and less powerful persist (Mathie & Greene, 1997). Gregory (2000), argues that despite dealing with power differentials at a methodological level, through stakeholder agreements and terms of reference, for example, it is only through a more overt consideration and acknowledgement of power that issues surrounding participation and inherent imbalances can be addressed. As SenGupta et al. (2004) conclude, "addressing issues of power in evaluation constitutes a significant task" (p. 13).

Use of Findings and Process

While a culturally and contextually grounded evaluation may be motivated by social justice, the justification for a culturally and contextually grounded evaluation may also have to do with more practical benefits such as problem solving and program improvement. It might be beneficial to engage in a discussion about evaluation use as a pragmatic (or practical) rationale for a focus on culture and context in evaluation (Shulha & Cousins, 1997), as well as for the selection of a participatory approach, particularly given the link to capacity building sited in the literature (Cousins, Goh, & Clark, 2005). Linking culturally competent evaluation to the extant literature on evaluation use, participatory evaluation, and capacity building studies, for example, can help further our understanding about the relationships between culture, context, and community, and about what is relevant to the community, what processes work well to build capacity among community members, and what happens to the

results of the evaluation (did the community members learn? What did they learn? What did they do with what they learned?).

Specification of Collaboration

All of the empirical studies considered in this paper utilized a participatory or collaborative approach to evaluation, an approach that is more responsive to culture and context at the community level. That said, there are discernable differences at the methodological and philosophical levels among evaluations based on collaborative and participatory approaches. Although one might expect some overlap in ideological and methodological characteristics among all types of collaborative and participatory approaches to evaluative inquiry (Cousins & Whitmore, 1998) (and perhaps all the more so given the common goal of cultural and contextual competency) it might be argued that discernable and notable differences in purpose and form would emerge given the many types of participatory and collaborative inquiry which exist. The blending and juxtaposition of one participatory or collaborative method with another may fail to provide the clarity required to "extend knowledge about the circumstances and conditions under which particular approaches are likely to be effective" (Cousins, 2005, p. 183). At this early juncture in advancing and practicing culturally competent evaluation there needs to be more discussion about methodological and process issues as we begin to build a knowledge base and learn from other experiences in the field. The conceptual tools developed by Cousins and Whitmore (1998) and refined by Weaver and Cousins (2004) could help evaluators in cross-cultural contexts to render in a more explicit way than is presently the case considerations about interests (political, pragmatic, philosophic) and form (control, diversity, manageability, power dynamics, depth of participation) in collaborative inquiry.

The foregoing considerations are of particular interest to evaluation practice. To conclude the article we now turn our attention to research on evaluation. Specifically, we suggest some directions for research as we begin to make sense of where we are and of where we would like to go in the future.

Agenda for Future Research

The current discussion provides a good summary of cross-cultural evaluation in Aboriginal communities and enables us to take stock of the research on evaluations of this type. At the same time, it helps refine our understanding of what it means to conduct culturally sensitive or responsive evaluations in Aboriginal communities and helps us map future research directions. Based on the current review and synthesis of the literature, there are substantive and methodological issues warranting further study. More substantively, all of the studies reviewed used participatory approaches to evaluations in Aboriginal communities, developing collaborative methodologies based on Participatory Action Research (PAR) principles in order to more fully involve Aboriginal people in the evaluation process and thus underscoring the need to ground the evaluation in the cultural context of the community. While these approaches would appear to have significant merit, the tension between the evaluation needs of diverse stakeholders, that is, between Aboriginal community members and government funders, between outside evaluators and community members, and between evaluation as capacity building and evaluation as a means of judging program merit, worth and significance, was underreported in the literature. We need to further study what role culture plays in mediating these relationships, both in the field and at the evaluation table. We also need to engage in discussions about power differentials amongst evaluators and community members, particularly given the participative and

collaborative approaches used in cross-cultural evaluations. We also need to better understand the relationship between power, knowledge, evaluation use and questions of validity.

From a methodological perspective, all of the literature reviewed was in the form of case studies and narratives, written primarily from constructivist and social justice orientations. While all of the studies provided many valuable and informative lessons for future evaluation in Aboriginal communities, there was a lack of substantive discussion about epistemological issues, which potentially have both extrinsic and intrinsic manifestations in evaluations involving alternative ways of knowing and potential challenges to Western epistemological worldviews. In cross-cultural research and evaluation, further epistemological discussion, including possible relationships to notions of culture, for example, would help advance research in Aboriginal communities. Questions about why and how culture matters remain outstanding. At the same time, we need greater methodological and philosophical clarity surrounding the use of participatory and collaborative approaches to cross-cultural evaluation. We need to understand which participative methods help advance notions of culture in evaluation, how they are effective, and how we can continue to advance such participatory approaches for further research and evaluation.

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