This chapter recasts evaluation use in terms of influence and proposes an integrated theory that conceptualizes evaluation influence in three dimensions—source, intention, and time.

Reconceptualizing Evaluation Use: An Integrated Theory of Influence

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Use of evaluation has been a concern since the earliest days of the profession. Although some challenge the centrality of use in the identity of the profession (see Henry, this volume; Mushkin, 1973; Scriven, 1991), the primacy of use as a focus of evaluation is well recognized. It has bounded theories of evaluation, marked debates, and framed meta-evaluation inquiry. Historically, the evolution of evaluation use has been marked by an increasing recognition of its multiple attributes (Cousins and Leithwood, 1986; Johnson, 1998; Leviton and Hughes, 1981; Preskill and Caracelli, 1997; Shulha and Cousins, 1997). Nevertheless an inclusive understanding of the influence of evaluation has been hampered by the scope and language of past approaches. This chapter argues that it is time to step back and reconceptualize the terrain of evaluation’s influence by mapping influence along three dimensions—source, intention, and time. Each of these is defined, justified, and illustrated in the sections that follow, acknowledging historical antecedents. The chapter highlights related issues raised by the threedimensional conceptualization and closes with reflections on the potential utility of an integrated theory of influence.

Historical Context

Evaluators have shown a long-standing interest in the nature and extent of their works impact. Historically, conversations about influence have occurred under several themes—internal and external evaluation, evaluator roles, evaluation as a profession, ethics and values, and use of results (Anderson and Ball, 1978; Suchman, 1967). As the profession grew, these
conversations became disconnected and our understanding of influence fragmented. The terms utilization and use were associated with the data-based influence of evaluation findings. When the narrowness of this perspective was recognized, the initial response was to bring other forms of influence under the umbrella of use; for example, the term use was attached to the influence of the evaluation process on persons and systems being evaluated (process use). However, this has proven to be only a partial solution, one that in some ways has perpetuated the construct underrepresentation that it was intended to correct (Messick, 1995).

First, the term use is an awkward, inadequate, and imprecise fit with non-results-based applications, the production of unintended effects, and the gradual emergence of impact over time. Second, when the history of influence is traced from the perspective of results-based use, the historical roots of other dimensions of evaluation impact are erased. Process use, for example, incorrectly appears as an afterthought, a late arrival. Third, fitting other types of influence under a results-based paradigm continues to privilege the concept of results-based use. Other types of use are secondary, “tacked on,” or seen as important primarily in the service of results-based use. This chapter argues that one cannot clearly perceive the influence of evaluation through a lens that holds results-based influence at its center, even though the lens may be expanded to include additional viewpoints (see Figure 1.1). A clearer vision requires a reconceptualization in which influence can be examined from multiple vantage points (this chapter identifies three), a framework in which previous understandings of results-based use can be repositioned and examined in a broader context.
As the citations in the following sections reflect, the various pieces of this model have been recognized and discussed before with varying degrees of emphasis, clarity, and detail. What is new here, however, is the integration of these pieces into a model that unites prior discussions. An integrated theory stands to move the field ahead insofar as it bridges previously fragmented conversations.

**Importance of Language**

The language of evaluation is itself an important topic of inquiry and reflection (Hopson, 2000). As Patton (2000) summarizes, “The evaluation language we choose and use, consciously or unconsciously, necessarily and inherently shapes perceptions, defines ‘reality,’ and affects mutual understanding” (p. 15). He further notes that a full analysis of an issue such as evaluation use necessarily leads us to consider the words and concepts that undergird our understandings and actions. The language shift proposed in this chapter is intended to broaden conversations and deepen communication.

This is not the first time that the field has questioned the symbolism of language and sought more accurate terminology in discussing the impact of evaluation. Weiss sought to align symbolic meaning with construct representation in suggesting a linguistic shift from utilization to use. In 1980, she noted the diffuse ways in which research knowledge affects policy, commenting, “Its influence is exercised in more subtle ways than the word ‘utilization’—with its overtone of tools and implements—can capture” (p. 381). Her 1981 chapter went further. In it, she suggested that the term utilization embodies an inappropriate imagery of instrumental and episodic application and should therefore be abandoned. I strongly share her concern for selecting an accurate term that does not inappropriately constrict our understanding of the impact of evaluation; however, I disagree that the term use is a significant improvement over utilization. Not only are both terms instrumental and episodic, but they also imply purposeful, unidirectional influence. This chapter argues that in order to examine the question, How and to what extent does evaluation shape, affect, support, and change persons and systems? one must step back from a narrow construal of use and rejoin earlier broad-based conversations. A broader construct than use alone is needed to represent this integration—one that does not privilege results-based use over influence stemming from the evaluation enterprise itself, one that does not chronologically limit our vision of the effects of evaluation, one that looks beyond the sight line of our intentions. Toward this end, this chapter purposely shifts terminology—from use to influence—in proposing an integrated theory. The term influence (the capacity or power of persons or things to produce effects on others by intangible or indirect means) is broader than use, creating a framework with which to examine effects that are multidirectional, incremental, unintentional, and noninstrumental, alongside those that are unidirectional, episodic, intended, and instrumental (which are well represented by the term use). If we are truly interested in the effects of
evaluation beyond the impact of the findings of the study, we need a conceptual framework that helps us see both the intended, immediate, results-based use (see the upper right-hand front segment of Figure 1.2) and other possible effects in the same picture.

An Integrated Theory of Influence

An integrated theory of influence incorporates three dimensions—source of influence, intention, and time frame. Each dimension is subdivided into levels (see Figure 1.2). These subdivisions are admittedly somewhat arbitrary. Source, intention, and time may be more accurately characterized as continua, reflecting gray areas that fall between the levels. Source of influence refers to the active agent of change or the starting point of a generative process of change (Henry and Rog, 1998). Two levels address influences associated with the evaluation process plus influences associated with the results of evaluation. Intention refers to the extent to which there is purposeful direction to exert a particular kind of influence through the evalu-
ation process or findings. It reflects the importance of considering both the intended and unintended influence of evaluation. The division of the third dimension, time, into immediate, end-of-cycle, and long-term influence reflects the need to recognize influence during and immediately following the evaluation cycle as well as effects that are visible in the future. These three dimensions and their historical antecedents are summarized in the following sections.

**Source of Influence.** The first dimension addresses the evaluation referent that is presumed to exert power or influence on individuals, organizations, or broader decision-making communities. Historically, the influence of evaluation was framed in terms of the use of results (Johnson, 1998; Shulha and Cousins, 1997). There was a parallel literature that concerned itself with the interpersonal influence of the evaluation process, but these two streams were not joined until the "discovery" of process use (Patton, 1998). Process use first emerged as a means of facilitating results-based use and then came full circle to be treated as a source of influence in its own right. However, remnants of this evolution that remain, reflected in the language of use, create conceptual problems. Process use is often erroneously tacked on to the recognized typology of results-based use rather than being viewed as an alternate typology in its own right. The linguistic shift from use to influence creates a framework for parallel treatment of the two dimensions, reflected in this model.

**Results-Based Influence.** Early attention to use of evaluation stemmed from a desire to maximize the positive social impact of evaluation, coupled with concerns over the perceived nonutilization of evaluation results (Ciarlo, 1981). Whether use was examined from the perspective of the policy-shaping community (Cronbach, 1982; Cronbach and Associates, 1980), the individual users, the decisions made, the organization being evaluated, or the reports issued (Weiss, 1981), the focal points of reference were the information produced by an evaluation and the data-based conclusions drawn. Cousins and Leithwood (1986) preface their review of empirical research on evaluation utilization with a definition of evaluation results as "any information associated with the outcome of the evaluation; for example, data, interpretations, recommendations; such information could be communicated at the completion of the evaluation or as the evaluation was proceeding" (p. 332). Although this definition clearly sets the stage for either formative or summative results-based use, early empirical emphasis was on summative use. Results-based use was first viewed in terms of instrumental use—direct, visible action taken based on evaluation findings (Rich, 1977). This narrow conceptualization quickly broadened to include conceptual uses of results, such as enlightenment and demystification, which captured cognitive impact on appreciations or understandings that did not necessarily lead directly to change in overt behavior (Rich, 1977; Weiss and Bucuvalas, 1980). A third type of results-based use addressed the role of evaluation findings in advocacy, argument, and political debate.
(Greene, 1988a; Knorr, 1977; Leviton and Hughes, 1981; McClintock and Colosi, 1998; Owen, 1992, cited in Johnson, 1998; Shadish, Cook, and Leviton, 1991). Various labeled legitimative use, symbolic use, political use, and persuasive use, this application explicitly focused on using evaluative information to convince others to support a position or to defend from attack a position already taken. Together these three vectors of use have delimited the conceptual landscape of results-based influence.

Process-Based Influence. Not all of evaluation’s influence emanates from the formative or summative reporting of results. Sometimes the primary influence centers around the process of conducting the evaluation itself. Though the term process use did not appear in evaluation literature until the late 1980s, attention to the impact of the evaluation process can be traced to early literature on the change agent roles of the evaluator, to action research, and to models such as transactional evaluation, which emphasized the interactions between evaluators and open systems (Anderson and Ball, 1978; Argyris, Putnam, and Smith, 1985; Caro, 1980; Rippey, 1973; Rodman and Kolodny, 1972; Tornatzky, 1979). The roots and evolution of process-based influence are particularly visible in the history of participatory evaluation models (Brisolara, 1998).

Process use first emerged in the utilization literature as a means of facilitating results-based use. Greene’s focus (1988b), for example, was on creating conditions conducive to results-based utilization, rather than on the intrinsic effects of the evaluation process itself. Subsequent treatments of process use emphasized its value independent of results-based use (Whitmore, 1991). Patton (1997) characterizes process uses as “ways in which being engaged in the processes of evaluation can be useful quite apart from the findings that may emerge from those processes” (p. 88, emphasis added).

Greene (1988b) posits three dimensions of process-based influence—cognitive, affective, and political. The cognitive dimension of process use refers to changes in understandings stimulated by the discussion, reflection, and problem analysis embedded in the evaluation process. Although process use may involve an instrumental component (as when reflection leads to a decision or action), the cognitive dimension focuses on enhanced understandings of the program among participants in the evaluation process. The affective dimension is more personally connected to the participants themselves. This dimension addresses the individual and collective feelings of worth and value that result from the evaluation process. Although Greene (1988b) construes affect as having psychological connotations of self-worth, other interpretations of affect are also possible (for example, feelings about evaluation, feelings about the program itself). The political dimension addresses the use of the evaluation process itself to create new dialogues, draw attention to social problems, or influence the dynamics of power and privilege embedded in or surrounding the evaluand. Recent models that position evaluation as an explicit intervention to modify program operations or to support program outcomes underscore the significance of the politi-
cal dimension of process influence (Fetterman, 1994; Patton, 1998). These three types of process-based influence may work together. Shulha's discussion (this volume) of what evaluators themselves learned from participating in evaluative inquiry contains cognitive, affective, and political overtones.

**Summary.** The first dimension of an integrated theory of influence, source of influence, directs attention to the element of evaluation that is presumed to generate change. Broadly defined, these two sources of influence are the process of evaluation and the results that are generated. Particular models of evaluation may well respect both types of influence; however, many models give differential emphasis to the two sources of influence, and some focus almost exclusively on one source. Although typologies of use have developed within each source of influence, these distinctions should not overshadow the connections between process-based influence and results-based influence. Not only may the two types of influence be combined in a single logic model (see, for example, Greene, 1988b), but the subcategories within each source may be interrelated. Anderson, Ciarlo, and Brodie (1981), for example, discuss the affective dimensions of results-based use, whereas Greene (1988b) alludes to the instrumental impact of process use. In this volume, the structure of Henry's argument illustrates an implicit bridge between results-based and process-based use. The main focus of his chapter is results-based influence, but interestingly the crux of his argument for agenda setting—that evaluations can be useful in raising an issue—necessarily occurs during process use.

**Intention.** Intention is the second dimension of an integrated theory of evaluation influence (Kirkhart, 1999). Intention refers to the extent to which evaluation influence is purposefully directed, consciously recognized, and planfully anticipated. Most visible are the intended influences that are explicit in the purpose of the evaluation, in the theory employed, and in the evaluator-client contract. Latent purposes and covert evaluation agendas may also reflect intent, but these intentions may be more difficult to identify. Unintended influences capture the unforeseen impacts of evaluation on individuals and systems, often through unexpected pathways. Any given evaluation may have intended influence only, unintended influence only, or a mix of the two. Mapping both intended and unintended influences is essential to a full appreciation of evaluation impact.

The intent to influence (variously termed intention and intentionality) has figured significantly in the conceptualization of evaluation use. It is one of the early dimensions identified in building an integrated theory of influence (Kirkhart, 1995). Under other theories of use, it marks the boundary between use and misuse of evaluation (Alkin, 1990; Alkin, Daillak, and White, 1979; Christie and Alkin, 1999). The question that defines this second dimension of influence is, What are the intentions of the evaluator, client, and other key stakeholders concerning the influence of evaluation? Intention may be further deconstructed into three aspects—the type of influence that is desired or anticipated; who is to be influenced; and the per-
sons, processes, and findings that are expected to exert influence. Though
the first two are often collapsed, separate reflection facilitates identifica-
tion of unintended influences.

Intended Influence. Evaluation may be purposefully directed to exert
influence through either the process itself or the results produced. Patton's
(1997) notion of primary utilization, intended use by intended users, marks
a direct path between intention and influence. Historically, the most com-
monly envisioned scenario is results based: potential users of evaluation
information are identified early in the evaluation process, and their infor-
mation needs shape the evaluation, from the questions posed to the data
collected to the ways in which findings are communicated, maximizing
results-based use. However, there may be a similarly explicit intention to
influence organizations and social systems via the evaluation process itself,
as illustrated by participatory evaluation. Cousins and Whitmore (1998) dif-
ferentiate two streams of process-based influence in participatory evalua-
tion, each with its own ideology and intention. In transformative
participatory evaluation (T-PE), the intent is empowerment, social action,
and change, whereas practical participatory evaluation (P-PE) intends to
support program or organizational problem solving. Similarly, Patton (1998)
describes “evaluation as an intentional intervention in support of program
outcomes” (p. 229), which is a kind of process use, conceptualizing the nat-
ural reactivity of the data collection process as an intervention that rein-
forces what the program is trying to do.

An important caveat concerning intended influence is that not all inten-
tions are explicitly communicated or otherwise made visible. The stated
purposes of an evaluation represent manifest, overt functions; for example,
a formative evaluation may be undertaken with the intent of improving the
evaluation, whereas a summative evaluation may be undertaken to help a
sponsor better allocate funds. However, intended influences could also
include latent, covert evaluation functions (Scriven, 1991). For example, an
evaluation with the manifest function of improving program effectiveness
could also have a latent function of increasing program visibility in the com-

munity. An evaluation with a manifest function of demonstrating account-
ability and efficiency to sponsors could have reallocation of funds and
downsizing as latent intents. Capturing the full range of intended influence
requires attention to both manifest and latent functions. Here the plurality
of intended uses and users becomes critical. One must consider the under-
standings and agendas of the clients of the evaluation, the evaluators, and
stakeholder audiences.

Unintended Influence. Evaluation may influence programs and systems
in ways unanticipated, through paths unforeseen. Attention to the unin-
tended influence of evaluation acknowledges both the power of ripple effects
and our inability to anticipate all ramifications of our work. In evaluation, as
in the programs themselves, unintended influence may be more impactful
than intended influence. Moreover the territory defined by unintended influence is broader. Whereas primary utilization directs attention rather narrowly to intended uses and users, unintended influence is represented by a number of permutations. Three variations illustrate this point. First, intended users may exert influence in unintended ways or affect persons or systems other than intended. Consider a results-based example. An advisory panel is an intended user of the evaluation findings. Though their intended use was to make changes internal to the program, the data had unexpected policy implications that led them to initiate a community coalition to advocate for legislative change. This broader influence was unintended, though it was initiated by intended users. Second, unintended users may be involved in exerting influence, though the nature of the influence and the persons and systems affected are intended. Consider a process-based example in which a needs assessment is conducted on the problem of violence in public schools. The intention was to involve parents and teachers with school board members in identifying concerns and suggesting solutions toward a safe school environment; however, students asserted their interest in the evaluation, and their participation in the needs assessment altered the climate of the school. The influence was in the intended direction (toward safety) and on the intended system, but it came via an unintended user pathway. Third, the users, the nature of the influence, and the systems influenced may all be unintended. Consider an internal evaluation of a local human service agency intended to support a request for continued funding from its current community-based sponsor. As the evaluation unfolded, consumers played an unexpected role in the process, generating unintended positive publicity for the agency. The inclusive evaluation process was cited as a model, and a statewide consumer advocate group challenged public sponsors to rethink the parameters of the evaluation that they required for funding. Note that this unintended influence may be in addition to the intended use of the data to support continued community-based funding.

Summary. Intention is the second key dimension of an integrated theory of evaluation influence. Intended influences may be results based or process based, manifest or latent. Unintended influences may also link to process or outcome; however, the nature of influence, the persons or systems influenced, and the persons exerting the influence are other than desired or anticipated. Intended and unintended influences may occur singly or in combination, and as the examples cited previously suggest, they may be operative at different points in time. Though the examples offered illustrate positive influences, intention does not restrict the valence of the influence. Clearly, evaluation may have unintended negative influences on persons or systems, and even some of the intended influences may have negative implications for parts of the system. Taken together, the three dimensions of influence offer a framework within which to examine both the positive and negative impacts of evaluation.
Time. The third dimension, time, refers to the chronological or developmental periods in which evaluation influence emerges, exists, or continues. This dimension highlights the dynamic nature of influence and the possibility of different dimensions of influence occurring at different points in time—immediate, end-of-cycle, and long-term. Because time is a continuum, this subdivision into three periods is arbitrary, but the categories draw attention to influence at three different stages that parallel the view of program outcomes as immediate, end-of-treatment, and long-term (Scriven, 1991). Just as those distinctions have been useful in directing evaluators' attention to program outcomes, a similar convention can guide the conceptualization of evaluation's influence.

Like the previous two dimensions, there are antecedents to the current treatment of time in the evaluation literature. Shadish, Cook, and Leviton (1991) characterize the history of use as moving from short-term to recognizing long-term use. This dichotomy was commonly used to describe the time dimension. Weiss (1981) included how immediate is the use (immediate versus long-term use) as one of six key dimensions in the conceptualization of use. Similarly, Smith (1988) included immediate versus long-term as one of four dimensions of use, although her analogy likening evaluation use to checking out books from a library is exclusively grounded in results-based use. Not all authors have treated time as a short versus long dichotomy. Wollenberg (1986, cited in Johnson, 1998), in a study of use that spanned a complete school year, conceptualized the time dimension as three periods or cycles of program implementation or growth—conceptual stage, developmental stage, and institutional stage. Cronbach (1982) outlined four periods of influence, noting, "An evaluation feeds social thought as it is planned, as it brings in data, as it comes to a close, and, one may hope, for several years thereafter" (p. 318).

Historically, the three dimensions of an integrated theory of influence—source, intention, and time—have intertwined. The time dimension has been attached to other use distinctions in ways that have blurred the full range of chronological influences. Leviton and Hughes's review (1981) illustrates how the time dimension was frequently folded into early discussions of instrumental versus conceptual results-based use. They cite Rein and White (1975) to mark early recognition of the fact that "problems in government are defined gradually over time, and decisions are eventually reached on the basis of an integrated set of information from many sources" (Leviton and Hughes, 1981, p. 531). The fact that this quotation is cited to illustrate instrumental versus conceptual use illustrates the historical confounding of dimensions—in this case, time with source. Similarly, in their critiques of theories of use under major evaluation theorists, Shadish, Cook, and Leviton (1991) repeatedly refer to short-term instrumental use and long-term enlightenment use. Although these are clear—and perhaps common—combinations of use within a results-based framework, the time dimension should be examined separately from nature of influence for maximum clarity.
A key point that is relevant to the conceptualization of the time dimension is whether use is seen as a point-in-time event or as a more open-ended process. Early definitions spoke of utilization as an event. For example, Alkin, Daillak, and White (1979) asked, “How do we know a utilization when we see one?” and “How do we define a utilization occurrence” (p. 226)? Their model of utilization culminated in “an instance of utilization” (p. 232). Leviton and Hughes (1981) used this same language, asking, “What is an instance of utilization?” (p. 533) frame one of four methodological issues in the study of utilization, unit of analysis. The language was shifting elsewhere from viewing utilization as a discrete instance to seeing it as an open-ended process. In changing terms from utilization to use, Weiss (1981) pointed to the need to move away from utilization as an event, which she illustrated by saying that utilizing evaluation was unlike utilizing a hammer. Cronbach (1982) viewed use as process, not as a point in time. He positioned evaluations as “part of the continuing accumulation of social knowledge” (p. 318). Fortunately, the delineation of periods within time does not presume use as an event, nor does it require resolution of the point-in-time versus process distinction. The time dimension directs attention to any influence that is visible in a given time period, whether it is an event occurring only within that period or a process that is flowing through it.3

**Immediate Influence.** Immediate influence refers to influence that occurs or is visible concurrent with the evaluation process. Immediate influence may occur during the process of anticipating, planning, and implementing evaluation. It includes early influences that plant the seeds of long-term effects or that may show cumulative impact over time as well as short-term effects that may not have long-term ramifications. Although it is the proponents of participatory, empowerment, and collaborative models who have, in their respective ways, brought this to our attention, immediate influence is not tied exclusively to these models. Witness, for example, the influence of accreditation on a program in preparation for and during the site visit process, preceding the delivery of judgment affirming or denying accreditation for that cycle. At first blush, immediate influence may be seen as exclusively process based; however, careful reflection on the variety of data that constitute results suggests that results-based use may also occur concurrent with the evaluation process. Evaluability assessment, for example, makes explicit the agenda of preparing systems for evaluation (Wholey, 1994). Adjustments made by a system in response to evaluability data during the assessment process represent immediate, intended, results-based influence.

Two clarifications are appropriate here. First, immediate influence is not necessarily fast paced. Because it is tied to the time frame of the evaluation, a slowly emerging evaluation effort that spans a period of months or even years could have a protracted period in which immediate influence could be examined. Second, the designation immediate does not speak to
the duration of the influence. One could have an immediate influence that was short-lived or one that continued beyond the evaluation cycle and remained visible in subsequent time periods.

*End-of-Cycle Influence.* End-of-cycle influence highlights the influence surrounding the conclusion of a summative evaluation study or of a cycle in a more formative evaluation. It includes influence that emanates from both the products of the evaluation (for example, reports, summaries, and other documents) and the process of disseminating results. It also includes the process that brings closure to a particular evaluation cycle in the absence of a formal written report and in the context of more developmental use (Patton, 1994, 1997). End-of-cycle influence parallels the notion of end-of-treatment effects in outcome evaluation, drawing attention to the conclusion of an evaluation study or of a given cycle in an ongoing evaluation effort. These cyclical demarcations may represent developmental phases of the evaluation itself or may result from program exigencies such as funding cycles. As Patton (1997) has noted, closure may or may not include an evaluation report, though markers for ending a cycle may admittedly be less clear in the absence of such a product.

Brett, Hill-Mead, and Wu (this volume) provide especially clear examples of cycles within a broader context of ongoing evaluation. Although examinations of results-based use traditionally focused on this time frame, process-based influence is worthy of note during this time frame as well. Process-based influence in this time period would include the effects of networking interactions surrounding an evaluation's closure, wrap-up, or winding down. Brett, Hill-Mead, and Wu describe an end-of-cycle influence that bridges process and results when they note that the structured, data-oriented reflection of the quarterly synthesis process taught staff how to mentor corps members in goal setting for the following year. An integrated theory of influence also opens the lens to attend to end-of-cycle unintended influences that may emanate from either process or results.

*Long-Term Influence.* Long-term influence captures effects that may not be felt for a period of time or that evolve over time into extended impact. The explicit inclusion of future use is helpful in reminding evaluators not to stop short in their examination of the influence of their work. Although influence during the process of evaluating and reporting results is important, the most powerful impact of the work may not yet have emerged or be visible in that time frame, lying instead in a future context. Preskill and Torres's treatment of use as transformative learning (this volume) emphasizes the importance of a long-term perspective, viewing such learning as a continual process of dialogue and reflection that occurs incrementally over time. The first step toward tracking and empirically studying future impact is the recognition of its conceptual relevance to an integrated theory of influence.

The importance of understanding long-term influence has been argued from theoretical, ethical, and pragmatic perspectives (Alkin, 1990; Shulha
and Cousins, 1997). Though the significance of long-term influence is well recognized (Huberman and Cox, 1990; Patton; 1986; Weiss, 1980), Shulha and Cousins (1997) found it to be noteworthy in its absence from empirical studies of use. “While research studies have reported—usually through relatively immediate and retrospective methods—the instrumental, cognitive, affective, and political consequences of evaluation, they typically do not track these dimensions over the long term. As a result, they fail to produce a comprehensive picture of personal/professional change in participants and cultural change in organizations” (p. 204).

Long-term influence recognizes that influence may be visible well beyond the end of a particular evaluation cycle. It cues evaluators to watch for the emergence of impacts that are chronologically more distant from the evaluation as well as to track earlier impacts over time. Long-term influence may be delayed, long lasting, or both. In the case of delayed influence, for example, evaluation results from a consumer satisfaction study may initially lie unused due to the press of other program demands. However, when the self-study for the next accreditation cycle is initiated several years later, the self-study team correctly recognizes the relevance of the data already collected, and they incorporate these data in the self-study. In the case of long-lasting influence, results may exert ongoing influence that dates from the evaluation process itself. Focus group data may have first been used to provide immediate feedback to program providers, then incorporated into the annual report that accompanies the program’s funding cycle. Accountability is maintained and future program funding is secured or perhaps expanded. In this example of results-based influence, the same data that are exerting long-term influence previously reaped immediate and end-of-cycle effects. In a combined model, some long-term influence continues from earlier time periods and some emerges for the first time. If, in the prior example, the focus group data were also used in community outreach efforts undertaken some time after the evaluation, this delayed influence would be added to the long-lasting influence previously described.

Summary. Attention to the timing of evaluation use is not new, though historically, discussions of time were often conflated with other dimensions rather than addressed explicitly. Early discussions of time focused on immediate use, with more recent attention underscoring the importance of long-term use. Similarly, early conceptualizations spoke of use as an event, whereas more recent discussions position use as a process. Dividing the time dimension into immediate, end-of-cycle, and long-term expands the common short-term versus long-term dichotomy and parallels conventional chronological description of program outcomes. The incremental nature of influence should not be obscured by the demarcation of three time periods, however. The intent is to cue consideration of a full range of influence across time rather than restricting reflection to a narrow band. Hence the time dimension helps one attend to both the pace of change and the chronological periods in which it is evidenced.
Utility of an Integrated Theory of Influence

This chapter has proposed an integrated theory of influence that conceptualizes evaluation influence in three dimensions—source, intention, and time. Source addresses results-based influence and process-based influence. Intention addresses unintended and intended influence. Time addresses influence that occurs during evaluation, at the end of evaluation, and in the future. These subcategories are not mutually exclusive. Together they portray influence as nonlinear and multifaceted, with broader roots than previously recognized.

An integrated theory of influence addresses fragmentation by creating a more expansive canvas against which to map influence. Interweaving disparate conversations of evaluation influence creates opportunities for valuable synergy of perspectives. Though it does not inherently eliminate the potential pitfalls of a factorial approach (Greene, 1988b), neither does it preclude a holistic approach to the study of influence. In fact, it demands a move away from a linear, simplistic representation of the relationship among evaluation, user, and affected person or system. The recognition that influence is multidirectional and interactive repositions the notion of “users” and “impactees.” (See chapters by Rossman and Rallis and by Shulha for further discussion of repositioned evaluator and user roles.)

An integrated theory of influence contributes to the theory, practice, and study of evaluation in a number of ways. This closing section identifies nine potential applications of an integrated theory of influence.

Clarify debates on use. Through decades of explicit and implicit debates on use, evaluators representing different paradigms and application areas have frequently talked past one another, differences in terminology obscuring effective theory-building dialogue. Advancing the dialogue requires clarifying the assumptions that underlie the debates on use (Smith and Chincop, 1989). This theory of influence provides a framework for such clarification, one capacious enough to incorporate different evaluation paradigms and encourage the inspection of language and meaning.

Map influence surrounding a particular evaluation. For evaluation practitioners, the theory creates a framework to identify and map the types of influence that surround a particular evaluation. During evaluation planning and implementation, for example, evaluators can identify early effects that are associated with the process, whether or not they were intended. The case of City Year (Brett, Hill-Mead, and Wu, this volume) richly illustrates the varieties of evaluation influence on different systems levels across stages of program development.

Track evolving patterns of influence over time. This theory of influence cues evaluators to look beyond the end of a particular study and to examine evolving patterns of influence over time. One could track the long-term ramifications of an influence that had been observed in earlier time periods or could scan for evidence of late-emerging influence.
Sort out use and misuse. Whereas evaluation theory seeks to conceptualize use, meta-evaluation scrutinizes the appropriateness of use. The theory of influence proposed here supports meta-evaluation by laying a more comprehensive descriptive foundation. Discussions of misuse and miscalculation have been fraught with conceptual complexity and limited by a narrow image of use (see, for example, Alkin, 1990; Christie and Alkin, 1999). Little agreement has been reached on the relationship between use and misuse, and the parameters of misuse itself are often less than clear. Exploring source, intention, and time can expand conversations on misuse and illuminate beneficial and detrimental consequences of influence.

Improve validity of studies of influence. By integrating three dimensions of influence, this theory corrects the construct underrepresentation that weakened the validity of prior models of use. An integrated theory can improve empirical studies of utilization, such as those proposed by Conner (1998), by more fully specifying the dependent variable or by more clearly delimiting which dimensions of influence are to be addressed.

Facilitate meta-analysis of studies of influence. Historically, meta-analysis of empirical studies of use has been hampered by multiple definitions of the dependent variable (Conner, 1981; Cousins and Leithwood, 1986; Leiv- ton and Hughes, 1981). Consideration of a more differentiated definition of influence may result in comparable studies for meta-analysis.

Track evolution of evaluation theory. The theory of influence provides a useful framework for more clearly understanding the evolution of a given theoretical approach. For example, Patton's utilization-focused evaluation has evolved from a singular focus on increasing the quality and quantity of results-based use to the recognition of process use in its own right (Patton, 1978, 1986, 1997, 1998). By examining the source, intention, and time frame of influence, one can more fully appreciate the evolutionary development of Patton's theory.

Compare evaluation theories. For evaluation theorists, this theory of influence promotes comparison among theories. Shadish, Cook, and Livi- ton (1991) have demonstrated the value of mapping and comparing evaluation theories. Their particular model addressed only results-based use, however. This integrated theory expands on their tradition by suggesting a more fully articulated examination of influence, permitting more fine-grained comparisons across theories. For example, evaluation as transformative learning (Preskill and Torres, this volume) could be compared with evaluation as sense making under emergent realist evaluation theory (Junes and Mark, 1998) and with evaluation as critical inquiry (Rossman and Rallis, this volume), all of which involve influence via an iterative process of ongoing dialogue.

Support theory building. This theory of influence supports theory building and empirical study of utilization. It offers a framework for studying why evaluation may exert a particular influence under certain conditions, contributing to empirical tests of evaluation theory and furthering theory
development. For example, this theory could be used to test Shulha’s hypothesis (this volume) that evaluation and evaluation inquiry exhibit different patterns of influence or to extend the work of theorists such as Johnson (1998) to differentiate logic models underlying specific types of influence.

In closing, it is important to recognize how a more inclusive view of evaluation influence has positive implications for the evaluation profession as a whole (Shulha and Cousins, 1997). Although construct underrepresentation has been previously addressed as a validity issue, its pragmatic effect is that evaluation influence is underestimated. As construct underrepresentation is corrected, not only does validity improve, but also the full scope of evaluation influence becomes increasingly visible. For example, understanding long-term evaluation impact builds credibility for the profession and generates support for evaluation among service delivery professionals. This integrated theory of influence helps us recognize that evaluation practice has had a more pervasive impact than heretofore perceived.

Notes

1. The first two dimensions were addressed by Kirkhart (1995). The model presented here reflects a revision of that earlier work. This chapter is the product of many thoughtful conversations among the coauthors of this volume, energetic debates with early collaborators David M. Fetterman, Jean A. King, and William R. Shadish Jr., and continuing dialogue with Nick L. Smith.

2. Here the term developmental is used to acknowledge that these distinctions are not defined by the passage of time alone. They also stand in relation to the evaluation process, which itself moves through stages. For example, end-of-cycle influence is tied to the length of an evaluation cycle, not fixed at a certain number of weeks or months.

3. The logic here is analogous to that underlying interval recording procedures (Bloom, Fischer, and Ørme, 1999). A time period is taken as the frame of reference, and any activity of interest—in this case, influence—that occurs during that interval is noted. When one shifts one’s attention to a subsequent time period, evidence of influence would be noted again, even if it represented a continuation from the previous interval.

4. Although developmental use can occur within and across the time frames discussed in this chapter, Patton’s (1997) example of developmental evaluation as reflective practice provides a clear instance of end-of-cycle influence. He describes a reflective cycle in which an issue is identified, a response is tried, the trial is observed, observations are reported and reflected on, patterns and themes are identified, action implications are determined, and the process is repeated. Note that this example includes data-based reflection, bridging process use and results-based use.

References


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