

# Framework of Evaluation Capabilities



### Introduction

This document outlines the UK Evaluation Society's Framework of Evaluation Capabilities. It is a further step (following the Society's Guidelines for Good Practice in Evaluation) in promoting a culture of professionalization to enhance the quality of evaluation

The first part of the document locates this initiative within a broader context of debate about competencies for evaluation and the rationale and purposes they can serve. The second part outlines the Society's Capabilities Framework itself, its scope and context of use<sup>1</sup>. An Appendix outlines the precise steps that were taken.

### **Background**

In the last decade competency frameworks for evaluation have been advanced by several professional evaluation societies. Foremost in this movement has been the Canadian Evaluation Society (CES)² which has developed a set of competencies related to professional designation, though stopping short of accreditation. The German Evaluation Society, DeGEval³ has generated a framework of competencies to guide the design of evaluation training programs. The European Evaluation Society (EES) has posted a framework of competencies on its website, using the terminology capabilities, together with the results of a survey conducted in 2011⁴ that validated its structure and content. The International Development Evaluation Association (IDEAS) produced a set of competencies in January 2012⁵. Various other organisations with responsibilities for evaluation have also developed sets of competencies (See, for example, DFID⁶ and UNEG⁷).

Purposes vary. For example, for professional designation see CES, for training see DeGEval and for selection and professional development (DFID). There has also been a great deal of debate about the virtue of such sets of competencies. However it is clear that a zeitgeist of competency generation has taken hold in the professional evaluation community. In line with this development, the UK Evaluation Society has been discussing the pros and cons of establishing a framework of evaluation competencies since 2009.

### **Rationale**

The rationale for the emergence of sets of evaluation competencies at this point in time seems to have arisen in two specific interconnected contexts, one professional, and the other political.

The first extends the pursuance of evaluation quality beyond the promotion of ethical guidelines / principles / standards / codes<sup>8</sup>, which have been the guiding frameworks for quality evaluation developed by evaluation societies during the past two decades. Such guidelines (see the EES website for an extensive list) have helped to build an evaluation culture and enhance the professionalization of evaluation. However they do not specify what particular competencies evaluators should have to conduct useful, credible evaluations. A more specific competency framework, it has been argued, appropriately and sensitively used, would further the professionalism of evaluators.

The second is a reaction to the increasing dominance of one of the major purposes of evaluation – accountability. As the evaluation field has evolved over the past fifty years, practitioners, commissioners and clients alike have become more knowledgeable about its uses, including its potential role in policy making and more discerning and/or demanding about the quality of evaluation and the competency of those who conduct it. In the absence of formal qualifications for evaluators and registration to practice, competency/capability frameworks appear to offer a useful, further check on the quality of evaluation and on those who conduct it.

### UK Evaluation Society's Framework of Evaluation Capabilities

The Capability Framework of the UK Evaluation Society follows the recent trend noted on the previous page during the last five years in prominent evaluation societies and other organisations towards establishing competency frameworks for evaluation. Not everyone agrees on the purposes of such frameworks and different societies have emphasized different functions, as noted in the background section. But all have taken place within a debate on professionalisation of evaluation as a social practice. Though developed within and influenced by the wider discussion of competencies in professionalisation of evaluation, the terminology of capabilities is used in this document to parallel the EES adoption of the term and to signal a broader interpretation and possible use.

### **Purpose**

The Framework has as its major purpose the professionalisation of evaluation as a social practice. It builds on and extends the work of the Society's Guidelines for Good Practice in Evaluation which the Council endorsed in 2002 and published in 2003<sup>10</sup>. These guidelines were the outcome of debate around standards and ethics and took the form of guidelines of good practice in the field (rather than standards or codes, for example) to highlight their aspiration to be of practical use. The Guidelines speak to the quality of the commissioning and conduct of evaluation and the reciprocal roles and responsibilities of the different partners in the evaluation enterprise. However they do not address specific competencies evaluators or evaluations need to have. The current framework takes this next step in outlining broadly the competencies/capabilities required to ensure quality evaluation.

### **Contexts of use**

The framework of core capabilities outlined here continues the intent of the Society's Guidelines for Good Practice which is educational, not prescriptive. Its aim is to raise awareness of the skills and capabilities required to conduct a quality evaluation. It also takes into account the fact that the responsibility for ensuring quality evaluation does not rest solely with an individual evaluator. Teams are often involved in the conduct of evaluation in which evaluators have different strengths and different levels of experience. Social and political circumstances often impact on evaluation practice in ways unforeseen and independent of the precise skills of individual evaluators. It is useful to keep these broader factors in mind when thinking about how to make use of a framework of capabilities. Some potential uses are noted below.

Individual evaluators, for example (whether recently appointed or not) can reflect upon whether they require further professional development to enhance their professional skills and competence. Commissioners of evaluation can reflect upon the competencies they require in an evaluation and consider how these can be met (by one person, a team or a partnership between institutions which have different strengths). Organisations and evaluation societies can consider building a training programme around the competencies/capabilities to provide a basis for 'new' evaluators or advanced training for mid-career professional evaluators. The capabilities framework can also act as a quality assurance process for participants, managers and stakeholders as well as convince audiences of evaluation that the outcome will be a credible, quality evaluation.

### **Scope of the Framework**

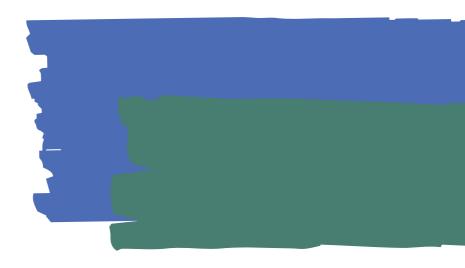
In parallel with other evaluation competency frameworks the generic competencies listed in the UK Evaluation Society's Framework of Evaluation Capabilities fall into three main categories (i) evaluation knowledge; (ii) professional practice; and (iii) qualities and attitudes or dispositions. In some frameworks, the SRA Competency framework<sup>11</sup>, for example, which has seven key competences, each is specified slightly differently for different levels of experience.

**Evaluation knowledge** refers both to the knowledge base of philosophy and method evaluation brings from the social sciences, disciplines and professions and the specific knowledge generated within the field of evaluation. This includes knowledge of evaluation theories, methodologies and their political implications, of evaluation designs, purposes and approaches and of the social and political role evaluation plays in society.

**Professional practice** refers to competencies/capabilities in the field; the capabilities evaluators need to have to ensure not only that they can conduct a credible, valid evaluation but that they have the interpersonal and political skills to manage the process. These include the ability to change course in a highly politicised evaluation context where the conditions to effectively implement a well-designed evaluation do not exist; to negotiate mutually conflicting interests and demands for different kinds of data; and to report conflicting evidence in sensitive ways. While knowledge of how to conduct evaluation is essential, quality evaluation depends equally on how evaluators act in the field.

Qualities and dispositions refers to the personal characteristics that enable evaluators to function in difficult circumstances e.g. not to be thrown off task, to maintain an impartial, independent stance, to manage complexity and to tolerate ambiguity and dissonance. It may not be possible to identify all such personal attributes (and they may differ from person to person and in different contexts). However it is often just such attributes that ensure, however technically skilled and knowledgeable an evaluator is, that evaluation fulfils its public function in a democracy to provide useful, relevant and timely evidence to inform decision making

The specific capabilities in the Framework on the next page are the outcome of much debate within the society over three years (see Appendix for details of the process and how the framework evolved). It has been revised four times and was ratified by the Council of the UK Evaluation Society, June 2012.



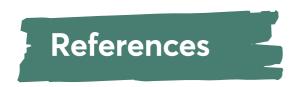
1	EVALUATION KNOWLEDGE
1.1	Understands the social and political role of evaluation
1.11	Awareness of the history of evaluation and its emergence as a distinct field of inquiry
1.12	Appreciates the linkages and differences between evaluation and social research
1.13	Indicates familiarity with the use of program theory in evaluation
1.14	Understands the political implications of different evaluation theories and their use
1.2	Familiarity with evaluation designs and approaches
1.21	Is familiar with a range of evaluation theories and approaches
1.22	Knows how to engage effectively with evaluation stakeholders
1.23	Identifies relevant evaluation questions
1.24	Knows how to design an evaluation appropriate to the evaluation task
1.25	Takes account of the policy context in designing evaluations
1.3	Comprehends and makes effective use of evaluation methodologies
1.31	Appreciates advantages and potential constraints of qualitative and quantitative methods
1.32	Appreciates different uses of monitoring systems and indicators and their role in evaluation
1.33	Understands participatory approaches and the contexts in which most appropriate
1.34	Realises which methods are appropriate for formative/ summative purposes
1.35	Comprehends that criteria for validity and reliability differ according to method
2	PROFESSIONAL PRACTICE
2.1	Demonstrates ability to manage and deliver evaluations
2.11	Ascertains the social /political context and program logic
2.12	Conforms to relevant ethical standards and guidelines
2.13	Identifies data gathering instruments appropriate to the task
2.14	Gathers relevant evidence, analyses and interprets in context
2.15	Conducts robust data analysis, whether qualitative or quantitative
2.16	Reports fairly and justly to agreed audiences in the public interest
2.17	Disseminates evaluation findings and promotes their use
2.2	Demonstrates interpersonal skills
2.21	Writes fluently and communicates clearly
2.22	Shows ethical sensitivity in specific socio/political contexts
2.23	Uses sound negotiating skills
2.24	Demonstrates cultural and gender awareness
2.25	Displays impartiality in conducting and reporting evaluation
2.26	Manages conflicts of interests and values fairly
3	QUALITIES AND DISPOSITIONS
3.1	Demonstrates ability to adapt to changing circumstances in a principled manner
3.2	Exercises sound, rigorous and fair judgment
3.3	Contributes to the professional evaluation community
3.4	Displays independence of mind and integrity especially when evaluation challenged
3.5	Upholds democratic values in conducting and reporting evaluations
3.6	Displays self-knowledge and pursues professional development



### Evolution of the UK Evaluation Society's Framework of Evaluation Capabilities

Gaining consensus among members for a Framework of Evaluation Capabilities has taken three years, much as it did a decade earlier when producing a set of ethical guidelines. The discussion which preceded its acceptance has taken both members' concerns and the international debate on competencies and professionalism of evaluation into account. It seems important here to outline the steps taken to gain consensus for the development of the Framework.

- Work started on a Framework for Competencies in early 2009 with discussions in Council meetings on the virtue of such a development.
- A questionnaire was sent to members of the Society May 2009, outlining rationales for and seeking support or otherwise for a competency framework and set of specific competencies. The results indicated broad agreement to continue work on this initiative, though with differences of view on the precise competencies to include. The suggested framework was redrafted on the basis of members' responses.
- The questionnaire results and revised framework was presented at the UK Evaluation Society's conference November 2009, where the competency idea and draft framework received so much debate and dissent that a proposal was put to the AGM that year to seek support (or not) for continuance with this initiative. Support was confirmed.
- However, the following year 2010 at a March Council meeting, further objection to the initiative was raised on the grounds that general lists of competencies were open to misuse and control. A different route to ensuring quality was proposed located more in practice. This was not elaborated however and the Council supported the furtherance of the initiative already underway.
- The Framework was then refined by a group who, in the initial questionnaire, had agreed to help develop it.
- This revised set of competencies was further elaborated in a workshop on Capabilities organized by the UK Evaluation Society's London Network, June 2010.
- Further presentations of the results of the original questionnaire and the revised draft framework were given at the EES (European Evaluation Society) Conference 2010 and NESE (Network of Evaluation Societies in Europe) October, 2010.
- The revised draft framework was once again thrown open to members for their consideration at the Society's Conference, November 2010 and further helpful revisions made.
- The Framework proposed in the foregoing document is the outcome of all the above discussions. It has been revised four times. It was ratified by the UK Evaluation Society's Council, June 2012.



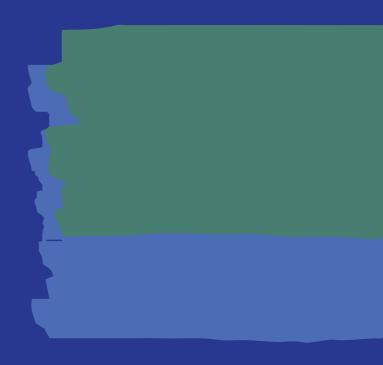
- 1. The UK Evaluation Society's Framework of Capabilities was developed by Helen Simons, convener of the Society's Capabilities SubGroup, and members of the Society in consultation with Robert Picciotto, EES board member, and convener of the EES 'quality of evaluation activity stream' and the EES Capabilities Survey
- 2. See http://bit.ly/WtiC6h
- 3. See www.degeval,de. DeGEval, Recommendations on Education and Training in Evaluation, Requirement Profiles for Evaluators, Mainz, Germany, 2008
- 4. See http://www.europeanevaluation.org/files/EES\_Capabilities\_ Survey\_|Evaluation.pdf
- 5. http://bit.ly/VMq6m7
- 6. DFID Core Competency Framework, http://bit.ly/4hbiJi DFID Core Competencies for Advisers, http://bit.ly/UFVKIX
- 7. United Nations Evaluation Group (UNEG) (2009) Core Competencies for Evaluators of the UN System, UNEG. http://bit.ly/ZqV7wH
- 8. See Simons, H (2006) in Shaw. I., Greene, J.C., & Mark, M (eds.) The Sage Handbook of Evaluation, London Sage, pp243-265 for an overview of the evolution of this move towards professional ethics, their foci and purposes
- 9. For a professionalisation rationale, see Picciotto, R. (2011), The logic of evaluation professionalism, Evaluation, 17(2) 165-80, Sage Publications
- 10. The UK Evaluation Society 's Guidelines for Good Practice in Evaluation may be found at http://www.evaluation.org.uk/resources/guidelines.aspx
- 11. www.the-sra.org.uk Social Research Skills and Competency Framework
- 12. For a summary and collation of results of the questionnaire survey, special thanks are given to Kari Hadjivassiliou, a member of the UK Evaluation Society Council



This Framework of Capabilities, as with the Guidelines for Good Practice in Evaluation developed previously, is to be regarded as a working document. The Society will be pleased to receive comments on its use and suggestions for future development.

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Convenor of Capabilities Sub Group
On behalf of the UK Evaluation Society, June 2012



## UK - Evaluation Society