Workshop Toolkit Resource

Utilization-Focused Evaluation

Special online resource to supplement

Utilization-Focused Evaluation, 5th ed

Working with Evaluation Stakeholders:

A Rationale, Step-Wise Approach and Toolkit

Materials created by Michael Quinn Patton

in collaboration with

John M. Bryson and Ruth A. Bowman

Working with Evaluation Stakeholders: A Rationale, Step-Wise Approach and Toolkit

INTRODUCTION

Attention to stakeholders has gained prominence for both practical and ethical reasons.[1] Attention to, and involvement of, key stakeholders is presumed to enhance the design and implementation of evaluations and the use of evaluation results in decision making. Beyond that, it would appear to be difficult to adhere to the standards for judging evaluations put forward by the Joint Committee on Standards for Educational Evaluations (1994) – utility, feasibility, propriety, and accuracy – without careful attention to stakeholders. Similarly, it would be hard to follow the Guiding Principles for Evaluators of the American Evaluation Association (1995) without attending to stakeholders. The principles include: systematic inquiry, providing competent performance to stakeholders, integrity and honesty, respect for people, and responsibility for the general and public welfare.

---

[1] The concept of "stakeholders" has assumed a prominent place in evaluation theory and practice in the last 20 years, and especially in the last decade. The word stakeholder originated in gambling in 16th-century England where wagers were posted on wooden stakes. Later the term was broadened to refer to a neutral or trustworthy person who held a wager until the winner was decided. The term came to evaluation from management consulting where it was first used in 1963 at the Stanford Research Institute as a way of describing people who were not stockholders in a company but "without whose support the firm would cease to exist" (Mendelow, 1987, p. 177). The term was given visibility by R. Edward Freeman (1984) in his influential text, *Strategic Management: A Stakeholder Approach.* He defined a stakeholder as any group or individual who can affect or is affected by the achievement of the organization's objectives.

While most members of the evaluation community would agree that attention to stakeholders is important, they might not agree on how to define the term. The definition is consequential as it affects *who* and *what* counts (Alkin, Hofstetter & Ai, 1998; Mitchell, Agle, & Wood 1997). For example, some definitions of stakeholders focus on program stakeholders (e.g., Rossi, Lipsey, and Freeman, 2003, pp. 18, 435). But starting with a program focus seems unduly restrictive. We propose a broader and more inclusive approach and define stakeholders as *individuals, groups, or organizations that can affect or are affected by an evaluation process and/or its findings*. The definition is purposefully broad so that the full range of possible stakeholders is considered before narrowing the focus to the primary intended users of an evaluation. This broad approach thus helps support the process of narrowing the focus to those stakeholders who are going to be the major audience for a specific evaluation effort – the primary intended users – while also identifying other stakeholders and their interests, powers, perspectives, and other related information to inform the evaluation effort (Patton, 2008; Bryson and Pattom, 2010).

Such inclusive thinking about stakeholders early on is consistent with (but broader than) the *Encyclopedia of Evaluation* definition of stakeholders as "people who have a stake or a vested interest in the program, policy, or product being evaluated…and therefore also have a stake in the evaluation" (Greene, 2005, p. 397). Greene clusters stakeholders into four groups: "(a) people who have decision authority over the program, including other policy makers, funders, and advisory boards; (b) people who have direct responsibility for the program, including program developers, administrators in the organization implementing the program, program managers, and direct service staff; (c) people who are the intended beneficiaries of the program, their families, and their

communities; and (d) people disadvantaged by the program, as in lost funding opportunities" (pp. 397-8). But others with a direct or indirect interest in program effectiveness may be considered stakeholders, including journalists, taxpayers, participants in "civil society," and members of the general public (Weiss, 1998, pp.28-29). In other words, ordinary people of all kinds who are affected by programs and policies also can be thought of as stakeholders, a move that helps clarify what Leeuw (2002) has called the challenge of "bringing evaluation to the people" (pp. 5-6). Thus, stakeholders can include anyone who makes decisions or desires information about a program (or other evaluand) or is affected by the program or its evaluation.

However, stakeholders typically have diverse and often competing interests. No evaluation can answer all potential questions equally well. This means that some process is necessary for narrowing the range of possible questions to focus the evaluation, which in turn necessitates focusing on a narrow list of potential stakeholders that form the group of what Patton (2008) refers to as primary intended users. For this article, we often use the term *key evaluation stakeholders* to convey a similar concept, but with the intent of generalizing it to a broad range of evaluation approaches.

WHY STAKEHOLDER ANALYSES HAVE BECOME SO IMPORTANT IN PROBLEM SOLVING, PLANNING AND DECISION MAKING

History offers important lessons about the consequences of inadequate stakeholder analysis and engagement. For example, Barbara Tuchman (1984) in her sobering history *The March of Folly from Troy to Vietnam* recounts a series of disastrous misadventures that followed in the footsteps of ignoring the interests of, and information held by, key stakeholders. She concludes "Three

outstanding attitudes – obliviousness to the growing disaffection of constituents, primacy of self-aggrandizement, and the illusion of invulnerable status – are persistent aspects of folly." For more recent examples, consider Paul Nutt's *Why Decisions Fail* (2002), a careful analysis of 400 strategic decisions. Nutt finds that half of the decisions "failed" – that is they were not implemented, only partially implemented, or otherwise produced poor results – in large part because decision makers failed to attend to interests and information held by key stakeholders. Other quantitative and qualitative studies report broadly similar findings with respect to the importance of paying attention to stakeholders in problem-solving, planning and decision making (e.g. Alkin, Daillak, & White 1979; Bryson, Bromiley, & Jung, 1990; Bryson & Bromiley, 1993; Margerum, 2002; Mohan, Bernstein, & Whitsett, 2002; Morris, 2002; Clayson, Castaneda, Sanchez, & Brindis, 2002; Burby 2003; Cousins and Shulha, 2006; Cousins and Whitmore, 2007; King, 2007; Patton, 2008). In short, *failure to attend to the interests, needs, concerns, powers, priorities, and perspectives of stakeholders represents a serious flaw in thinking or action that too often and too predictably leads to poor performance, outright failure, or even disaster*.

Stakeholder analyses are now arguably more important than ever because of the increasingly interconnected nature of the world. Choose any public problem – economic development, economic collapse, poor educational performance, environmental resource management, crime, AIDS, natural disasters, global warming, terrorism – and it is clear that "the problem" encompasses or affects numerous people, groups, organizations, and sectors. In this world of shared-power, no one is fully in charge; no organization "contains" the problem (Kettl, 2002). Instead, many individuals, groups and organizations are involved, affected, and/or have some partial responsibility to act. Figuring out

what the problem is and what solutions might work in a shared-power world means that taking

stakeholders into account is a crucial aspect of public problem solving (Bardach, 1998; Nutt, 2002;

Crosby & Bryson, 2005). Beyond that, fashioning effective leadership and governance of policy

domains becomes in large part the effective management of stakeholder relationships (Feldman &

Khademian, 2002). Governmental and nonprofit reforms across the world are also prompting the

need for more attention to stakeholder analyses (Peters, 1996; Kettl, 2002; Braverman, Constantine,

& Slater, 2004; Mohan & Sullivan, 2006). The need to manage relationships has become such a part

and parcel of the need to govern that Feldman and Khademian (2002) assert that "to manage is to

govern" and it is extremely hard to imagine effectively managing – and evaluating the managing of –

relationships without making use of carefully done stakeholder analyses. Thus, in the private, public

and nonprofit sectors, we are moving into an era when networks of stakeholders are becoming at

least as important, if not more so, than markets and hierarchies (Durland & Fredericks, 2005; Thiele,

Devaux, Velasco, & Horton, 2007),

WHY STAKEHOLDER ANALYSES ARE IMPORTANT IN EVALUATION

Evaluation practice involves linking *technical rationality* with *political rationality* in order

"to mobilize support for substance" Wildavsky (1979, p. 1). To make this linkage, essential

competencies for program evaluators include both technical skills and people skills (King, Stevahn,

Ghere, & Minnema, 2001; Ghere, King, Stevahn, & Minnema, 2006). People skills include the

capacity to work with diverse groups of stakeholders (SenGupta, Hopson, & Thompson-Robinson,

2004) and to operate in highly political environments. The importance of and need for technical, cultural, interpersonal, and political competencies intersects with increased attention to *building evaluation capacity* as a foundation for conducting useful evaluations (Compton, Baizerman, & Stockdill, 2002; Taut, 2007). Capacity building includes developing the essential competencies of evaluators – including for stakeholder analysis – and developing organizational cultures that support evaluative thinking and practice as well as engaging stakeholders in ways that build their capacity to participate in and use evaluations. Building evaluation capacity through stakeholder engagement is a primary form of *process use* in which evaluation has an impact on those involved in addition to and beyond just use of findings (Cousins, 2007; Patton, 2008, pp. 151-194).

The importance of stakeholder interests, views, influences, involvement, needs, and roles are incorporated into the work of the most prominent authors in the field of evaluation theory and practice (Alkin, 2004). Evaluators overwhelmingly acknowledge the importance of working with stakeholders. Preskill and Caracelli (1997) conducted a survey of members of the American Evaluation Association's Topical Interest Group on Use. They found that 85% rated as extremely or very important "identifying and prioritizing intended users of the evaluation" (p. 216). They also found that 80% of survey respondents agreed that evaluators should take responsibility for involving stakeholders in the evaluation processes. Fleischer (2007) asked the same question on a replication survey of American Evaluation Association members in 2006 and found that 98% agreed with this assertion. In rating the importance of eight different evaluation approaches, "user-focused" evaluation was rated highest. Stakeholder involvement in evaluations has become an accepted evaluation practice.

Unfortunately, the challenges of identifying and including stakeholders in evaluation, capturing their perspectives, embracing their concerns, and accounting for political sensitivities are under-appreciated, particularly when evaluators are faced with budget and time constraints (Bamberger, Rugh, & Mabry, 2006; Bryson and Patton, 2010). The contribution this article makes to the evaluation literature is to help overcome these challenges by presenting a compilation of straight-forward stakeholder identification and analysis tools that can be employed in a step-wise fashion throughout an evaluation process with minimal investment of time, effort, and materials. The result is an efficient approach to identifying stakeholders, clarifying their interests, assessing their power and its sources, and determining how they might best be engaged in the design and implementation of an evaluation and the implementation of resulting recommendations. We cannot offer a carefully done analytic case or cases demonstrating the effectiveness of the techniques as a set, since we are unaware of any such study. Instead, we present the set as our accumulated wisdom regarding ways of identifying and working with stakeholders and challenge ourselves and others to engage in the kind of careful research needed to determine which techniques work best, under which circumstances, and why. That said, we are able to offer some illustrative cases in this article.

The inclusion of stakeholders in evaluation design should be thought of in different terms than inclusion of stakeholders in program design or problem solving, though overlap is inevitable. For example, in a formative approach, the evaluation design is integral to the program design. In a developmental approach, the anticipated and unanticipated must be constantly reconciled. Both beg for adaptive thinking and stakeholder considerations are a fundamental

vehicle for adaptation, particularly as the stakeholder themselves may be involved in the program as well as the evaluation. A summative approach offers a more detached view of the program or process, meaning that the evaluation stakeholders, once identified, are in general less likely to change. In all contexts, evaluation stakeholders are intimately tied to the purposes of the evaluation, broadly categorized by Patton (2008) as: (1) making decisions about the program (i.e. to fund, continue, or abandon); (2) program improvement (i.e. identify opportunities to expand, modify process, target different audience); (3) to add knowledge to the field and inform decision making (i.e. confirm assumptions, meta-evaluations); (4) support development of new innovations; or (5) accountability.

The article, while influenced by Patton's utilization-focused evaluation framework (2008), is organized around a more generic step-wise evaluation approach. The approach includes the following steps:

STEP 1 – Evaluation Planning (context, scope, and budget; the step includes gaining clarity about the "evaluation questions")

STEP 2 – Evaluation Design, (including methods and measurement)

STEP 3 – Data Collection

STEP 4 – Analysis (interpretation, judgments and recommendations)

STEP 5 – Decision Making and Implementation (including presentation of findings and recommendations)

Attention to stakeholders is important throughout the evaluation process. Otherwise, there is not likely to be enough understanding, appreciation, information sharing, legitimacy or commitment

to produce a credible evaluation that will ultimately be used. In other words, significant missed opportunities may result, even in the best of evaluation circumstances, when the perspectives of various stakeholders, cultural sensitivities, and political vulnerabilities are overlooked. An evaluation that fails to attend to key stakeholders and as a consequence is inaccurate, insensitive, and insufficient to make needed improvement is a waste of resources and could lead affected leadership groups (and funders) to avoid evaluation in the future. Note that what is being said does *not* imply that all possible stakeholders should be satisfied, or involved, or otherwise wholly taken into account, only that the *key* stakeholders must be, and that the choice of which stakeholders are key is inherently political (House & Howe, 2000; Ryan and DeStefano, 2000; Stone, 2002; Julnes and Rog, 2007;), has ethical consequences (Cooper 1998; House & Howe, 1999; Lewis & Gilman, 2005), and involves judgment (House 1977, 1980; Kahneman & Tversky, 2000; Vickers & Vickers, 1998). The process does not, however, imply that stakeholders who fall into the category of *less key* should be ignored – for their perspectives may offer overlooked interests or relevant concerns that enhance the evaluation, even though they may not play a participatory role in the evaluation or ultimately be classified as a primary intended user.

In short, we go so far as to hypothesize that *evaluation processes that employ a reasonable number of competently done stakeholder analyses are more likely to be used by intended users for their intended use than are evaluation processes that do not.* At a minimum, stakeholder analyses should help evaluators determine who cares, who has influential resources, who will use the findings, and what they will use the findings for; and should establish stronger commitment to

credible evaluation. Testing this hypothesis is beyond the scope of this article, but we do believe this article lays much of the groundwork for such tests.

The next section discusses a number of stakeholder identification and analysis techniques.

AN ARRAY OF TECHNIQUES

This article presents twelve stakeholder identification and analysis techniques in enough detail for readers to get a good idea of what is involved in using them. The techniques are grouped by step in the evaluation process. All of the techniques are fairly simple in concept and rely on standard facilitation materials such as flip charts, marking pens, tape, and colored stick-on dots. On-line collaborative tools, such as Wiki's and blogs; and technology, such as Skype, could be easily employed for decentralized discussions and inclusion of remote participants. Using the techniques requires some time, effort, and informed participants – resources that are typically available in most evaluation settings. Table 1 summarizes the presentation of techniques.

Insert Table 1 About Here – Evaluation and Stakeholder Identification and Analysis Techniques

STEP 1 – Evaluation Planning

Initiators of the evaluation process should articulate what the purpose of the evaluation is, at least initially. This purpose should guide the first step in making choices about stakeholder analyses and who should do them. Deciding who should be involved, how, and when in doing stakeholder analyses is a key strategic choice. In general, people should be involved if they have information that cannot be gained otherwise, or if their participation is necessary to assure successful implementation

of the evaluation built on the analyses. There is always a question of whether there can be too much or too little participation. And the general answer is yes to both, but the specific answer depends on the situation, and there are no hard and fast rules, let alone good empirical evidence, on when, where, how, and why to draw the line. There may be important trade-offs between early and later participation in analyses and one or more of the following: representation, accountability, analysis quality, analysis credibility, analysis legitimacy, the ability to act based on the analyses, or other factors, and these will need to be thought through. Fortunately, "the choices" actually can be approached as a sequence of choices, in which first an individual, who may be the evaluator, or a small evaluation planning group begins the effort, and then other participants are added later as the advisability of doing so becomes apparent.

Two possible starting points for identifying stakeholders are presented. The first is extremely simple, while the second builds on the first and therefore provides more information.

1.a. List Evaluation Stakeholders: This techniques begins an individual, who may be the evaluator, or a small evaluation planning group, brainstorming the list of individuals or groups who care about or are affected by the evaluation. Those doing the brainstorming should realize that other stakeholders may emerge subsequently. Next, the stakeholders should be ranked according to their importance to the evaluation. When doing so, consider the stakeholder's power, legitimacy, and attention-getting capacity (Mitchell, Agle, & Wood, 1997).

This step is typically "back room" work. Necessary additional information inputs may be garnered through the use of interviews, questionnaires, focus groups, or other targeted information gathering techniques in this and subsequent steps, or in conjunction with the other techniques

outlined in this article. In this step it is important to make sure stakeholders are identified at the right level of aggregation, meaning at a level that makes sense from a strategic perspective (Eden & Ackermann, 1998). For example, usually "the government" is not a stakeholder, but some parts of it might be such as the city council or the police force. "The government" thus is typically a kind of "phantom stakeholder" (Beech & Huxham, 2003) and should be avoided. You should be able to find the "voice" of each stakeholder that is identified, be it an actual individual or a representative of the group.

1.b. Basic Stakeholder Analysis: This technique is an adaptation of a technique described in Bryson (2004a, 2004b). It offers a quick and useful way of identifying each stakeholder and comparing and contrasting their interest(s) in the program versus their interest(s) in the evaluation. A separate sheet is prepared for each program and/or evaluation stakeholders. Colored stick-on dots can be used to assess how well the stakeholder (not the evaluator) probably thinks the program does in terms of satisfying the stakeholder's wishes. Green dots indicate the program does well against a wish, yellow dots indicates the program does a fair job, and red dots indicate it does a poor job.

Insert Figure 1 Basic Stakeholder Analysis here

Bryson (2004a) describes how this technique was used to evaluate the performance of a state department of natural resources in the United States, because it showed participants how existing strategies ignored important stakeholders – who refused to be ignored – as well as what might be done to satisfy the stakeholders. The evaluation results were used to successfully bring about major

changes in the organization, which included funding increases, increased end-user satisfaction, and increased political legitimacy.

Examples of stakeholders that may have a distinct interest in the evaluation, and thus be categorized as evaluation stakeholders, could include past, current, and future program participants, employers or associates of program participants, and developers of similar, complementary, or competing programs, among others. It is also important to consider those stakeholders that may have a negative influence on the evaluation for any variety of reasons, including opposition to the use of resources for evaluation, feeling threatened by the potential outcomes, or feeing anxiety about other aspects of the evaluation. Ignoring such stakeholders has the potential to hinder progress and derail any positive outcomes.

1.c. Power Versus Interest Grids. Power versus interest grids are described in detail by Eden and Ackermann (1998, pp. 121-125, 344-346; see also Patton 2008, p. 80) (see Figures 2). These grids array stakeholders on a two-by-two matrix – usually using Post-It® notes on a flipchart sheet – where the dimensions are the stakeholder's interest in the evaluation or issue at hand, and the stakeholder's power to affect the evaluation. Interest here means interest in a political sense, or having a political stake, as opposed to simple inquisitiveness. Each of the dimensions should be thought of as a range, i.e., from low to high interest and from low to high power. Nonetheless, it is often helpful to think of stakeholders as generally falling into four categories:

- ***Players – have both an interest and significant power***. Players have high potential to be primary intended users. These are often key stakeholders who are in a prime position to affect use, including using it themselves or affecting how others use it.

- ***Subjects – have an interest but little power.*** It may be important to support and enhance Subjects' capacity to be involved, especially when they may be affected by findings, as might be the case with program participants.

- ***Context Setters – have power but little direct interest.*** It may be important to increase the interest of Context Setters in the evaluation if they are likely to pose barriers to use through their disinterest.

- ***Crowd – consists of stakeholders with little interest or power***. The Crowd may need to be informed about the evaluation and its findings. On the other hand, if communication is badly done, controversy may quickly turn this amorphous "crowd" into a very interested mob.

Insert Figure 2 About Here – Power versus Interest Grid

Construct a power versus interest grid by first placing the name of each the evaluation stakeholders identified in 1.a. and 1.b on a separate Post-It® note. Then locate each Post-It® note in the appropriate place on the power versus interest grid. The scales are not absolute, but instead are relative, so that, for example, within the Player category there will be some players who are more powerful and/or have a stronger interest than others.

Power versus interest grids typically help determine which players' interests and power bases *must* be taken into account in order to produce a credible evaluation. More broadly, they also help highlight coalitions to be encouraged or discouraged, what behavior should be fostered, and whose

"buy in" should be sought or who should be co-opted, in part by revealing which stakeholders have the most to gain (or lose) and those who have the most (or least) control over the direction of the evaluation. This information provides a helpful basis for assessing the political, technical, practical, and other risks as the evaluation goes forward.

Finally, they may provide some information on how to convince stakeholders to change their views. Interestingly, the knowledge gained from the use of such a grid can be used to help advance the interests of the relatively powerless subjects (Bryson Cunningham & Lokkesmoe, 2002).

1.d. Stakeholder Influence Diagrams. Stakeholder influence diagrams indicate how the stakeholders on a power versus interest grid influence one another. The technique is taken from Eden and Ackermann (1998, pp. 349-350; see also Bryson Cunningham, & Lokkesmoe, 2002) and builds on the power versus interest grid.

A stakeholder influence diagram is constructed as follows: Using the power versus interest grid developed in step 1.c., discuss how each evaluation stakeholder influences the other evaluation stakeholders. Draw lines with arrows to indicate the direction of their influence. While two-way influences are possible, an attempt should be made to identify the primary direction in which influence flows between evaluation stakeholders. The diagrams may be used to further assess the power of stakeholders and to determine which stakeholders are the most influential and/or more central than others in the network.

1.e. Bases of Power – Directions of Interest Diagrams. This technique takes the analysis in the power versus interest grid to deeper level by identifying: a) the sources of different evaluation stakeholder's power, i.e. where the power comes from; and b) what the actual interests or goals are

of the different evaluation stakeholders. The technique is an adaptation of Eden and Ackermann's "star diagrams" (1998, pp. 126-128, 346-349; see also Bryson, Cunningham, & Lokkesmoe, 2002). A diagram of this kind indicates the sources of power available to the evaluation stakeholder, as well as the goals or interests the stakeholder seeks to achieve or serve. Power can come from access to or control over various resources, such as expertise, money and votes, formal authority, network centrality, or informal charisma; or from access to or control over various sanctions, such as regulatory authority or votes of no confidence (Eden & Ackermann, 1998, pp. 126-7). Directions of interest indicate the aspirations or concerns of the stakeholder. When used in the context of evaluation, the diagrams focus on the evaluation stakeholder's bases of power and directions of interest in relation to the evaluation; that is, the analyses seek to identify the powers that might affect progress and completion of the program evaluation and the specific directions the evaluation might take.

Insert Figure 3 About Here – Bases of Power – Directions of Interest Diagram

There are two reasons for constructing bases of power – directions of interest diagrams. The first is to help the planning team find the common ground – especially in terms of interests – across all or most of the evaluation stakeholder groups. In other words, after exploring the power bases and interests of each stakeholder, the planning group will be in a position to identify commonalities across the stakeholders as a whole, or across particular subgroups. Second, the diagrams are intended to provide background information on each evaluation stakeholder in order to know how to tap into their interests or make use of their power to advance the evaluation's credibility and purpose.

Step 1 – Evaluation Planning Summary. Five stakeholder identification and analysis

techniques have been presented as part of the evaluation planning phase. Note that there are

overlapping activities in these techniques as each tends to build on previous work. Whether used

sequentially or in combination, the intent of these techniques is to provide the basis for selection and

inclusion of evaluation stakeholders in the next step of a generic evaluation process – evaluation

design. Some of the evaluation stakeholders that have emerged will be both logical participants and

accessible – if not as ongoing, active members of an evaluation team, then at least as reliable sources

of information, feedback, and advice. In some cases, evaluation planners will have been in contact

with particular stakeholders to gather information about their views. In other cases, the identification

and analysis process may have involved making educated guesses without the direct involvement of

specific evaluation stakeholder(s). A judgment will be needed about whether these guesses will need

to be verified with the stakeholders.

After using the above techniques, it should be possible to come fairly close to deciding who

the "key" stakeholders are, including who the primary intended users are. Patton (2008, pp. 79-80)

suggests persons selected as primary intended users should:

- Have an interest in and commitment to using evaluation findings, either because they

  themselves will be making decisions using the findings, or they are closely connected

  to those who will be using the evaluation findings

- Be available, since interest must be joined with engagement, which means making

  time to participate in evaluation decision making as part of the primary intended users

  group

- Have the capacity to contribute to the evaluation (or a willingness to participate in capacity building as part of the process); capacity means they understand enough about methods and data to help make the evaluation credible and relevant as well as useful, which also means they can participate in trade-off negotiations in choosing among options

- Bring a perspective that will contribute to the diversity of perspectives and views that surround the evaluation and should be represented as determined by the stakeholder analyses

- Have the interpersonal skills needed to effectively participate in the group process; in other words, they must "play well with others," which means that it is important to avoid, as much as possible, people who are divisive, combative, and antagonistic to others

STEP 2 – Evaluation Design

The evaluation planning step should generate healthy discussion and reveal a list of evaluation stakeholders that should be included in the more public beginning of the evaluation effort, or the evaluation design phase. The involved group probably should include those evaluation stakeholders that cannot be ignored due to high power and interest. The initial planning may also reveal evaluation stakeholders that will be affected by the evaluation results (positively or negatively), yet have little power or articulated interest. They may not actually know that they should care about the evaluation. Given the evaluation's purpose, it may be important to find ways to give these stakeholders a voice and/or enhance their perceived interest.

As the evaluation planning team moves to the evaluation design step, continuing the stakeholder analysis process involves assembling – either physically or virtually – those identified as key evaluation stakeholders or their representatives. This expanded group will use as many of the techniques already discussed as needed (i.e., basic analysis technique, power versus interest grid, stakeholder influence diagram, and/or bases of power – directions of interest diagrams) to education themselves and bring everyone up to speed.

The group should also think carefully about other stakeholders that may not have been included in the group, but should be. Again, the group should consider actual or potential stakeholders' power, legitimacy, and attention-getting capacity (Mitchell, Agle, & Wood, 1997). The group should consider the positive and negative consequences of involving – or not involving – other stakeholders or their representatives. This includes thinking about ways they might be engaged in the process as well as ways they may hamper the process.

Following these broader discussions, it should be possible to finalize who the key evaluation stakeholders are and how they might contribute to the evaluation effort without compromising the credibility of the evaluation. For example, some may be identified as sponsors and champions, members of a coordinating group, member of various advisory groups, a resource person or group, or members of the final evaluation team (Bryson 2004a, pp. 73 – 75; Friend & Hickling, 1997, pp.257-65; Patton, 2008, pp. 69-75). The evaluation team is the group most likely to use the stakeholder analysis techniques described below, but other groups may be asked to use one or more of the techniques as well. In addition, as part of these discussions or following them, it is important to clarify, confirm, and adjust assumptions made in the prior planning phase.

Note that this staged process embodies a kind of technical, political, and ethical rationality. The process is designed to gain needed information, build political acceptance, and address some important questions about legitimacy, representation, and credibility. Stakeholders are included when there are good and prudent reasons to do so, but not when their involvement is impractical or unnecessary.

2.a. Participation Planning Matrix. The participation planning matrix adapts contributions from the International Association for Public Participation, specifically their notion of a spectrum of levels of public participation, and the steps used in this article to organize techniques. The levels of participation range from not engaging a stakeholder at all through to giving specific stakeholders final decision making authority. The category of non-engaged includes identified stakeholders who for justifiable reasons will be considered non-participants. Each level implies a different kind of promise from the evaluator to the stakeholder – implicitly if not explicitly (see Figure 4).

The matrix prompts the evaluation team to clarify how different evaluation stakeholders should hold different levels of influence over the course (steps) of an evaluation, with appropriate accompanying promises made to the stakeholders. The participation planning matrix can be used to create a sort of evaluation contract with selected stakeholders who are important to engage; the contract should confirm the level of commitment and participation.

Insert Figure 4 About Here – Participation Planning Matrix: Differing Levels of Participation and Accompanying Promises from the Evaluator to the Stakeholder

2.b. Purpose Networks. Another technique that is quite useful when designing an evaluation is the purpose network, or purpose hierarchy. The purpose network builds on earlier evaluation planning work and seeks the input of the recently identified key evaluation stakeholders. (Note that evaluation planners may wish to use it during Step 1 as well to gain a clearer initial understanding of purpose).

A purpose network indicates the various interrelated purposes that the evaluation might serve. The technique is adapted from Nadler and Hobino (1998) and Bryson, Ackermann, and Eden (2007). The process of creating a purpose network first requires the evaluation team to recall the original purpose of the evaluation that was identified in the first stage of evaluation planning. Any newly engaged participants are also encouraged to reflect on the initial statement of potential purposes of the evaluation. The group should use a flipchart to display the original purpose(s) written on a Post-It® note attached to the sheet. The group then brainstorms additional purposes (goals, aims, outcomes, indicators, or aspirations) and writes them separately on additional Post-It® notes and attaches them to the flipchart sheet. The full array of purposes should then be linked with arrows in a causal fashion; i.e. arrows should indicate how one purpose helps lead to or fulfill a subsequent purpose(s).

Once the network (or hierarchy) is created, the group should decide which purposes are the actual primary purpose(s) of the evaluation. Note that the primary purpose may end up being different from what group members or other stakeholders originally identified. It is also possible the purpose(s) may be changed somewhat based on further stakeholder analyses.

STEP 2 – Evaluation Design – Summary. This concludes the discussion of the first two steps in the evaluation process. By the end of this step, an evaluation design should be created that will allow the evaluation to fulfill its intended use by its intended users. Note that since the use of stakeholder identification and analysis techniques is always context-dependent, there are no hard and fast rules about when to use and when not to use any particular techniques. Note as well that the time invested in stakeholder analysis in each step is not likely to be prohibitive, and indeed is highly likely to be cost-beneficial. Using the techniques involves fostering a structured dialogue that typically reveals insights that will improve the evaluation and that are not likely to be revealed otherwise. Use of the techniques will also build individual and group capacity for further stakeholder analysis exercises.

STEP 3 – Data Collection

The evaluation design will include methods, measures, and data collection choices that are specific to the evaluation approach chosen. To the extent that the purpose network (2.a.) described above has revealed new or modified evaluation purposes, the evaluation design should be reviewed in relation to those choices.

3.a. Stakeholder Role Plays. If any key (or other important) or other evaluation stakeholders are unable to fully participate in finalizing the design, one tool that may be helpful in understanding how they might respond is the use of stakeholder role plays. This technique can be used to assess how different stakeholders might respond to different methods, measures, and other design choices, including different approaches to data collection and organization. Role plays can also be useful in

anticipating the response to evaluation recommendations when used in conjunction with the support versus opposition grid technique (4.a), which is discussed in a later section. In other words, stakeholder role plays can be very useful in Steps 2, 3 and 4.

Eden and Ackermann (1998, pp. 133-4) show how role plays, in which different members of an evaluation team play the role of different stakeholders, can be used to develop evaluation approaches that are likely to address stakeholder interests, and can help ensure effective evaluation implementation and use of results. Role plays have the special benefit of enhancing the evaluation group's capacity to understand how other stakeholders think. Role plays build on the information revealed in previous analyses. Of course, there are always dangers in imagining what the views of others are, rather than engaging with them directly, so the evaluation team will have to assess the risks and do what they can to mitigate them if necessary.

A stakeholder role play involves having each member of the evaluation team review the results of previous analyses, and particularly the (2.b.) bases of power – directions of interest diagrams. After each team member has assumed the role of a different stakeholder, the following questions are asked and answered: 1) how would I react to this option?; and 2) what would be done that would increase my support or decrease my opposition?

A special virtue of this exercise is that it may bring out and serve to protect the interests of stakeholders who are under-represented or difficult to access.

STEP 4 – Analysis

Once the data have been collected, they must be interpreted, judgments made of various sorts, and recommendations prepared. Three techniques will be suggested for use in the analysis phase: (4.a.) evaluation recommendation support versus opposition grids, (4.b.) recommendation attractiveness versus stakeholder capability grids, and (4.c.) tapping individual stakeholder interests to pursue the common good.

4.a. Evaluation Recommendation Support Versus Opposition Grids. These grids indicate which stakeholders are likely to support particular recommendations and which are likely to oppose them. Nutt and Backoff (1992) developed the technique for planning purposes; here it is adapted to assess the viability of evaluation recommendations (see Figure 5). The steps are simple. For each recommendation, write the names of the key evaluation stakeholders on a separate Post-It® note. On a chart similar to the example in Figure 5, plot where, in the judgment of the evaluation team, the stakeholder should be positioned in terms of likely support for, or opposition to, the recommendation. Discuss and move the cards around until the group agrees with the arrangement. Repeat the exercise for each recommendation. Then step back and reflect on which recommendations have the needed support. To the extent there is stakeholder opposition to what is otherwise seen as a desirable recommendation, the team may want to assess how the stakeholders in question might be influenced to support, or at least not oppose, the recommendation. Alternatively, the team may reconsider the recommendation to see if stakeholder support can be gained without sacrificing the important merits of the recommendation.

Insert Figure 5 About Here – Evaluation Recommendation Support Versus Opposition Grid

A somewhat more elaborate tool for assessing support for or opposition to evaluation recommendations is shown in Figure 6. The tool identifies the level of importance of the recommendation to the stakeholder, on the one hand, against the support, opposition, or neutrality of the stakeholder, on the other hand (Patton, 2008). This tool is used in a way similar to the recommendation support versus opposition grid (Figures 5).

Insert Figures 6 About Here – Mapping Stakeholders' Stakes and Inclinations Toward the Evaluation Recommendations

4.c. Recommendation Attractiveness Versus Stakeholder Capability Grid. This is another helpful tool to use prior to making decisions about implementation. The tool helps with assessing which recommendations are likely to be implemented successfully because they match stakeholder capacity – and those that are likely to fail due to lack of stakeholder capacity (see Figure 7). The grid is adapted from Bryson, Freeman, and Roering (1986, pp. 73-6; see also Bryson 2004a).

Insert Figure 7 About Here – Recommendation Attractiveness Versus Stakeholder Capability Grid

In order to make effective use of this technique, the evaluation team will need to develop the criteria to assess the attractiveness of a recommendation and the capabilities necessary for successful implementation. Note that resource requirements and resource availability are a key component of "capability" – and while some evaluation teams may have already gathered the information needed

to estimate the various costs of implementation, some may be in a position to list only the components. In either case, inclusion of needed resource requirements and availabilities are key consideration of the capability assessment.

Each recommendation should be listed on a Post-It ® and placed on the grid in the appropriate position after considering both the recommendation's attractiveness and the various stakeholders' capacities to implement it. Discuss results and any implications for building necessary capacity among stakeholders, or, if needed, how to remove unattractive recommendations from the agenda.

STEP 5 – Decision

Making and Implementation –

In a sense, all of the techniques considered so far are relevant to decision making and implementation of the evaluation recommendations. They are all concerned with developing significant stakeholder support. That said, it is still important to continue retaining a stakeholder focus during decision making and implementation (Nutt, 2002). We present one final technique to help do so.

5.a. Recommendation Implementation Strategy Development Grid. Filling out a recommendation implementation strategy development grid can help evaluators, planners and decision makers gain a clearer picture of what will be required for implementation and help them develop action plans that will tap stakeholder interests and resources. The technique is adapted from

Meltsner (1972), Coplin and O'Leary (1976), Kaufman (1986), and Christensen (1993), and builds on information revealed by previously created (1.e.) bases of power–directions of interest diagrams, (3.a.) stakeholder role plays, (4.a.) evaluation recommendation support versus opposition grids, and (4.c.) recommendation attractiveness versus stakeholder capability grids.

Insert Figure 8 About Here – Evaluation Recommendation Implementation Strategy Development Grid

The tool recognizes the separation between supportive and opposing stakeholders. For each stakeholder, list their stake in the evaluation, their resources, avenues of influence, probability of participating, influence, implications for implementation strategy, and action plan for dealing with them. It is possible that a separate grid will need to be developed for each recommendation.

Steps 1 through 5 – Overall Summary. This completes the discussion of specific stakeholder analysis techniques. As can be seen, a wide variety of techniques is available to inform evaluation efforts intended to produce a credible evaluation likely to be used by intended users for its intended use. Each technique provides a different kind of information, often building on previous techniques to provide structured assistance in considering the interests, concerns, perspectives and other important aspects of different evaluation stakeholders.

CONCLUSIONS

There are three notable trends in evaluation that all point to the importance of working effectively with stakeholders. They are: 1) a general increase in both technical and people skills in evaluators; 2) an increasing emphasis on building evaluation capacity; and 3) increased attention to, and valuing of, the impacts on participants of process use. The tools for working with stakeholders offered in this article are aimed at providing concrete and practice-tested approaches for strengthening all three trends and increasing the ultimate use and usefulness of evaluations. As noted previously, in a 2006 on-line survey of members of the American Evaluation Association, 77% of 1,047 respondents agreed or strongly agreed with the following statement: "Evaluators should take responsibility for: *Being accountable to intended users of the evaluation for intended uses of the evaluation" (*Fleischer, 2007). To exercise that responsibility and realize that accountability, evaluators can benefit from using specific stakeholder analysis tools at every step in the evaluation process. Working meaningfully with stakeholders is not something to be done just at the beginning of an evaluation. Attending to and engaging with evaluation stakeholders typically must occur every step along the way, including during the interpretation of data and findings and in support of implementation of recommendations and decisions and actions that flow from the evaluation findings.

This article is, to the best of our knowledge, one of the first attempt to provide a *how-to* guide to a range of stakeholder analysis tools applied to evaluation and the issues of *which* stakeholders to engage, *why*, and *when* in the evaluation process (Bryson and Patton, 2010). As indicated in the introduction, the process is loosely aligned with Patton's (2008) utilization-focused evaluation;

however, we have argued that the approach to working with evaluation stakeholders we present is more generic, and that the application of the tools is not dependent on any one evaluation approach.

Each of the stakeholder analysis techniques has a specific purpose and reveals some things, while hiding, or at least not highlighting, others. Stakeholder analyses therefore must be undertaken skillfully and thoughtfully, with a willingness to learn and revise along the way (Bardach, 1998; Lynn, 1996). For some small evaluation efforts, a one-time use of one or two techniques may be all that is necessary; for larger evaluation efforts, a whole range of techniques will be needed at various points throughout the process. Hybrid techniques or new techniques may also need to be invented along the way. The key point is the importance of thinking strategically about which analyses are to be undertaken, why, when, where, how, and with whom, and how to change direction when needed. We hope that the inclusion of a portfolio of straight-forward and sensible techniques will indeed improve how evaluation stakeholders are identified, assessed, and involved, ultimately how these tools benefit the field.

Finally, there remains quite an agenda for research, education, and practice around stakeholder identification, analysis, and engagement. We still have much to learn about which techniques work best under which circumstances and why. What we do know is that skillfully, thoughtfully, and authentically working with stakeholders to achieve intended use by intended users increases use of both evaluation findings and processes (Patton, 2008).

REFERENCES

Alkin, M.C. (2004). *Evaluation roots: Tracing theorists' views and influences*. Thousand Oaks, CA: Sage Publications.

Alkin, M. C., Daillak, R, and White, P. (1979). *Using Evaluation: Does Evaluation Make a Difference?* Beverly Hills, CA: Sage.

Alkin, M. C., Hofstetter & X. Ai. (1998). " Stakeholder Concepts." *Advances in Educational Productivity* 7:87-113.

American Evaluation Association Task Force on Guiding Principle for Evluators. (1995). 'Guiding Principles for Evlators.' *New Directions for Program Evaluation,* 66: 19 – 34.

Bamberger, M, Rugh, J., & Mabry, L. (2006). *Real world evaluation: Working under budget, time, data, and political constraints*. Thousand Oaks, CA: Sage Publications.

Bardach, E. (1998). *Getting Agencies to Work Together.* Washington DC: Brookings Institution Press.

Beech, N. & Huxham, C. (2003) 'Cycles of Identificationing in Collaborations.' Glasgow, Scotland: University of Strathclyde, Graduate School of Business, Working Paper Series.

Braverman, M. T., N. A. Constantine, and J. K. Slater, eds. (2004). *Foundations and Evaluation: Contexts and Practices for Effective Philanthropy*. San Francisco: Jossey-Bass.

Bryson, J. (2004a). *Strategic Planning for Public and Nonprofit Organizations, 3rd ed.*. San Francisco CA: Jossey-Bass.

Bryson, J. (2004b) 'What To Do When Stakeholders Matter: A Guide to Stakeholder Identification and Analysis Techniques.' *Public Management Review*, 6(1) 21 – 53.

Bryson, J., Ackermann, F., and Eden, C. (2007) 'Putting the Resource-Based View of Management to Work in Public Organizations,' *Public Administration Review*

Bryson, J., & Bromiley, P. (1993). 'Critical Factors Affecting the Planning and Implementation of Major Projects.' *Strategic Management Journal* 14 319-337.

Bryson, J., Bromiley, P., & Jung, Y. S. (1990). 'Influences on the Context and Process on Project Planning Success.' *Journal of Planning Education and Research* 9(3) 183-185.

Bryson, J. & Crosby, B. (1992). *Leadership for the Common Good: Tackling Public Problems in a Shared Power World.* San Francisco: Jossey-Bass.

Bryson, J., Cunningham, G. & Lokkesmoe, K.(2002). 'What to Do When stakeholders Matter: The Case of Problem Formulation for the African American Men Project of Hennepin County Minnesota.' *Public Administration Review* 62(5) 568-584.

Bryson, J., Freeman, R. E. & Roering, W. (1986). 'Strategic Planning in the Public Sector:

Approaches and Directions.' B. Checkoway (ed.) *Strategic Perspectives on Planning Practice* . Lexington MA: Lexington Books.

Bryson, J., and Patton, M. (2010, forthcoming). 'Analyzing and Engaging Stakeholders,' Chapter 2 in H. Hatry, J. Wholey, and K. Newcomer, *Handbook of Practical Program Evaluation, 3rd Edition*. San Francisco, CA: Jossey-Bass.

Burby, R. (2003) 'Making Plans That Matter: Citizen Involvement and Government Action.' *Journal of the American Planning Association* 69(1) 33-50.

Christensen, K. (1993). "Teaching Savvy." *Journal of Planning Education and Research* 12 202-212.

Clayson, Z. C., X. Castaneda, E. Sanchez & C. Brindis. (2002). "Unequal Power -- Changing Landscapes: Negotiations between Evaluation Stakeholders in Latino Communities." *American Journal of Evaluation* 23 (1): 33-44.

Cleveland, H.(2002) *Nobody in Charge: Essays on the Future of Leadership*. San Francisco, CA: Jossey-Bass.

Compton, D, M. Baizerman, and S. Stockdill, eds. 2002. *The Art, Craft, and Science of Evaluation Capacity Building. New Directions for Evaluation*, No. 93.

Cooper, T. (1998). *The Responsible Administrator, 4th Ed*. San Francisco, CA: Jossey-Bass.

Coplin, W. & O'Leary, M. (1976). *Everyman's Prince: A Guide to Understanding Your Political Problem.* Boston: Duxbury Press.

Cousins, J. B., ed. (2007). *Process Use. New Directions for Evaluation*. No. 116.
Cousins, J. B.& L. M. Shulha. (2006). "A Comparative Analysis of Evaluation Utilization and Its Cognate Fields of Inquiry: Current Issues and Trends." Pp. 266-291, in Ian F. Shaw, Jennifer C. Greene, and Melvin M. Mark, (eds.), *The Sage Handbook of Evaluation: Policies, Programs and Practices.* Thousand Oaks, CA: Sage.

Cousins, J. B. & E. Whitmore. (2007). "Framing Participatory Evaluation." *New Directions for Evaluation*, No. 114: 87-105.

Dahl, R. (1990). *Modern Political Analysis*. Englewood Cliffs N.J.: Prentice-Hall.

Crosby, B. C., and J. M. Bryson (2005) *Leadership for the Common Good, 2nd Edition.* San Fancisco, CA: Jossey-Bass.

Crosby, B. C., J. M. Bryson, & S. R. Anderson (2003) *Leadershipfor the Common Good Fieldbook*. Saint Paul, MN: University of Minnesota Extension Service, Community Vitality program

Durland, M. & K. Fredericks, eds. 2005. *Social Network Analysis in Program Evaluation. New*

Directions for Evaluation, No. 107. Eden,C. & Ackermann ,F. (1998). Making Strategy: The Journey of Strategic Management. London: Sage Publications.

Eden, C., and Ackermann, F. (1998) Making Strategy. Thousand Oaks, CA: SAGE.

Feldman, M. & Khademian, A. (2002). To Manage Is to Govern. *Public Administration Review* 62(5) 541-554.

Fleischer, D. (2007). *Evaluation Use: A Survey of U.S. American Evaluation Association Members*. Unpublished Masters Thesis, Claremont Graduate University.

Freeman R. E. (1984). *Strategic Management: A Stakeholder Approach*. Boston: Pitman.

Friend, J. & Hickling, A. (1997). *Planning Under Pressure: The Strategic Choice Approach*. 2nd Ed. Oxford England: Heinemann.

Ghere, G., J. King, L. Stevahn & J. Minnema. (2006). "A Professional Development Unit for Reflecting on Program Evaluation Competencies." *American Journal of Evaluation* 27(1): 108-123.

Greene, J. C. 2005. "Stakeholders." Pp. 397-8 in Sandra Mathison (ed.) *Encyclopedia of Evaluation*. Thousand Oaks, CA: Sage.

House, E. R. (1980). *Evaluating with Validity*. Beverly Hills, CA: Sage.

House, E. R.(1977). "The Logic of Evaluative Argument." In *CSE Monograph Lines in Evaluation,* vol. 7. Los Angeles: UCLA Center for the Study of Education.

House, E. R. & K. Howe. (1999). *Values in Evaluation and Social Research*. Thousand Oaks, CA: Sage.

House, E. R. & K. Howe..(2000). "Deliberative Democratic Evaluation." *Evaluation as a Democratic Process*. *New Directions for Evaluation*, 85: 3-12.

Joint Committee on Standards for Educational Evaluation. *The Program Evaluation Standards*. Thousand Oaks, Calif.: Sage, 1994.

Julnes, G. & D. Rog, eds. (2007). *Informing Federal Policies on Evaluation Methodology: Building the Evidence Base for Method Choice in Government Sponsored Evaluation*. *New Directions for Program Evaluation,* No. 113.

Kahneman, D. & A. Tversky, eds. (2000). *Choices, Values, and Frames*. Boston: Cambridge University Press.

Kaufman, J. (1986). Making Planners More Effective Strategists. In B. Checkoway (ed.) *Strategic Perspectives on Planning Practice* . Lexington Mass.: Lexington Books.

Kettl, D. (2002). *The Transformation of Governance: Public Administration for Twenty-first Century*

America. Baltimore MD: Johns Hopkins University Press.

King, J. A. (2007). "Making Sense of Participatory Evaluation." *New Directions for Evaluation*, No. 114: 83-86.

King, J., L. Stevahn, G. Ghere & J. Minnema (2001). "Toward a Taxonomy of Essential Program Evaluator Competencies." *American Journal of Evaluation*, 22(2), 229-247.

Leeuw, F. (2002). "Evaluation in Europe 2000: Challenges to a Growth Industry." *Evaluation* 8 (1), 5-12.

Lewis, C.W., & Gilman, S.C. (2005). *The Ethics Challenge in Public Service: A Problem-Solving Guide*. San Francisco: Jossey-Bass.

Lynn, L.(1996*). Public Management as Art, Science and Profession*. Chatham New Jersey: Chatham House.

Margerum, R. (2002). 'Collaborative Planning: Building Consensus and a Distinct Model of Practice.' *Journal of Planning Education and Research* 21, 237-253.

Meltsner, A. (1972). Political feasibility and policy analysis. Public Administration Review 32(November/December) 859-867.

Mendelow, A. L. (1987). "Stakeholder Analysis for Strategic Planning and Implementation." Pp. 176-91 in *Strategic Planning and Management Handbook,* edited by W. R. King and D. I. Cleland. New York: Van Nostrand Reinhold.

Mitchell R. K., Agle B. R. & Wood D. J. (1997). Toward a Theory of Stakeholder Identification and Salience: Defining the Principle of Who and What Really Counts. *Academy of Management Review* 22(4), 853-886.

Mohan, R., D. J. Bernstein & M. D. Whitsett, eds. (2002). *Responding to Sponsors and Stakeholders in Complex Evaluation Environments. New Directions for Evaluation,* No.95.Mohan, R. & K. Sullivan, eds. (2007). *Promoting the Use of Government Evaluations in Policymaking. New Directions for Evaluation,* No. 113.

Morris, D. 2002. "The Inclusion of Stakeholders in Evaluation: Benefits and Drawbacks." *The Canadian Journal of Evaluation* 17 (2): 49-58.

Nadler, G., and Hobino, S. (1998). *Breakthrough Thinking, Revised 2ⁿᵈ Edition.* Roseville, CA: Prima Publishing.

Nutt, P. (2002). *Why Decisions Fail: Avoiding the Blunders and Traps That Lead to Debacles*. San Francisco: Berrett-Koehler Publishers Inc.

Nutt, P. &. Backoff, R. (1992). *Strategic Management of Public and Third Sector Organizations: A Handbook for Leaders.* San Francisco: Jossey-Bass.

Patton, M.Q. (2008). *Utilization-Focused Evaluation, 4th ed*. Thousand Oaks, CA: Sage.

Peters, B. G. (1996). *The Future of Governing: Four Emerging Models*. Lawrence Kansas: University Press of Kansas.

Preskill, H., and Caracelli. (1997). 'Current and Developing Conceptions of Use: Evaluation Use TIG Survey Results.' *American Journal of Evaluation,* 18(3): 209 – 26.

Rossi, P., M. Lipsey, and H. Freeman, (2003) *Evaluation: A Systematic Approach*, 7th ed. Thousand Oaks, CA: Sage.

Ryan, K. and L. DeStefano, eds. (2000). *Evaluation as a Democratic Process: Promoting Inclusion, Dialogue, and Deliberation*. *New Directions for Evaluation*, No. 85.

SenGupta, S., R. Hopson & M. Thompson-Robinson. (2004). "Cultural Competence in Evaluation: An Overview." *New Directions for Evaluation*, No. 102, 5-20.

Stone, D. (2002). Policy Paradox and Political Reason. New York: W. W. Norton.

Taut, S. 2007. "Studying Self-Evaluation Capacity Building in a Large International Development Organization." *American Journal of Evaluation* 28 (1), 45-59.

Thiele, G., A. Devaux, C. Velasco & D. Horton. (2007). "Horizontal Evaluation: Fostering Knowledge Sharing and Program Development Within a Network." *American Journal of Evaluation*, 28 (4): 493-508.

Tuchman, B. (1984). *The March of Folly: From Troy to Vietnam*. New York: Knopf.

Vickers, B., & Vickers, G. (1998). The *Art of Judgment*. New York: HarperCollins.

Weiss, C. H. (1998). "Have We Learned Anything New About the Use of Evaluation?" *American Journal of Evaluation* 19 (1): 21-33.

Wildavsky, A. (1979). Speaking *Truth to Power: The Art and Craft of Policy Analysis*. Boston: Little Brown

Table 1. Evaluation and Stakeholder Identification and Analysis Techniques

| EVALUATION STEP:	TECHNIQUE	PURPOSE	REVEALS	DIAGRAM
1. Evaluation Planning	**1.a. List Evaluation Stakeholders**	**To develop initial list of stakeholders, begin to conduct iterative process of narrowing the field of key stakeholders**	**Broad list of stakeholders**	
	1.b. Basic Stakeholder Analysis Technique	**To identify the interests of individual stakeholders in the program and their interests in the evaluation.**	**Key evaluation issues**	**Figure 1**
	1.c. Power Vs. Interest Grids	**To determine which players' interests and power issues must be considered.**	**Players, context setters, subjects, and crowd Common ground all or subsets of stakeholders Possible coalitions of support and / or opposition Strategies for changing views of stakeholders. Ways to advance the interests of the powerless.**	**Figure 2**
	1.d. Stakeholder Influence Diagrams	**To identify how stakeholders influence one another**	**Who influences whom among the stakeholders Who the most influential stakeholders are**	
	1.e. Bases of Power – Directions of Interest Diagram	**To identify the sources of a stakeholders' power. To clarify stakeholder's interests or stakes To help planning team identify common ground across all stakeholder groups.**	**The goals the stakeholder seeks to achieve or the interests they seek to serve, as well as the power based on which the stakeholder can draw to pursue those interests**	**Figure 3**

2. Evaluation Design	2.a Participation Planning Matrix	To indicate probable level of stakeholder participation and relationship of evaluator to stakeholder	Expectations for involvement and action plans for communication	Figure 4
	2.b. Purpose Network or Hierarch	To engage the expanded evaluation team in identifying purposes beyond the initial evaluation purpose and establishing the primary purpose or intended use of the evaluation.	Causal network or hierarchy of purposes indicating which purposes are prerequisite to or help achieve other purposes Primary evaluation purpose	
3. Data Collection	3.a. Stakeholder Role Plays	To understand how different stakeholders respond to different methods, measurements, and designs	Insights into how other stakeholders think	
4. Analysis	4.a. Evaluation Recommendation Support Versus Opposition Grids	To identify which stakeholders are likely to support which recommendations and which are likely to oppose it	Recommendations that have a strong coalition of support Recommendations that may need to be changed in order to garner support	Figure 5
	4.b. Stakes and Inclination Toward Evaluation	Compares importance of recommendations vs. support, opposition, and neutrality		Figure 6
	4.c. Recommendation Attractiveness Versus Stakeholder Capability Grid	To identify recommendations that are likely to be implemented due to stakeholder capacity and those that will fail due to lack of capacity	Recommendations that have strong stakeholder capacity to implement	Figure 7
5. Decision making and Implementation	5.a. Evaluation Recommendation Implementation Strategy Development Grid	To help stakeholders gain a clear picture of what will be required for implementation & help develop action plans that will tap stakeholder interests and resources	Resources and strategies for successful implementation	Figure 8

Stakeholder:	
Stake or Interest in the Program: ● What do they want to get out of the program, and/or ● What do they want the program to produce?	*Stake or Interest in the Evaluation*: ● What do they want to get out of the evaluation, and or ● What do they want the evaluation to produce?

- Use colored dots (green for good; yellow for fair; red for poor) or other method to rank your initial assessment of how well you think the stakeholder thinks the program is doing from their point of view.
- Use these rankings to help frame the priorities that may be placed on the stakeholder interests in the evaluation.
- As issues emerge, identify short-term issues that may be quickly addressed and long term issues that may require more thoughtful attention.

Figure 1. Basic Stakeholder Analysis

Source: Adapted from Bryson (2004a, 2004b)
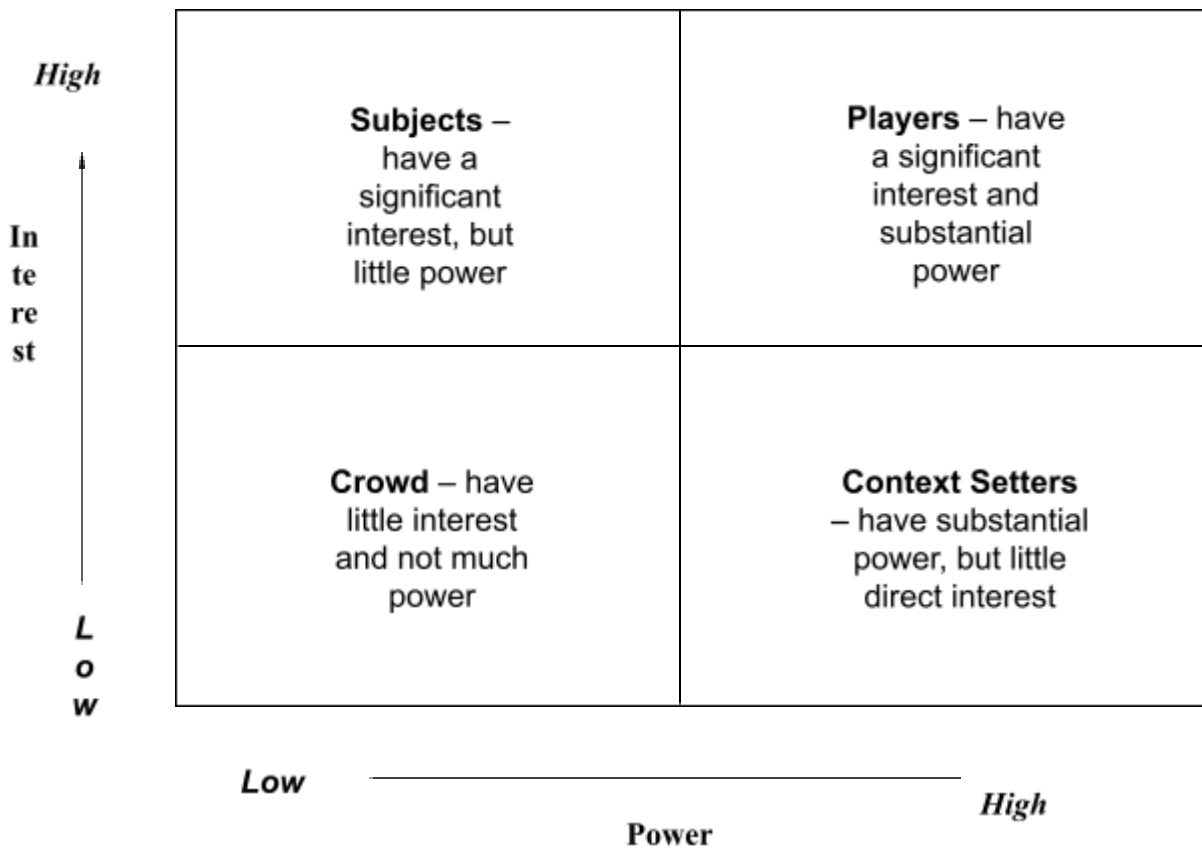
Source: Eden and Ackermann (1998: 122).
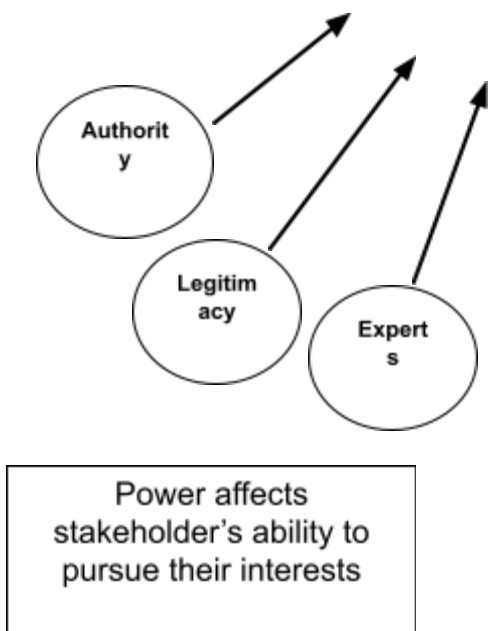
Figure 2. Power Versus Interest Grid

Figure 3. Bases of Power – Directions of Interest Diagram, with Examples of Power Bases and Interests

Source: Adapted from Eden and Ackermann 1998 127 and Bryson Lokkesmoe and Cunningham 2002

Figure 4. Participation Planning Matrix:
Differing Levels of Participation and Accompanying Promises from the Evaluator to the Stakeholder

Steps in Evaluation Process	Types of involvement	Do Not Engage	Engage as Data Source	Inform	Consult	Involve	Collaborate	Empower
	Promise evaluator makes:		We will honor human subjects protocols and treat you and the data with respect	We will keep you informed of the evaluation's progress and findings.	We will keep you informed, listen to you, and provide feedback on how your input influenced the evaluation.	We will work with you to ensure your concerns are considered and reflected in options considered, make sure you get to review and comment on options, and provide feedback on how your input is used in the evaluation.	We will incorporate your advice and suggestions to the greatest extent possible, and give you meaningful opportunities to be part of the valuation decision-making process.	This is your evaluation. We will offer options to inform your decisions. You will decide and we will support and facilitate implement-ing what you decide.
	Those engaged are especially important and useful for…		providing needed data	disseminating findings and creating interest in the results	anticipating issues, identifying landmines, suggesting priorities, and enhancing the credibility of the evaluation.	affirming the importance, appropriateness and utility of the evaluation, attracting attention to findings, and establish credibility.	serving as primary intended users because of their high interest, interpersonal style, availability, influential positions and/or connections, and sense of ownership of the evaluation.	capacity development, using the evaluation to build their capacity to engage in evaluative thinking and practice.
STEP 1 – Evaluation Planning								

STEP 2 – Evaluation Design							
STEP 3 – Data Collection							
STEP 4 – Analysis							
STEP 5 – Decision Making and Implementation							

- **Fill out the** matrix by placing stakeholders' names in the boxes that best signify their level of desired involvement. Then develop action plans for how to follow through with each stakeholder
- Cycle back and revise the matrix as the evaluation design and methods unfold

Source: Adapted from Bryson (2004: 33) and from the International Association for Public Participation's Public Participation Spectrum of levels of public participation (http://www.iaps.org/practioner tools/spectrum.html)

Support

Low

High

Opposition

High

Low

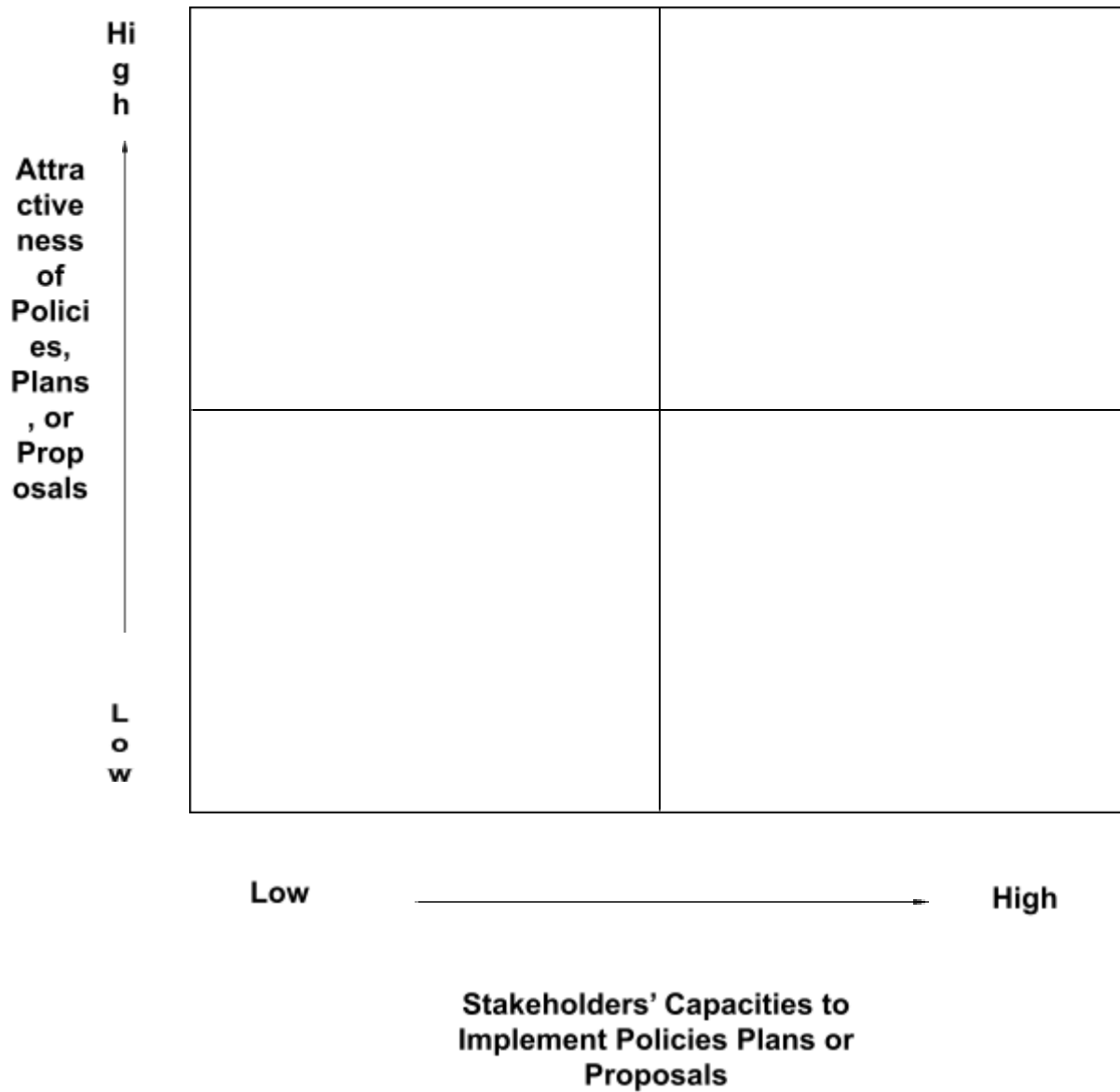Strong Opponents

Weak

Stakeholder Power

Strong
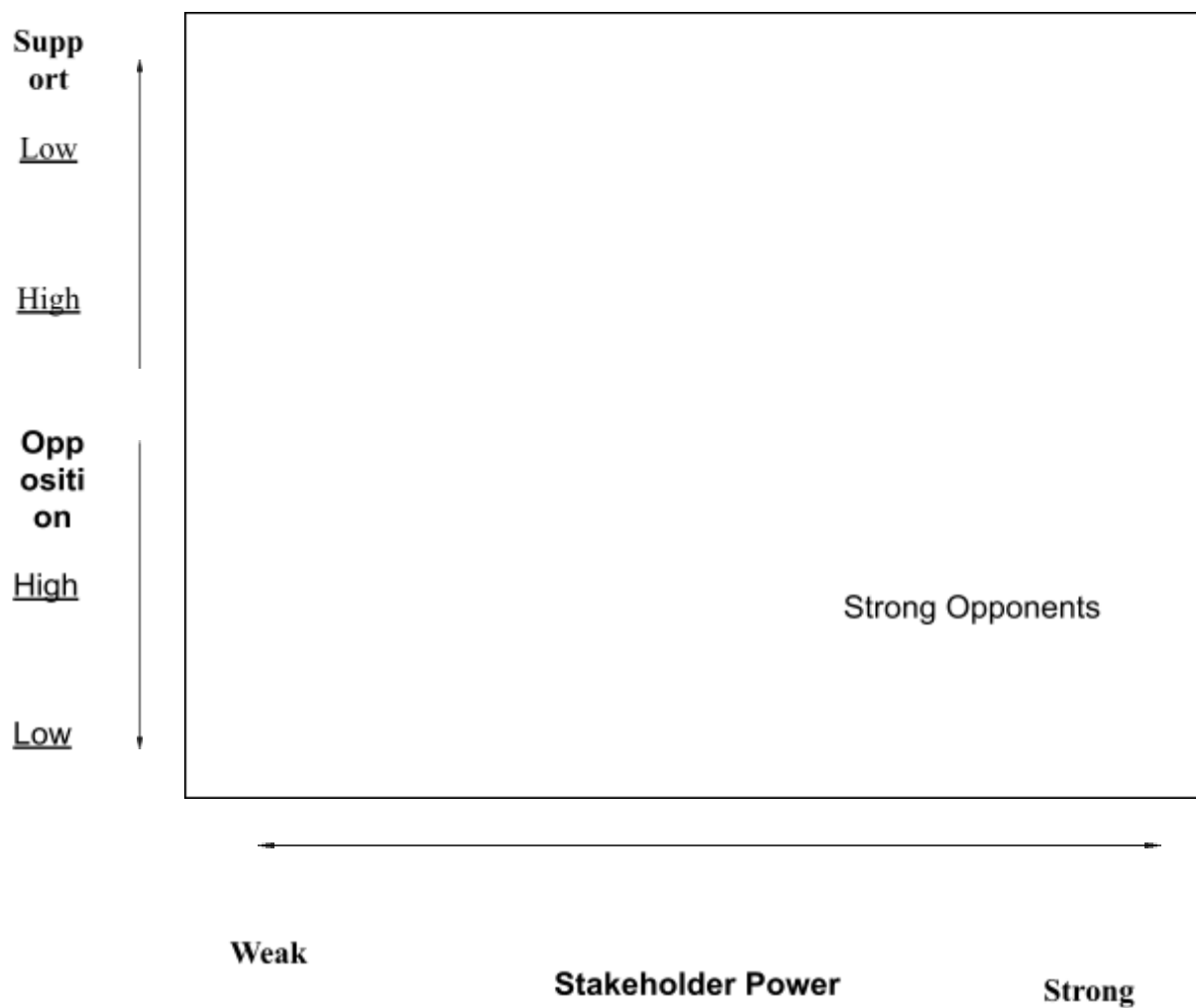
Source: Crosby, Bryson and Anderson 2003; adapted from Nutt and Backoff 1992: 198.

Figure 5. Evaluation Recommendation Support Versus Opposition Grid

How High Are the Stakes for the Stakeholders?	Estimate of Various Stakeholders' Initial Inclination Toward the Evaluation Recommendations		
	Favorable	Neutral or Unknown	Antagonistic
High			
Moderate			
Low			

Figure 6. Mapping Stakeholders' Stakes and Inclinations Toward the Evaluation's Recommendations

High

Attractiveness of Policies, Plans, or Proposals

Low

Low ————————————→ High

Stakeholders' Capacities to
Implement Policies Plans or
Proposals

Source: Bryson, Freeman, and Roering 1986 73-6; see also Bryson 1995 197-8 283-4.

Figure 7. Recommendation Attractiveness versus Stakeholder Capability Grid

Stakeholders	Stake or Interest	Resources	Avenues of Influence	Probability of Participation and Manner of Doing So	Influence – as a Product of Resources and Participation	Implications for Implementation Strategy	Action Plan Elements
Supportive Stakeholders							
Opposing Stakeholders							

Source: Adapted from Meltsner 1972; Coplin and O'Leary 1976; Kaufman 1986; and Christensen 1993.

Figure 8. Recommendation Implementation Strategy Development Grid