



Pathways to advance professionalisation within the context of the Australasian Evaluation Society

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Brief Summary

This report outlines possible pathways to achieve one of the AES' Strategic Priorities – 'to strengthen the capacity and professionalism of the evaluation sector'. By professionalism, we do not mean working to make evaluation an exclusive profession, with barriers to entry including compulsory accredited qualifications and licensing. Instead, we mean continuously improving the quality of evaluation practice and products.

We present the options in terms of four possible pathways:

1. *Business as usual* – a number of activities related to professionalisation, but not focused or well-connected – **we recommend stopping this**.
2. *Focus, connect and augment current activities* including adding some additional activities – **we recommend doing this**, informed by consultation with AES members and other stakeholders.
3. *Develop a voluntary credentialling process* – **we recommend considering this later**, informed by consultation and evidence as it becomes available from similar efforts internationally.
4. *Push for a regulated and licensed profession* – **we do not recommend this**, given the nature of evaluation practice and the stated mission of the AES.

In the shorter-term, we recommend the AES focus on the following:

- Promote the use of the Evaluators' Professional Learning Competency Framework and Guidelines on Ethical Conduct of Evaluation and Code of Ethics;
- Plan, develop and promote connected, ongoing professional development explicitly linked to identified priorities and the Evaluators' Professional Learning Competency Framework, going beyond simply providing one-off training;
- More systematically support sharing and learning from evaluation practice;
- Become a more visible and effective advocate for evaluation and seek to influence evaluation demand and its enabling environment;
- Engage in strategic partnerships with other evaluation associations and relevant local professional associations.

Our recommendations build on the AES' existing and previous efforts, making better use of these through more focus and connection, as well as proposing some additional activities. They address capacity and motivation of evaluators (supply), and opportunity for evaluation (demand and enabling environment). They involve a combination of activities: some can be undertaken in the short-term and some in the longer-term; some involve acting alone and some in partnership with other organisations (direct action), or influencing or supporting others to act (indirect action). They address the needs of a variety of evaluators (internal and external; emerging, experienced, and those intermittently doing evaluation; those identifying as evaluators and those doing evaluation as part of their job). They vary in terms of the resources needed, from some which could be done within existing resources to others which would require significant additional resources (we provide some suggestions for securing these).

The report provides information about 41 different approaches to professionalisation that the AES can use, and examples of their use by evaluation societies and other professional associations.

Executive Summary

Purpose

This report outlines possible pathways to achieve one of the AES Strategic Priorities – ‘to strengthen the capacity and professionalism of the evaluation sector’. By professionalism, we do not mean working to make evaluation an exclusive profession, with barriers to entry including compulsory accredited qualifications and licensing. Instead, we mean continuously improving the quality of evaluation practice and products.

Our recommendations for the AES build on existing and previous efforts, making better use of these through more focus and connection, as well as proposing some additional activities. They address capacity and motivation of evaluators (supply), and opportunity for evaluation (demand and enabling environment). They involve a combination of activities: some can be undertaken in the short-term and some in the longer-term; some involve acting alone and some in partnership with other organisations, or, influencing or supporting others to act (indirect action). They address the needs of a variety of evaluators (internal and external; emerging, experienced, and those intermittently doing evaluation; those identifying as evaluators and those doing evaluation as part of their job). They vary in terms of the resources needed, from some which could be done within existing resources to others which would require significant additional resources (we provide some suggestions for securing these).

Context

The AES needs to work on this Strategic Priority in ways appropriate to the context across Australia, New Zealand and the Pacific. This context includes: diverse and changing government contexts for evaluation at different levels; diverse cultural contexts, in particular Indigenous issues; international and local changes in how evidence and its use are understood; evaluation work where many practitioners do not see it as their primary identity; limited options for university-accredited and other formal courses on evaluation; large numbers of AES members and other evaluators living outside the capital cities where most training events are held; other evaluation associations in the region (ANZEA, Mā te Rae, Pasifika Fono) and other organisations working on similar issues; the considerable discussion, activity and products on professionalisation over the life of the AES.

Process

This report has been developed through a competitively awarded short-term contract research project (Jan-July 2017) which included: a review of previous and ongoing work on professionalisation by the AES; a targeted review of the international literature on professionalisation for evaluators; environmental scans of pathways towards professionalisation that others have taken (international evaluation societies, other membership associations in Australasia); a limited number of interviews.

Before the AES moves to implement any significant actions, some level of wider consultation will be needed with AES members, other evaluators, and users of evaluation services to identify needs, resources, risks, opportunities and interest in engaging in various options. This report is, therefore, intended to inform discussions about implementation.

Overview of possible pathways

The options for the AES can be broadly grouped into four pathways, as shown below. Our recommendation is that the AES, after appropriate consultation, pursue the second pathway - to focus, connect and augment current activities - and to consider the third option - to develop a voluntary credentialling process, once more evidence is available about the effectiveness of this in other countries.

PROFESSIONALISATION



<p>Pathway 1</p> <p>STOP CONTINUING BUSINESS AS USUAL</p>	<p>Pathway 2</p> <p>START FOCUSING, CONNECTING AND AUGMENTING CURRENT ACTIVITIES Do this now, informed by <u>consultation</u></p>	<p>Pathway 3</p> <p>CONSIDER DEVELOPING VOLUNTARY CREDENTIALLING PROCESS <i>Possibly do later,</i> informed by <u>consultation</u> and <u>evidence</u></p>	<p>Pathway 4</p> <p>DO NOT PUSH FOR A REGULATED AND LICENSED PROFESSION</p>
<ul style="list-style-type: none"> • No information explaining what evaluation is and what an evaluator can bring • Ad hoc, disconnected and supply-led workshops • Evaluation conferences and journal that are largely supply-led, and do not explicitly link to reference documents and identified priorities • Low visibility of the AES in public discussions of evaluation or evidence-informed policy and practice generally • Constant turnover of members 	<ul style="list-style-type: none"> • Promote use of the <i>Evaluators' Professional Learning Competency Framework and Guidelines on Ethical Conduct of Evaluation and Code of Ethics</i> • Plan, develop and promote connected, ongoing professional development explicitly linked to identified priorities and the <i>Evaluators' Professional Learning Competency Framework</i>, going beyond simply providing one-off training • More systematically support sharing and learning from practice • Become a more visible and effective advocate for evaluation and seek to influence demand and its enabling environment. • Engage in strategic partnerships with other evaluation associations and relevant local professional associations 	<ul style="list-style-type: none"> • Conduct a situation analysis involving members, non-members and users of evaluation to identify needs, resources, risks and opportunities • Take account of evidence of impacts of ongoing credentialling trials when this becomes available • If appropriate and feasible, develop a voluntary credentialling process involving a combination of formal professional development and demonstrated competence, plus requirement for ongoing professional development 	<ul style="list-style-type: none"> • Require (compulsory) evaluators to have completed accredited courses, certification, credentialling, licensing

We discuss 41 approaches that can and have been used for professionalisation in evaluation and in other related fields. We have grouped them into four broad change theories and recommend that the AES focus on a *complementary* mix of three of them: increasing motivation, capacity and opportunity. We do *not* recommend that the AES pursue a fourth change theory: gatekeeping. We do not see gatekeeping as feasible or desirable, given the diversity of competencies required to suit different contexts for evaluation, the high investment needed to pursue this, and the potential negative impacts of excluding competent practitioners for whom evaluation is not their primary identity.

Overall change theory	Strategy	Approaches	
Increasing motivation Active contribution to a valued occupational identity	1. Reference points for professional practice	1.1 Code of conduct 1.2 Competencies 1.3 Distinct occupational category	1.4 Expectation of ongoing competency development 1.5 Standards
	2. Engagement with other professional associations	2.1 Evaluation associations	2.2 Other professional associations
	3. Public recognition of good practice	3.1 Awards 3.2 Fellows	3.3 Voluntary credentialling
Increasing capacity Ongoing and linked professional development and support	4. Competency assessment	4.1 Peer assessment	4.2 Self-assessment
	5. Knowledge, skills, attitudes (KSA) development	5.1 Dialogues 5.2 Peer learning	5.3 Self-paced learning 5.4 Training (accredited or not)
	6. Ongoing competency development	6.1 Coaching 6.2 Expert advice 6.3 Expert review 6.4 Fellowship	6.5 Internship 6.6 Mentoring 6.7 Peer review 6.8 Supervision
	7. Building and sharing knowledge	7.1 Community of Practice 7.2 Conference 7.3 Journal	7.4 Learning partnerships 7.5 R&D projects
Increasing opportunity for professional practice Better informed and motivated demand side of evaluation and enabling environment	8. Educating the public and evaluation managers and users	8.1 Public information about evaluation	8.2 Public information about professional practice
	9. Strengthening the enabling environment for good evaluation practice	9.1 Engagement in relevant organisational processes	9.2 Engagement in relevant public processes
Gatekeeping Controlling entry to the field and removing those breaching agreed professional standards or code of conduct	10. Restricting entry	10.1 Compulsory accreditation 10.2 Compulsory certification 10.3 Compulsory credentialling	10.4 Hurdle requirements for consultants register 10.5 Hurdle requirements for membership 10.6 Licensing
	11. Detecting and correcting poor quality practice or unethical conduct	11.1 Complaints procedure	11.2 Disciplinary action

Abbreviations and Acronyms

AEA	American Evaluation Association
AEA GEDI	American Evaluation Association - Graduate Education Diversity Internship Program
AES	Australasian Evaluation Society
ABS	Australian Bureau of Statistics
ACE	American Council on Education
AMSRO	Association of Market & Social Research Organisations
AMSR	Australian Market and Social Research Society
ANZEA	Aotearoa New Zealand Evaluation Association
ANZSOG	The Australia and New Zealand School of Government
ANZSCO	Australia and New Zealand Standard Classification of Occupations
AASW	Australian Association of Social Work
CES	Canadian Evaluation Society
CoP	Community of Practice
CUEE	Consortium of Universities for Evaluation Education
DfID	UK Department for International Development
DoF	Department of Finance
ECPF	Enhanced Commonwealth Performance Framework
EES	European Evaluation Society
F-2-F	face-to-face
IAP2	International Association of Public Participation
IDEAS	International Development Evaluation Association
ISPI	International Society for Performance Improvement
JES	Japan Evaluation Society
KSA	knowledge, skills, attitudes
IAP2	International Association of Public Participation (Australasian affiliate)
IOCE	International Organization for Cooperation in Evaluation
ISPI	International Society for Performance Improvement
M&E	monitoring and evaluation
NDE	New Directions in Evaluation
PCOA	Professional Conference Organisers Association
PGPA	Public Governance, Performance and Accountability Act
NZ	New Zealand
Q&A	questions and answers
R&D	research and development
RWJF	Robert Wood Johnson Foundation
SAMEA	South African Monitoring and Evaluation Association
SHORE	Social and Health Outcomes Research and Evaluation
SIG	special interest group
SIMN	Social Impact Measurement Network
SIMNA	Social Impact Measurement Network, Australian affiliate
SNZ	Statistics New Zealand
SUPERU	New Zealand Social Policy and Evaluation Research Unit
UKES	United Kingdom Evaluation Society
USAID	United States Agency for International Development
VEPR	voluntary evaluator peer review

Introduction

Research purpose

Our research addresses the advantages and disadvantages of different pathways for strengthening the capacity and professionalism of evaluators in the context of the Australasian Evaluation Society (AES), taking into account:

- overlapping and unique aspects of the context that may affect evaluation and evaluators in the region (Australia, New Zealand, Pacific Nations); and,
- the needs of different types of evaluators (internal and external evaluators / consultants; emerging and experienced evaluators, those who intermittently do evaluation; those who identify as evaluators and those who do evaluation as part of their job).

Research approach and limitations

We identified possible approaches to professionalisation and their strengths and weaknesses as debated in the literature about evaluation and selected other fields of work or professions. We conducted an environmental scan of pathways for professionalisation taken by the AES so far, by other international evaluation associations, and by local membership associations in other fields of practice. We also interviewed a few people to reflect on some of the opportunities, facilitators and barriers for professionalisation within the context of the AES (see Inception Report and **Annex 1** for more details on the methodology used).

Given interviewing was necessarily limited and consultation was not part of the commissioned work, we urge the AES to consult with AES members, other evaluators, and users of evaluation services before implementing any significant actions (see **Section 4.3** for more details).

Report outline

Section 1 – The what, why and how of professionalisation in evaluation clarifies what we mean by professionalisation and discuss why it is important, what the key objectives of professionalisation are and how they may be achieved drawing on four broad change theories.

Section 2 – The role of evaluation associations in advancing professionalisation discusses the role evaluation associations around the globe can play, particularly, as part of the 2016-2020 Global Evaluation Agenda (EvalPartners 2016). We, then, describe how the AES has pursued professionalisation over its lifetime and what the specific context is in which the AES works.

Section 3 – Possible pathways to professionalisation within the AES context details four pathways for professionalisation of evaluation and explains which ones we recommend the AES engages in (in the shorter and longer term) and which ones we advise against and why.

1. The what, why and how of professionalisation in evaluation

1.1 What do we mean by professionalisation, evaluation and evaluators?

Over the past several decades, professionalisation of evaluation has been the subject of a lot of debate, many publications and –to a much lesser extent– dedicated research. In this report, we use the term **professionalisation** to refer to actions intended to improve the quality of evaluation practice and products, not to make evaluation an exclusive profession¹ with barriers to entry. We discuss how competence and conduct of evaluators can be strengthened for the purpose of good quality evaluation in the public interest, not how evaluators can achieve greater economic or social status. We also consider what elements in the context can be influenced to support evaluation better.

We refer to **evaluation** in the broadest sense: not only the process and results of determining the merit, worth or value of things (Scriven 1991) but also the range of tasks and products related to monitoring the performance of interventions and to supporting learning.

We refer to **evaluators** as those doing evaluation on a full-time, part-time or intermittent basis; those working as evaluators within specific organisations or as external consultants; those identifying as evaluators as well as those doing evaluation as part of their job, and, with varying degrees of competency.

Where distinctions within ‘evaluation’ or ‘evaluators’ are important, we will explicitly refer to them.

1.2 Why should professionalisation of evaluation be considered?

Calls for advancing professionalisation in evaluation (including those wanting to establish evaluation as a profession) aim to avoid or address particular threats:

- (1) The field of evaluation is brought into disrepute through poor quality or unethical evaluations

There is a potential for actual harm through unethical practice or through delivering poor quality evaluation products. This may result in a general distrust of evaluation in society at large (Picciotto 2011) or in evaluation being sidelined or not taken seriously by governments and other key decision makers so it cannot hold them to account.

Currently, the responsibility for quality assurance lies mostly with practitioners themselves. A strong sense of personal and professional responsibility to oneself and to one’s clients seems an important driver for acquiring and maintaining competency but can be facilitated or forced (such as through self-appraisal, coaching, supervision, peer review, testing, certification) (Lysaght and Altschuld 2000).

¹ See, *for example*, Worthen 1994; Lysaght and Altschuld 2000; Altschuld 2005; McDavid and Huse 2006; Picciotto 2011.

Some argue that the free market will favor practitioners who provide good services and, thus, develop a strong reputation. But this might only work when the supply of providers exceeds the demand, and when ‘consumers’ have the power to choose as well as the ability to assess providers in terms of their appropriateness and competency (Fossum and Arvey 1990; Carson, 1991; Collier 1994).

(2) Other disciplines, professions or occupations encroach on evaluation practice

The term evaluation is often perceived loosely and the lack of universally accepted standards for evaluation practice has led to a situation where anyone can engage in the activity (Gussman 2005). The boundaries between evaluation, auditing, inspection and social research remain fuzzy (Picciotto 2011) and the weak identity of evaluators is perceived to be the most serious hindrance to full professionalisation (Castro et al. 2016).

Without necessarily working towards creating a true profession, what we want to achieve with professionalisation is an evaluation sector which:

- is highly capable
 - professional competencies are articulated and widely used
 - continued learning is available and accessible
- is highly professional
 - a code of conduct or professional standards are clearly articulated and adhered to
- offers good career pathways to recruit and retain competent practitioners

1.3 How might professionalisation of evaluation be approached?

We identified a range of strategies and approaches that can and have been used for professionalisation in evaluation and in other fields of practice or professions (see **Table 1**). We have grouped them into **four broad change theories** (drawing on Michie et al. 2011 meta-theory of behaviour change), reflecting on how they can help to achieve the specific objectives of professionalisation pathways. Some authors emphasise that the chosen pathway is, ideally, supportive rather than punitive and explicitly recognises and builds on existing strengths (Lysaght and Altschuld 2000). We fully support this notion but have also included a discussion of a ‘gatekeeping’ change theory, which may include disciplinary action and removal from practice.

(1) Increasing motivation – active contribution to a valued occupational identity

Increasing motivation can be achieved through incentives as well as disincentives. For example, providing awards to outstanding individuals or evaluation studies as a formal recognition by peers can provide an additional incentive for good practice. Explicitly documenting the reasons for the award can contribute to improving the capacity of evaluators and also the understanding of what is required in the enabling environment. Designating individuals with specific skills and expertise as fellows or affiliates of key evaluation organisations may also create important incentives (Lysaght and Altschuld 2000).

(2) Increasing capacity – ongoing and linked professional development and support

From a pragmatic point of view, competencies can be defined as “a set of related knowledge, skills and attitudes that enable an individual to effectively perform the activities of a given occupation or job function to the standards expected in employment.” (Richey et al. 2001 quoted in Wilcox and King 2014). This requires that professional standards or a code of conduct are in place.

The preparation of professional evaluators is an ongoing process (Altschuld 1994). It is important to instil an expectation and develop a culture for continuing professional development as an integral part of professional life (Morrison 1992). Professionals must, first, recognize the need for skill upgrading, then, identify relevant opportunities for obtaining these skills, and, finally, possess motivation and means to pursue them (Lysaght and Altschuld 2000). Strategies are needed to reduce barriers to ongoing skill development such as limited availability and significant cost of continuing education; lack of time due to workload or other reasons; or, restricted institutional support for professional development (Lysaght and Altschuld 2000). Donna Mertens (1994) divides the skills and knowledge necessary for professional practice into two categories: the skills and knowledge already taught in other areas and those taught specifically in evaluation. The other pertinent issue to consider is what can be taught and what can only be attained through experiential means.

Professional knowledge may be acquired through formal or informal training –which may be accredited or not– from which one ‘graduates’ (in its broadest sense). This knowledge may become outdated or obsolete unless the individual actively pursues and/or contributes to the knowledge base over time. In other words, competency is gained over time: individuals develop professional reasoning and become better at applying their knowledge in daily (or regular) practice or through practically-based learning experiences (Lysaght and Altschuld 2000). Maintenance of competency may involve keeping up with new knowledge through continuing education, conducting research, dialoguing with peers, reading the professional literature, etc. (Thomson et al. 1995).

(3) Increasing opportunity – better informed and motivated demand side of evaluation and enabling environment

The extent to which new knowledge and skills are integrated into practice is affected by a combination of internal and external factors, such as the individual’s commitment or opportunities in the work environment (Lysaght and Altschuld 2000). Based on experiences within the global evaluation community, Quesnel (2006) identified three conditions that affect the success or failure of evaluation capacity development:

- (1) awareness and appreciation at (governmental and other organizational) decision making levels of the importance and necessity of evaluation (demand for evaluation);
- (2) institutionalization and integration of evaluation functions in government at national, sectoral, program/project and sub-state levels; and,
- (3) human and financial resources to support a professional, dedicated, and effective cadre of evaluators and evaluation managers.

Increasing opportunity (i.e., scope for implementing improved practices) can be achieved through advocacy for evaluation, such as distributing materials (e.g., downloadable PDFs on website) or active engagement in processes (e.g., developing a formal statement or response to a government proposal, such as the PGPA Act in Australia).

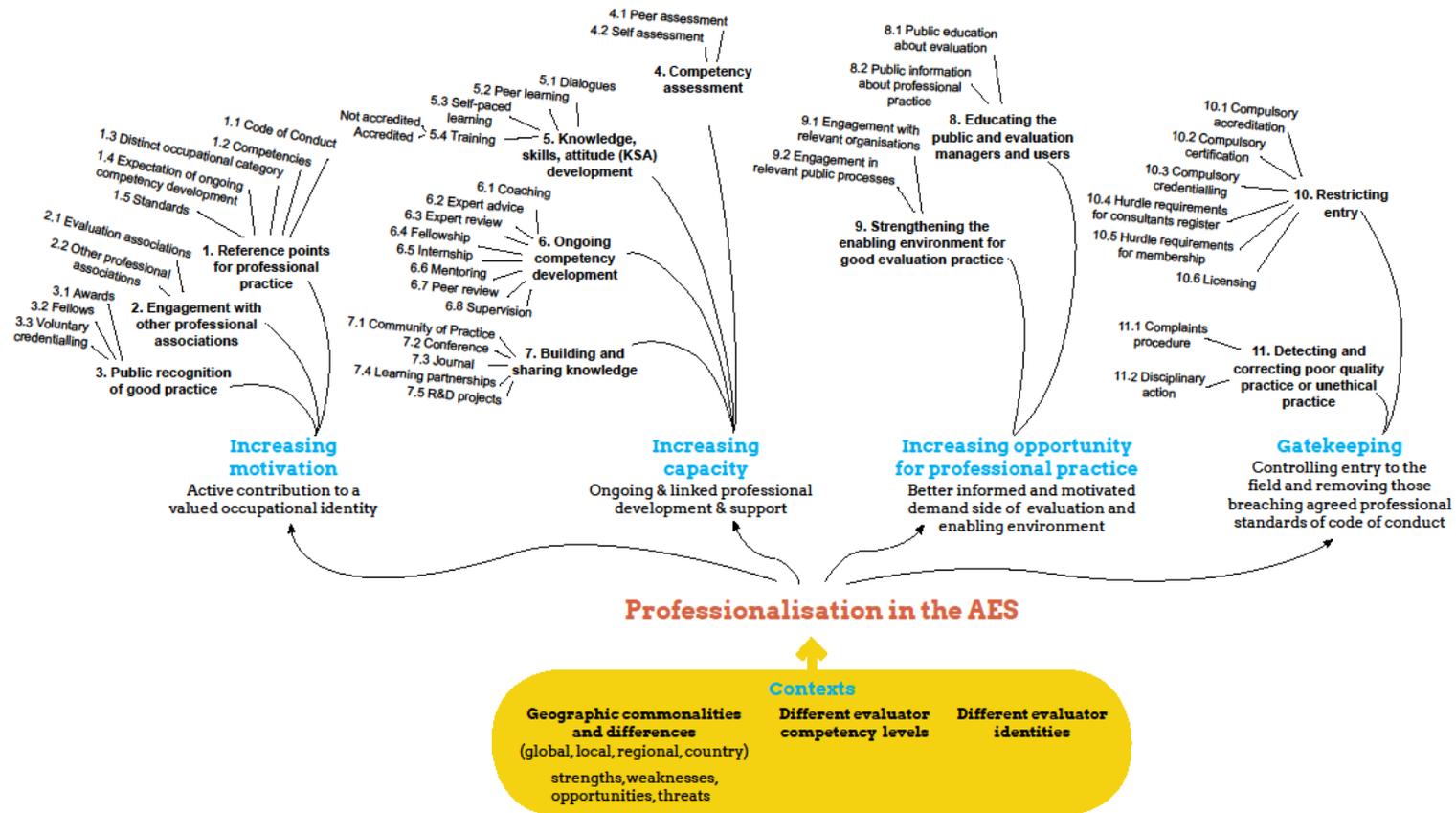
(4) Gatekeeping – controlling entry to the field and removing those breaching agreed professional standards or code of conduct, including creating a formal profession, involving compulsory completion of accredited courses, certification and credentialling.

The purpose of controlling access to practice evaluation is to limit the risks of professional malpractice, enhance service quality and facilitate consumers' choice of service providers (Picciotto 2011). Access can be restricted through designating a person as qualified to perform (a job or task in) evaluation. This can be done by a professional or legal body and may involve: awarding *membership* to a professional organisation based on meeting certain requirements (i.e., more than just paying your way in); *certification* as proof of completion of specified training and/or experience requirements; *credentialling* to testify an individual has the competencies required to carry out professional work; *licensing* which is a legal control mechanism over the ability to practice including the power to remove the license if professional standards are not being adhered to. A *complaints procedure* needs to be in place to support licensure so that disciplinary action can be taken in case of negligence or incompetence. However, this would most likely deal with gross rather than subtle forms of incompetence (Overholser and Fine 1990) and issues of funding, training and experience with respect to legal proceedings, and potential bias and conflict of interest when dealing with peers need to be addressed (Lysaght and Altschuld 2000).

Table 1. Change theories, strategies and approaches used for professionalisation in evaluation and in other fields of practice

Overall change theory	Strategy	Approach	
Increasing motivation Active contribution to a valued occupational identity	1. Reference points for professional practice	1.1 Code of conduct 1.2 Competencies 1.3 Distinct occupational category 1.4 Expectation of ongoing competency development 1.5 Standards	
	2. Engagement with other professional associations	2.1 Evaluation associations 2.2 Other professional associations	
	3. Public recognition of good practice	3.1 Awards 3.2 Fellows 3.3 Voluntary credentialling	
Increasing capacity Ongoing and linked professional development and support	4. Competency assessment	4.1 Peer assessment 4.2 Self-assessment	
	5. Knowledge, skills, attitudes (KSA) development	5.1 Dialogues 5.2 Peer learning 5.3 Self-paced learning 5.4 Training (accredited or not)	
	6. Ongoing competency development	6.1 Coaching 6.2 Expert advice 6.3 Expert review 6.4 Fellowship	6.5 Internship 6.6 Mentoring 6.7 Peer review 6.8 Supervision
	7. Building and sharing knowledge	7.1 Community of Practice 7.2 Conference 7.3 Journal 7.4 Learning partnerships 7.5 R&D projects	
Increasing opportunity for professional practice Better informed and motivated demand side of evaluation and enabling environment	8. Educating the public and evaluation managers and users	8.1 Public information about evaluation 8.2 Public information about professional practice	
	9. Strengthening the enabling environment for good evaluation practice	9.1 Engagement in relevant organisational processes 9.2 Engagement in relevant public processes	
Gatekeeping Controlling entry to the field and removing those breaching agreed professional standards or code of conduct	10. Restricting entry	10.1 Compulsory accreditation 10.2 Compulsory certification 10.3 Compulsory credentialling 10.4 Hurdle requirements for consultants register 10.5 Hurdle requirements for membership 10.6 Licensing	
	11. Detecting and correcting poor quality practice or unethical conduct	11.1 Complaints procedure 11.2 Disciplinary action	

Figure 1. Potential pathways for professionalisation within the context of the AES



2. The role of evaluation associations in advancing professionalisation

2.1 Evaluation associations around the globe

Evaluators are increasingly working in an interconnected global system with evaluations needing to address consequences across borders and many evaluators conducting evaluations in other cultures or in other countries from their own.

There are now many evaluation associations and networks operating on a global, regional, sub-regional, country or more localised level. Their membership is diverse – including those conducting, commissioning, teaching or using evaluation from a range of different organisations and contexts. The International Organisation for Cooperation in Evaluation (IOCE) functions as the global umbrella organisation providing a platform for worldwide cooperation and partnership dedicated to building evaluation leadership and capacity in countries, fostering cross-fertilisation of evaluation theory and practice around the world, and supporting evaluation professionalisation (Quesnel 2006). These ‘voluntary organisations’ exist in addition to a plethora of other organisational structures such as foundations, expert groups, academic centers, various “Centers of Excellence” etc. that are focused on evaluation in general or on particular types of evaluation.

In his paper on *The Importance of Evaluation Associations and Networks*, Quesnel (2006) emphasizes the “tremendous potential for the professionalization of evaluators in an open and global perspective with the benefit of cross-fertilization of ideas.” (p.28-29). Specifically, part of the IOCE’s mission is to support international cooperation to:

- develop general principles, procedures, ethics and codes of conduct for evaluation and commissioning practice;
- provide opportunities for reciprocal learning between established and newly formed or emergent evaluation societies;
- support exchange of good practice in evaluation theory and practice and developing new evaluation knowledge through cooperative research and other activities; and,
- increase cultural specificity in evaluation by encouraging pilots in diverse cultural settings.

More recently, the *Evaluation Professionalization* chapter of the 2016-2020 Global Evaluation Agenda (EvalPartners 2016) calls for inter-related actions in three areas:

1. Building individual capacities for evaluation through:
 - creating an international code of ethics and standards (comprehensive yet flexible enough to be adaptable to distinct contexts);
 - promoting the expansion of formal evaluation education and training opportunities (rich array of education/training opportunities);
 - designing and implementing a broad framework of evaluator qualifications (adaptable to context and used to guide professional development and as inputs for peer reviews or credentialing).
2. Evaluation knowledge creation and dissemination through:
 - funding evaluation research to contribute to social learning about what works and what doesn’t work, why, how and for whom in a rapidly changing and increasingly complex operating environment;

- using diverse mechanisms for disseminating research results (such as such as postings on [MyMandE](#)² and [BetterEvaluation](#)³) and supporting knowledge dissemination initiatives focusing on evaluators who currently have limited access, especially in the developing world;
 - serving professional development needs of emerging evaluators (e.g., special initiatives such as [EvalYouth](#)⁴).
3. Frameworks for evaluation impartiality and quality for different levels:
- at the country level –adhering to democratic evaluation tenets helps to guarantee evaluation independence;
 - at the organizational level –enhancing quality of evaluation processes by incorporating competency expectations in job descriptions, supporting development of competencies in M&E in professional development plans; strengthening of self-evaluation processes and set up of independent evaluation units reporting to the supreme governance authority of the organization.

Hence, there is a clear role and opportunity for the AES to get actively involved in relevant processes at the global and regional levels and draw on the results from these processes to advance professionalisation in the AES context.

2.2 The Australasian Evaluation Society (AES)

Current role of the AES

The Australasian Evaluation Society is a member-based organisation to strengthen and promote evaluation practice, theory and use for those involved in evaluation (i.e., evaluation practitioners, commissioners and managers of evaluation, teachers and students of evaluation, other interested individuals). One of its strategic objectives is to strengthen the capacity and professionalism of the evaluation sector with the following intended results to be achieved by 2019:

- Professional registration established [‘registration’ is to be considered in its broadest sense]
- Good career pathways are available
- Evaluation standards are inclusive and clearly articulated
- Professional learning pathways and options are provided
- Professional competencies are supported and applied

(AES Strategic Priorities, July 2016 – June 2019).

Activities of the AES related to professionalisation

Overall approach to professionalisation

The AES has engaged in a number of activities related to professionalisation during its history – particularly in terms of developing reference documents, providing training, establishing a journal and an annual conference, and instituting recognition systems in terms of awards and fellows. However, these have not been linked strategically or synergistically. In particular, the reference documents (Code of Conduct, Guidelines on the Ethical Conduct of Evaluation, and Evaluators Professional Learning Competency Framework) are not consistently and explicitly referenced in training provision, journal

² www.mymande.org

³ www.betterevaluation.org

⁴ www.ioce.net/forum/forum/open-forums/evalyouth

articles, or conference presentations. A summary of these activities is provided here with more details in Annex 3 relating to each of the specific approaches.

Throughout the AES' history there has been an ongoing debate about whether it would be appropriate to think of evaluation as a profession and to seek to professionalise it – and if so, what this would mean. An inclusive approach has been taken which focuses on supporting everyone involved in evaluation, whether they are evaluators, others who do evaluation, or those who manage, purchase or use evaluation, rather than developing an exclusive group of professional evaluators.

In 1989, Michael Quinn Patton, the keynote speaker at the AES conference that year, discussed the 'vision, quality products and processes, and skilled, trained evaluators' needed for evaluation to thrive as a profession in Australia and New Zealand, and referred to the "special role" the AES had to play in the future development of the profession. Colin Sharp, in his history of the AES, described the response to these comments at the time and how they were reflected in subsequent decisions:

"There were some (such as Jerome Winston and I) who took issue with the use of the term 'Evaluator' in the Australian context and were concerned about the restrictive or elitist connotations of 'professionalising' evaluation. This view was reflected in the 1995 Draft Strategic Plan of the AES and in a resolution from the 1994 Strategic Planning Workshop to the effect that the AES should not be an elitist exclusive guild of professional 'Big-E' Evaluators; rather its role should be to encourage those who are interested in the theory, practice and use of evaluation," (Sharp 2003).

In a later account of the work done on evaluation standards for Australasia, Doug Fraser described how official descriptions of the AES and its activities were explicitly directed at supporting good practice among all those involved in evaluation, not just those who identified as professional evaluators:

"In the first few years of its existence, [the AES] went through considerable debate on whether its role should be to support, develop, and advocate for the profession of evaluators or the practice of evaluation. This was eventually resolved in favor of the view that its primary function should be to provide a bridge between the providers and consumers of evaluation (Trotman, 2003). This definition is reflected in the society's principal stated aim: "to improve the theory, practice and use of evaluation." It also means that the society has always encouraged users as well as practitioners to become members and attend its conferences, and has made it a key priority for its main publications (Evaluation News and Comment up to 2000, Evaluation Journal of Australasia from 2001 on) to provide articles that are accessible and informative to users and potential users as well as to scholars and practitioners" (Fraser 2004, p.73).

The next section discusses the activities that the AES is currently conducting, mapped against the strategies and approaches identified in **Table 1**.

Strategies for increasing motivation

Reference points for professional practice

Related approaches: Code of conduct, competencies, expectation of ongoing competency development, distinct occupational category, standards.

AES activities:

The AES has developed a Code of Ethical Conduct and Guidelines on the Ethical Conduct of Evaluation, and an Evaluators Professional Learning Competency Framework. Despite work undertaken previously to develop a draft set of Standards for Evaluation, these have not been adopted or further developed.

Engagement with other professional associations

Related approaches: Evaluation associations, other professional associations.

AES activities:

The AES has had limited engagement with other professional associations – largely in terms of reduced membership rates for individuals seeking to have both AES and CES (Canadian Evaluation Society) membership.

Public recognition of good practice

Related approaches: Awards, Fellows, voluntary credentialing.

AES activities:

Public recognition of good practice has been undertaken through awards, which have been progressively added to since the inaugural ET&S Award for Outstanding Contribution to Evaluation in 1986. The membership category of Fellows was created in 2003 with 6 people recognised in its inaugural year and a total of 18 current Fellows since then, including one emeritus.

Strategies for increasing capacity

Competency assessment

Related approaches: Peer assessment, self-assessment.

AES activities:

No formal processes of competency assessment have been developed, whether through self-assessment or peer assessment.

Knowledge, skills, attitudes (KSA) development

Related approaches: dialogues, peer learning, self-paced learning, training (accredited or not).

AES activities:

A major focus of the AES has been the development of knowledge and skills through providing training. Pre-conference workshops, and more recently post-conference workshops, have been a feature of all conference programs, and these have been supplemented by short courses offered in various locations across Australia and New Zealand during the year. However, these courses have not been explicitly linked to the competency framework, nor has there been any accreditation of training providers or voluntary or compulsory credentialing of participants.

Ongoing competency development

Related approaches: Coaching, expert advice, expert review, fellowship, internship, mentoring, peer review, supervision.

AES activities:

There have been no formal AES activities related to supporting ongoing competency development. Informal peer review processes might have been used among networks of people who met through AES. Although there has been interest expressed in mentoring at various times, no system has been developed.

Building and sharing knowledge

Related approaches: Community of Practice, conference, journal, learning partnerships, R&D projects.

AES activities:

Conferences have been a major focus of activity for the AES. Two biennial National Evaluation Conferences (focused on Australia) were held before the decision was made to create an evaluation society for Australasia. Conferences are now held annually and provide a platform for sharing knowledge and examples as well as supporting networking. Branch meetings in the different States and Territories of Australia and different cities of New Zealand have provided speakers and discussion on various topics.

The AES currently has four active Special Interest Groups (SIGs): Design and Evaluation; Realist Evaluation and Realist Synthesis; Eval-Tech; and Evaluation in Higher Education. While these are intended to act as communities of interest, they are largely active only around conference sessions, apart from the Realist Evaluation and Realist Synthesis SIG which has an active book club.

The Evaluation Journal of Australasia was originally launched in 1989 and relaunched in 2001 to provide a forum for discussing issues related to evaluation in the Australasian context which were often not addressed in international journals which tended to focus more on technical issues for external evaluators. In recent years, there has been an increasing number of papers from non-Australasian authors about non-Australasian examples, and the guidelines to authors make no reference to the Australasian context. In recognition of the increasing number of postgraduate students in evaluation and evaluation-related courses, there is now a special section for postgraduate students. The journal is now published online and members get access as part of their membership benefits. While previously archived issues were available publicly, now all issues are behind a firewall. This, along with the disappearance of hard copy issues, has reduced the visibility of the journal and its articles.

Strategies for increasing opportunity for professional practice

Educating the public and evaluation managers and users

Related approaches: Public information about evaluation, public information about professional practice.

AES activities:

While individual AES members have contributed to guides produced by various government and non-government agencies, the AES has not produced information about what evaluation is or how organisations can effectively manage an external evaluation contractor. While the AES website has a section labelled "[About evaluation](#)"⁶, it only contains information about the code of conduct and guidelines on the ethical conduct of evaluation.

Strengthening the enabling environment for good evaluation practice

Related approaches: Engagement in relevant organisational processes, engagement in relevant public processes.

AES activities:

Historically, the AES has had a close connection with different government agencies engaged in strengthening evaluation capacity. Early AES conferences were sponsored by the Australian Government Department of Finance, which played a leading role in supporting better management of evaluation within the Australian public sector; the first AES conference held in New Zealand had high levels of sponsorship from central agencies and line Departments in recognition of the importance they placed on evaluation; at different times, State governments have played a major role in conferences that were held in their capital, promoting their approach to evaluation systems and management and supporting keynote speakers and workshops.

These connections have resulted in formal AES engagement in public or organisational processes related to evaluation such as, most recently: a joint submission with the Australia and New Zealand School of Government (ANZSOG) on the [Enhanced Commonwealth Performance Reporting Framework](#) (ECPF) (Oct 2014); the establishment of a Government Engagement Working Group (GEWG) which lodged a submission –together with the Department of Finance (DoF)– on the draft Resource Management Guides for the ECPF (Jan 2015) and, subsequently, a submission to the Australian Parliament Joint Committee of Public Accounts and Audit on the [Inquiry into Development of Commonwealth Performance Framework](#) (April 2015). In addition, significant joint events with the DoF were held, for example: *Strengthening Performance Measurement Across the Commonwealth: International Perspectives on Evaluation* which was attended by nearly 300 people representing 76 Commonwealth entities and companies and 18 external organisations (Sept 2015); a series of workshops for those engaged in performance measurement and reporting on *Performance Story Reports* (2016, 2017). In 2016, the AES also established the Advocacy and Alliance Committee aiming to promote the use of evaluation and evaluative thinking by Australasian agencies and organisations but also advising on advocacy and alliances opportunities to strengthen the reputation of the AES nationally and internationally.

However, many people working in evaluation in government agencies or non-government organisations still seem to be unaware of the existence of the AES or the role it can play. Thus, continued efforts are needed.

⁶ www.aes.asn.au/about-us/about-evaluation.html

Strategies for gatekeeping

Restricting entry

Related approaches: Compulsory accreditation, compulsory certification, compulsory credentialing, hurdle requirements for consultants register, hurdle requirements for membership, licensing.

AES activities:

Consistent with its inclusive approach, the AES has not sought to restrict entry to practising evaluation in terms of compulsory accreditation of courses or organisations or certification or credentialing of individuals. The only membership hurdle is an agreement to abide by the Code of Conduct.

Detecting and correcting poor quality practice or unethical conduct

Related approaches: Complaints procedure, disciplinary action.

AES activities:

The AES has a formal complaints procedure that can be brought to bear against its members. This is outlined in its *Constitution (Item 20. Disciplining of Members)*. A member can be disciplined if he/she has persistently refused or neglected to comply with a provision in the Constitution; or, has persistently and wilfully acted in a manner prejudicial to the interests of the Company or its Code of Ethics; or, has acted in a manner unbecoming of a member. The AES Board may, consequently, expel, suspend or censure the member concerned and/or require that action is taken to remedy the breach, failure or omission. The member has a right to appeal as per the procedure outlined in the *Constitution (Item 21. Right of Appeal of Disciplined Member)* concluding with a vote confirming or revoking the resolution of the Board.

Interestingly, the impetus for the development of the Guidelines on the Ethical Conduct of Evaluations was a complaint about the practice of someone who had conducted an evaluation (not an AES member), which was investigated but not formally resolved (Sharp 2003).

Contextual issues for the AES

The AES needs to work on this strategic priority in ways that are appropriate for the current context across Australia, New Zealand and the Pacific. This context includes: aspects of the nature of evaluation practice in the region; the supply of and demand for training; the activities of other organisations.

The nature of evaluation practice in Australia, New Zealand and the Pacific

Evaluation is currently undertaken by a range of people, not only those who self-identify as evaluators, but also community members, professional staff in programs, content experts, and people with other professional identifies such as 'social impact analysts', 'policy analysts', or 'economists'. The AES seeks to connect with these diverse groups and support improvements in practice.

Government agencies have a significant influence on the practice of evaluation both directly, as evaluators and purchasers of evaluation services, and indirectly through the expectations for evaluation of agencies they fund. The government context is diverse and changing, with significant increases and decreases in attention to evaluation and approaches evident in response to changes of government and stages in the electoral cycle.

There are unique characteristics in each jurisdiction that affect professionalisation of evaluation, including diverse cultural contexts, in particular Indigenous issues. In New Zealand, efforts by Māori over many decades to ensure Crown adherence to the principles of the Treaty of Waitangi and the need to explicitly address issues for Māori in any evaluative activity have led to the creation of a separate association for Maori evaluation and an expectation that Maori evaluators will be engaged to evaluate Maori programs.

Opportunities for professional development

Across the region there are a limited number of opportunities for university-accredited and other formal courses in evaluation and less opportunity for ongoing professional support. A large number of AES members and other evaluators live outside the capital cities where most trainings are held.

Rise of other evaluation associations and related professional societies

The Implementation Strategy that accompanies its current Strategic Plan provides the AES with a road map to take on a new proactive role in Australia, New Zealand and the broader Asia-Pacific region. However, the AES is no longer the only evaluation association in the region.

The Aotearoa New Zealand Evaluation Association (ANZEA) was established in 2006 as a professional association covering evaluators in New Zealand including also: the Pasifika Fono to serve and support the development of Pacific evaluation capacity and capability; and, Mā te Rae, the Māori Evaluation Association established by Māori for Māori, to advance the social, cultural and economic development of iwi Māori through participation in and contribution to quality evaluation.

The Asia Pacific Evaluation Association (APEA) was launched in 2012 and formally established in 2013. It is not a membership organisation of individual members but a regional organization for national, thematic, and sectorial evaluation associations, networks, or groups in Asia.

In addition, over the 30 years since the AES was established, other associations have been established or grown and there is now a more crowded space of professional associations relating to the use of evidence to inform policy and practice. The activities of these other associations present potentially both an opportunity and a threat. They could present a threat as potential members, contributors, partners and clients of the AES engage with them instead. They could present an opportunity in terms of collaboration for mutual benefit; and, potential models to inform the development of new pathways to professionalisation. These organisations include:

- Association of Market & Social Research Organisations (AMSRO)
- Australian Market and Social Research Society (AMSRS)
- International Association of Public Participation (IAP2) (Australasian affiliate)
- International Society for Performance Improvement (ISPI)
- Social Value International – Social Impact Measurement Network, Australian affiliate founded in 2012.

AES capacities

The AES is a relatively small and dispersed organisation, reliant on volunteer working groups to progress activities. There has already been considerable discussion and activity related to professionalisation over the life of the AES, especially the development of the *Evaluators' Professional Learning Competency Framework*, *Guidelines on Ethical Conduct of Evaluation and Code of Ethics*, and earlier work around developing a set of standards for evaluation.

3. Recommended pathways to professionalisation within the AES context

The options for the AES can be broadly grouped into four pathways, as shown below. Our recommendation is that the AES, after appropriate consultation, pursue the second pathway - to focus, connect and augment current activities - and to consider the third option - to develop a voluntary credentialling process, once more evidence is available about the effectiveness of this in other countries.

Figure 2. Recommendations for professionalisation pathways within the context of the AES

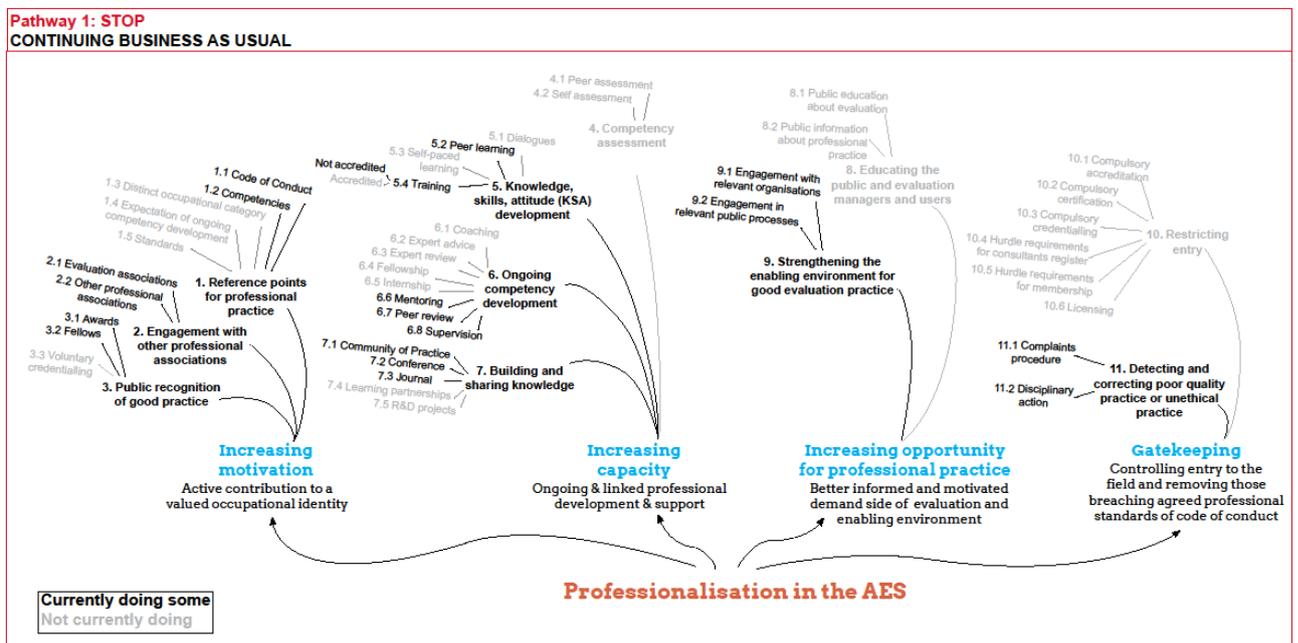
PROFESSIONALISATION			
 Pathway 1	 Pathway 2	 Pathway 3	 Pathway 4
STOP CONTINUING BUSINESS AS USUAL	START FOCUSING, CONNECTING AND AUGMENTING CURRENT ACTIVITIES Do this now, informed by <u>consultation</u>	CONSIDER DEVELOPING A VOLUNTARY CREDENTIALLING PROCESS <i>Possibly do later,</i> informed by <u>consultation</u> and <u>evidence</u>	DO NOT PUSH FOR A REGULATED AND LICENSED PROFESSION
<ul style="list-style-type: none"> • No information explaining what evaluation is and what an evaluator can bring • Ad hoc, disconnected and supply-led workshops • Evaluation conferences and journal that are largely supply-led, and do not explicitly link to reference documents and identified priorities • Low visibility of the AES in public discussions of evaluation or evidence-informed policy and practice generally • Constant turnover of members 	<ul style="list-style-type: none"> • Promote use of the <i>Evaluators' Professional Learning Competency Framework and Guidelines on Ethical Conduct of Evaluation and Code of Ethics</i> • Plan, develop and promote connected, ongoing professional development explicitly linked to identified priorities and the <i>Evaluators' Professional Learning Competency Framework</i>, going beyond simply providing one-off training • More systematically support sharing and learning from practice • Become a more visible and effective advocate for evaluation and seek to influence demand and its enabling environment • Engage in strategic partnerships with other evaluation associations and relevant local professional associations 	<ul style="list-style-type: none"> • Conduct a situation analysis involving members, non-members and users of evaluation to identify needs, resources, risks and opportunities • Take account of evidence of impacts of ongoing credentialling trials when this becomes available • If appropriate and feasible, develop a voluntary credentialling process involving a combination of formal professional development and demonstrated competence, plus requirement for ongoing professional development 	<ul style="list-style-type: none"> • Require (compulsory) evaluators to have completed accredited courses, certification, credentialling, licensing

Pathway 1 – STOP continuing business as usual

We recommend the AES STOP doing business as usual – engaging in some activities related to professionalisation but in a disconnected, non-strategic way that does not produce overall benefits to members, the Society or the field of evaluation.

In particular, we recommend no longer running ad hoc training events that are supply-led (what trainers want to provide), not explicitly related to competencies and/or identified priorities, and which do not have an explicit pathway of follow up support to develop actual competency.

Figure 3. STOP continuing business as usual



Pathway 2 – START focusing, connecting and augmenting current activities

We recommend that the AES START to focus and connect existing activities and augment them to achieve a complementary mix that better addresses the capacity and motivation of evaluators (supply) as well as the opportunity for improved evaluation practice (demand and enabling environment).

The AES already engages in a number of important activities related to professionalisation, and these need to be better focused and connected – in particular, around the Competencies and Guidelines for Ethical Conduct. These existing activities need to be augmented in terms of increasing the scale or focus of some activities and adding some additional activities, especially around supporting ongoing competency after initial skills have been developed. This section outlines a number of specific recommendations for action.

Resourcing this pathway

Some of these suggested activities could be done through better focus and connection of existing activities, using existing resources. Others will require additional resources. These might come from:

- different levels of membership – i.e. higher levels of membership fees to include progressively more professional development
- fee-for-service payments by participants
- investment by the AES
- external funding (e.g., for a specific group such as emerging or Indigenous evaluators)
- re-allocation of funding from other activities

Principles for engaging in this pathway

When considering the activities recommended in this report, the following principles should be followed:

Pay attention to 'due process'

Before moving to implement any significant actions, some level of wider consultation needs to be undertaken with AES members, other evaluators, and users of evaluation services. Specifically, to identify needs, resources, risks, opportunities and interest in engaging in various options. Our recommendations and the evidence compiled in this report, therefore, are intended to inform discussions about implementation. The reflections of those involved in the development of the CES certified evaluator program were that the consultative and collaborative process itself might have been more important than the product.

Identify who needs to be involved in specific activities

In some cases, the AES should take responsibility for implementing the activities itself acting alone or in partnership with other organisations (direct action), while in other cases, the AES will need to support, promote or influence others to act (indirect action) and, sometimes it may require to do both.

Distinguish between short-term and longer-term activities

Some activities are immediately doable or can be started in the shorter-term using core resources, while others may take more planning or should be started in the longer-term as they rely on other things to be put in place first. Where additional resources are required, options such as fee-for-service,

revenue from enhanced levels of AES membership (individual or organisational) or other fund-raising (such as grants) should be carefully considered.

Address the needs of different types of AES members

The AES' activities should cater for the variety of evaluators in its membership, in particular, and the Australasian context, in general, including internal and external evaluators; emerging, experienced, and those intermittently doing evaluation; those identifying as evaluators and those doing evaluation as part of their job. Our recommendations are grounded in the recognition of the different (disciplinary or other) backgrounds and entry points for individuals practicing evaluation. We see this as a particular strength to build on.

Figure 4 provides an overview of the recommended actions and **Table 2** provides further details of these priorities. They are relevant to all types of evaluators unless otherwise specified.

See **Annex 3** for more detailed descriptions of: what the AES has already done and is currently doing; and, useful examples of recommended approaches as implemented by other evaluation associations or other fields of practice or professions.

Figure 4. START focusing, connecting and augmenting current activities informed by consultation

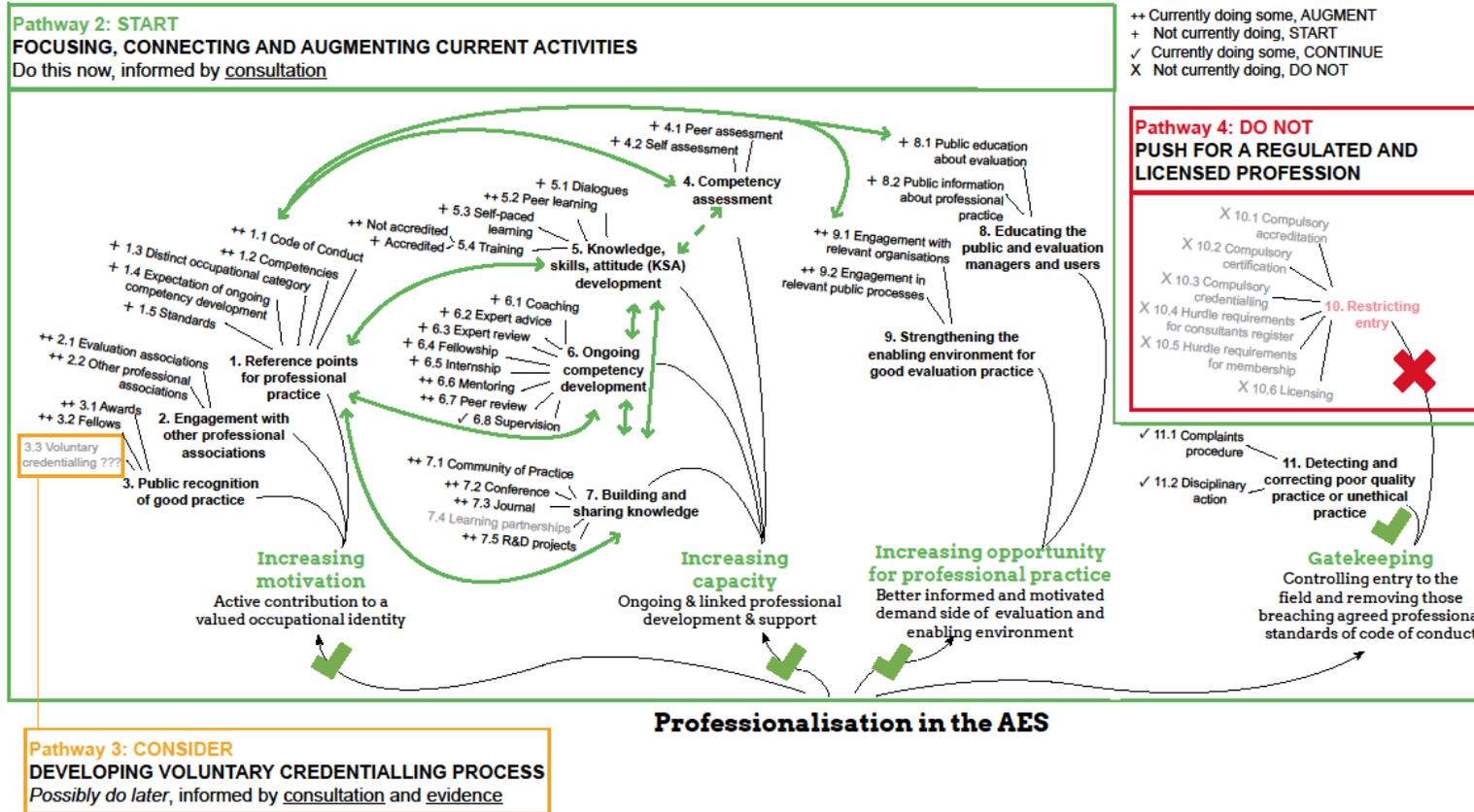


Table 2. Recommended actions: Focus, connect and augment current activities informed by consultation

Change Theory: INCREASING MOTIVATION – Active contribution to a valued occupational identity	
Strategy & Approaches	Activities (\$ indicates additional resources likely to be needed)
<p>1. Reference points for professional practice:</p> <p>1.1 Code of conduct</p> <p>1.2 Competencies</p> <p>1.3 Distinct occupational category</p> <p>1.4 Expectation of ongoing competency development</p> <p>1.5 Standards</p>	<p>Current/previous activities:</p> <p>Developed and published <i>Guidelines on Ethical Conduct of Evaluation and Code of Ethics</i> and the <i>Evaluators’ Professional Learning Competency Framework</i>.</p> <p>Focus, connect and augment:</p> <p><i>Shorter-term</i></p> <ol style="list-style-type: none"> 1. Make the existing professional practice reference documents more visible on the AES website and in public engagement and encourage their wider use – for example, sending competencies to evaluation training providers. 2. Add compliance with the code of conduct as a requirement for organisational membership as it is for individual membership, and add this to the online organisational member application process. 3. Support Q&A around the code of conduct and the competency framework in AES events (i.e., conferences, meetings, etc.) and explicitly reference the relevant section of the documents when discussing issues related to evaluation practice. <p>Additional activities:</p> <p><i>Shorter-term</i></p> <ol style="list-style-type: none"> 4. Encourage explicit use of the code of conduct (e.g., encourage AES members and other evaluators to append the document to proposals for undertaking an evaluation). 5. Encourage evaluators to identify themselves as such on official forms (e.g., Census, tax forms, immigration). 6. Directly consult with members regularly to identify areas where they are seeking to develop their competencies, and use this as the basis for developing courses, providing information about other courses that address these and support for competency development. 7. Encourage members and employers of evaluators to develop personal learning plans that identify particular competencies and strategies to develop them.

	<p><i>Longer-term</i></p> <p>8. Engage with IOCE and regional evaluation associations to develop ‘standards across borders’ to achieve critical mass for what constitutes good professional practice in evaluation. \$</p> <p>9. Encourage the Australian Bureau of Statistics (ABS) and Statistics New Zealand (NZS) to add ‘evaluator’ as a distinct occupation to the Australian and New Zealand Classification of Occupations (ANZSCO). \$</p>
<p>2. Engagement with other professional associations:</p> <p>2.1 Evaluation associations</p> <p>2.2 Other professional associations</p>	<p>Current/previous activities:</p> <p>Negotiated reduced cost for membership of the CES (reciprocal). AES is a member of the IOCE.</p> <p>Additional activities:</p> <p><i>Shorter-term</i></p> <p>10. Work with evaluation associations in New Zealand and Pacific Nations to develop a joint plan of action (to draw on respective strengths and to share work load) for professionalisation pathways or approaches that can be beneficial to all. \$</p> <p>11. Negotiate MOUs for AES members to get full access to online resources provided by other evaluation associations.</p> <p><i>Longer-term</i></p> <p>8. Engage with IOCE and regional evaluation associations to develop ‘standards across borders’ to achieve critical mass for what constitutes good professional practice in evaluation. \$</p> <p>12. Negotiate access to relevant resources from other professional organisations. \$</p> <p>13. Identify strengths and lessons learned from other professional organisations with overlapping practice to avoid duplication of effort / re-inventing the wheel). \$</p> <p>14. Identify areas of common interest or mutual benefit with other professional organisations to pursue together. \$</p>

<p>3. Public recognition of good practice:</p> <p>3.1 Awards 3.2 Fellows 3.3 Voluntary credentialling</p>	<p>Current/previous activities: Presents annual awards which are described on the website. Awards AES Fellows designation to recognise contribution to evaluation practice.</p> <p>Focus, connect and augment: <i>Shorter-term</i></p> <p>15. Ensure that the announcement of Awards & Prizes includes a clear statement of why they were awarded to the individuals or evaluations concerned – emphasizing links to the code of conduct and competencies – and provide avenues for the winners to promote the values of professional practice.</p> <p>16. Use AES Fellows more strategically (such as for: convening conference sessions around identified priority challenges, reviewing journal articles, providing expert advice around recurrent issues, coaching or mentoring), and make them more visible on the website.</p> <p>Additional activities: See Pathway 3 in the next section for recommendations regarding possible actions around voluntary credentialling, informed by consultation and keeping abreast of emerging evidence from voluntary credentialing used elsewhere. This will require a substantial investment.</p>
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Change Theory: INCREASING CAPACITY – Ongoing and linked professional development and support	
Strategy & Approaches	Activities (\$ indicates additional resources likely to be needed)
<p>4. Competency assessment</p> <p>4.1 Peer assessment 4.2 Self-assessment</p>	<p>Current/previous activities: Has not been addressed to date.</p> <p>Additional activities: <i>Shorter-term</i> 17. Develop a self-assessment and/or peer review assessment tool for individuals to take up on a voluntary basis. \$</p>
<p>5. Knowledge, skills, attitudes (KSA) development</p> <p>5.1 Dialogues 5.2 Peer learning 5.3 Self-paced learning 5.4 Training (accredited or not)</p>	<p>Current/previous activities: Delivers short courses or workshops on various topics in response to proposals from providers. Delivers pre-conference and post-conference workshops in response to proposals from presenters. The Realist Evaluation and Realist Synthesis SIG runs a virtual book club.</p> <p>Additional activities: <i>Shorter-term</i> 18. Require explicit reference to and use of the code of conduct and competency framework in all KSA development events provided by AES and others delivering for/with AES. 19. Encourage external courses to make their links to the competencies in the competency framework explicit and to state clearly which KSA participants can expect to achieve. 20. Obtain member feedback on priority areas for KSA development. \$ 21. Identify priorities and seek providers to deliver a rolling program (F-2-F and self-paced) of KSA development that addresses all competencies in the competency framework. \$ 22. Organise or encourage others to hold professional dialogues and peer learning events around specific evaluation issues, methods or processes (e.g., a study circle, book club or other interactive means). 23. For KSA-development activities, identify what support is needed for ongoing competency development.</p>

	<p><i>Possible longer-term</i></p> <p>24. Explore scope for developing or curating a library of materials to support self-learning, focusing on areas of priority and leveraging existing materials and collaboration with projects in this area to avoid duplication of effort.</p> <p>25. Accredite external courses. \$</p> <p>26. Create an accredited course (curating existing materials augmented by new materials where needed) and engage individuals/organisations to deliver it. \$</p>
<p>6. Ongoing competency development</p> <p>6.1 Coaching</p> <p>6.2 Expert advice</p> <p>6.3 Expert review</p> <p>6.4 Fellowship</p> <p>6.5 Internship</p> <p>6.6 Mentoring</p> <p>6.7 Peer review</p> <p>6.8 Supervision</p>	<p>Current/previous activities:</p> <p>Some informal reciprocal peer review is used by some AES members.</p> <p>Some informal mentoring occurs between AES members.</p> <p>Supervision of graduate students occurs in relation to a Capstone Project involving the evaluation of the AES conference.</p> <p>Additional activities:</p> <p><i>Shorter-term</i></p> <p>27. Obtain member feedback on priority areas and means for ongoing competency development. \$</p> <p>28. Act as organiser of coaching – finding appropriate coaches for those requesting such support. \$</p> <p>29. Document and promote informal processes of peer review and encourage members to use them.</p> <p>30. Advocate for peer review and/or expert review of evaluation products among evaluation managers and users and promote guidance and examples. \$</p> <p><i>Longer-term</i></p> <p>31. Develop a coaching program, focused on hard implementation challenges. \$</p> <p>32. Possibly develop internships for targeted areas (e.g., for Indigenous evaluators or evaluations). \$</p> <p>33. Develop and run a mentoring program – using AES Fellows and identifying others as mentors and carefully matching them with mentees. \$</p>

<p>7. Building and sharing knowledge</p> <p>7.1 Community of Practice</p> <p>7.2 Conference</p> <p>7.3 Journal</p> <p>7.4 Learning partnerships</p> <p>7.5 R&D projects</p>	<p>Current/previous activities:</p> <p>Organises annual conference – largely reactive program in response to proposals around a theme, localised theme setting and keynote address but including some strategically-focused sessions (such as related to the Enhanced Commonwealth Performance Framework, EvalAgenda 2020).</p> <p>Publishes journal – reactive to submissions but works with authors to develop publishable papers.</p> <p>Focus, connect and augment:</p> <p><i>Shorter-term</i></p> <p>34. Conduct a situation analysis of areas where people most need support that can be met through an existing or a new CoP Focus particularly on hard implementation challenges; systematically document and share knowledge. \$</p> <p>35. Be more pro-active in seeking conference sessions on particular issues, and support more sharing and documenting, interactive sessions, including flipped conference (i.e., share materials beforehand and have follow up discussion during the conference).</p> <p>36. Make more strategic use of the journal –not only reactive content based on submissions but focused on important issues in evaluation for which content is sought pro-actively. Engage guest editors around identified priorities: similar to NDE but more inclusive (inviting specific contributions as well as accepting proposals); this would be particularly useful when writers and practitioners can be matched to get accounts of practice that are situated in the context of previous theory and practice</p> <p>Promote more analysis of exemplars.</p> <p>Additional activities:</p> <p><i>Longer-term</i></p> <p>37. Use appropriate technology to implement CoPs virtually – not just supporting the process for engagement but also producing and sharing knowledge products.</p> <p>38. Align the AES Conference theme more with the professionalisation pathways and approaches – purposefully building in strategies to support learning in a CoP, KSA development, etc.</p> <p>39. Identify funding sources for research projects on evaluation methods and processes and support members through peer reviewing their funding applications.</p>
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Change Theory: INCREASING OPPORTUNITY – Better informed and motivated demand side of evaluation and enabling environment

Pathway & Approaches	Activities (\$ indicates additional resources likely to be needed)
<p>8. Educating the public and evaluation managers and users:</p> <p>8.1 Public information about evaluation</p> <p>8.2 Public information about professional practice</p>	<p>Current/previous activities: Has not been addressed to date.</p> <p>Augment and add: <i>Shorter-term</i></p> <p>40. Develop and promote a knowledge product that provides a clear, brief statement about what evaluation is and what good evaluation practice is (avoid going down the track of ‘The perfect is the enemy of the good’). \$</p>
<p>9. Strengthening the enabling environment for good evaluation practice:</p> <p>9.1 Engagement in relevant organisational processes</p> <p>9.2 Engagement in relevant public processes</p>	<p>Current/previous activities: There is experience doing this (e.g., submissions related to the Public Governance, Performance and Accountability Act, PGPA).</p> <p>Augment and add: <i>Shorter-term</i></p> <p>41. Continue to identify opportunities for engagement in relevant organisational and public processes and support an ongoing capacity for such engagement (e.g., the Government Engagement Working Group, the Advocacy and Alliance Committee, other targeted working groups or Task Forces of AES members). \$</p>

Pathway 3 – CONSIDER developing a voluntary credentialing process

We do *not* recommend that the AES pursue the pathway of **voluntary credentialing** in the short term. Evidence from ongoing voluntary credentialing in evaluation is still scant in terms of its impact on the demand for and quality of evaluation practice, as well as its impact on the status of evaluators as an occupation and available career paths. What is clear from the experience to date is that it requires a substantial investment (including that of time, human and financial resources). We do not rule this option out completely but urge the AES not to make major investments at this time and to keep abreast of the emerging evidence, and, if warranted, consider developing this approach based on a careful situation analysis within the AES context.

CONSIDER, <i>perhaps</i> later, based on consultation and evidence	
Change Theory: INCREASING MOTIVATION – active contribution to a valued occupational identity	
Pathway & Approaches	Activities (\$ indicates additional resources likely to be needed)
<p>3. Public recognition of good quality practice:</p> <p>3.3 Voluntary credentialing</p>	<p>Current/previous activities: Has not been addressed to date</p> <p>Additional activities</p> <p><i>Shorter-term:</i></p> <ul style="list-style-type: none"> • Conduct a situation analysis involving members, non-members and users of evaluation to identify needs, resources, risks and opportunities \$ • Keep abreast of evidence of impacts of ongoing credentialing trials <p><i>Longer-term:</i></p> <ul style="list-style-type: none"> • If appropriate and feasible, develop a voluntary credentialing process involving a combination of formal professional development and demonstrated competence, plus requirement for ongoing professional development \$\$\$ <p>Resourcing: This pathway requires a considerable investment (time, human and financial resources) to establish and maintain. It may be possible to piggyback on or collaborate with efforts to introduce voluntary credentialing that are already underway elsewhere, and which may provide some efficiencies. However, substantial and long-term funding will still need to be sought.</p>

Definitions

The terms certification and credentialing are defined differently and used inconsistently in the literature⁷. For the purpose of this report, we use the following definitions:

Certification –a course, set of courses or other experiences for which a person receives a certificate (such as certificate of attendance or of successful completion as per defined within the specific context).

The certificate may be issued by those providing the course or other event, or by a professional body.

Credentialing –a process by which a person receives a credential for having mastered certain skills and competencies in a particular field of practice. This is, typically, assessed by an external body (usually a professional society in the area of consideration).

[Adapted from: Altschuld 2005; Huse and McDavid 2006]

Intended benefits

Given there is no agreed definition of evaluation or universal professional standards, credentialing can help with delineating the practice of evaluation from related practices such as internal audit and management consulting (Altschuld 2005).

It provides clearer guidance for professional development of evaluators (often based on established competencies that evaluators should offer) which can encourage universities or other institutions to establish accredited evaluation programs; it can also encourage those conducting evaluations to acquire and maintain the necessary competencies over time (Gussman 2005). For those commissioning evaluations or those hiring internal evaluators, credentialing can facilitate the selection of evaluators.

In the long run, credentialing is expected to lead to better quality evaluation practice and products which, in turn, may elevate the status of evaluation (Huse and McDavid 2006). It should be noted that the effects of credentialing in evaluation are not fully understood as there is only limited experience with the approach and available information is mostly focused on the process of establishing and maintaining the system rather than on the effects (*see, for example*, CES credentialing program below).

Risks

Table 3 provides an overview of the potential risks of credentialing versus not pursuing credentialing.

⁷ Often these terms are defined in exactly opposite ways (such as in Altschuld 2005 as cited in Wilcox and King 2014), so it is important to be clear on the definition used.

Table 3. Overview of the potential risks of credentialling versus not credentialling

Risks of credentialling	Risks of not credentialling
<ul style="list-style-type: none"> • Limits (directly or indirectly) the range of approaches that can be taken by evaluation • An increased emphasis on practice and application of evaluation rather than theory, the research base may be threatened • Evaluation’s sense of autonomy means it ceases to be responsive to clients • Risk of a static rather than dynamic set of competencies due [“credentialling for yesterday rather than tomorrow”] due to difficulty in continually updating the system • Cost of evaluations may go up due to cost of credentialling • Limits (directly or indirectly) the pathways by which individuals become evaluators • Potential for loss of diversity in the pool of evaluators • Given it is voluntary, uptake may be low • We may exclude good evaluators • Some long-term evaluators may receive the credential as part of a ‘grand parenting’ system⁹ yet not merit the status • May disaffect experienced evaluators who do not wish to be part of a ‘grand parenting’ system • Does not guarantee credentialed individual is fully competent, yet potential employers/contractors may erroneously think so 	<ul style="list-style-type: none"> • Anyone can call themselves an evaluator and the field will continue to have difficulty differentiating itself from other fields/ professions • Evaluation is sidelined by other established disciplines, occupations or professions • The benefits of evaluation may have less currency than the perceived benefits of internal audit or work of management consultants • Evaluation is brought into disrepute through low quality practice or products • The field will continue to be problem-oriented rather than building a theory-based foundation • Those hiring an evaluator have no way of assuring that someone calling him/herself an evaluator is actually qualified for the task • Educational institutions lack guidance on what curricula to offer
<p>Based on: Lysaght and Altschuld 2000; Perrin 2005; Huse and McDavid 2006; Hawkins 2013; Altschuld and Engle 2015.</p>	

Challenges

- Without adequate financial support, a credentialling program may be pulled together too quickly and without the necessary in-depth needs and risk assessments.
- A ‘grand parenting’ system is likely to be needed, at least temporarily.
- Credentialling an individual at some point in her/his career does not guarantee that she/he can tackle a new evaluation task adequately (such as doing an evaluation in a different cultural, organisational, or country context or using a particular method required).
- An evaluation is often conducted by a team –requiring a set of competencies across the team members– rather than one individual. Hence, individual credentials are not that meaningful or useful.
- Given new developments in the evaluation field and need for ongoing competency developments, there is a need for re-credentialling after a period of time.

(Based on: Perrin 2005; Cousins et al. 2009; Buchanan and Kuji-Shikatani 2014; Altschuld and Engle 2015)

⁹ A system that is introduced at the beginning of a credentialling program and is, generally, time limited (8-10 years is mentioned), whereby an experienced practitioner can be granted the credential based on his/her experience rather than going through all required steps of the credentialling process.

What it takes to establish and maintain a credentialing program

Expensive (human and financial resources) and time consuming;

- Difficulty of covering ongoing costs (i.e., establishing, administering, maintaining and revising the system);
- Needs to be maintained as a dynamic system to keep up with the changing knowledge base.

(Based on: Buchanan 2015; Fierro et al. 2016)

Evidence from the experience of the Canadian Evaluation Society (CES) credentialing program

The Professional Designation Program (PDP) started by the CES in 2009 is currently the only such program in the evaluation field¹⁰. **Annex 4** provides a detailed account of the information we have to date in terms of what it takes to establish, run and maintain the program. The information underscores the incredible accomplishment of the CES and wider evaluation community in Canada in this area but also indicates the significant investment that was needed to establish the program and is still needed to maintain it. Interestingly, some of those involved pointed to the major benefits of the process rather than the outcomes:

“In many respects, ... the process was as important, if not more, than the outcome of the project...Perhaps the most critically important and energizing part of the work is not in the result (i.e., credentialed evaluators), but rather in the cross-country conversation and debate on evaluator identity” (Buchanan and Kuji-Shikatani 2014, p. 42).

The limited availability of opportunities in evaluation education and training (as is the case in the AES context) was an important consideration for the CES in the design of the credentialed evaluator (CE) qualifications and in the level of required ongoing professional development. The CES used a two-fold approach to trainings: (1) owning and delivering some courses; and, (2) purchasing or simply advertising independent offerings from private providers. However, it was not clear if or to what extent the PDP had improved the accessibility and nature of offerings of professional development (Kuji-Shikatani et al. 2012). It was concluded that a more strategic and pro-active effort was needed to ensure the evaluation community across Canada can access continuous learning opportunities. In response, the PDP helped to establish a Consortium of Universities for Evaluation Education (CUEE 2008) which continues to grow and build educational programming to support the evaluation profession (Kuji-Shikatani et al. 2012).

In 2016, the Claremont Evaluation Center at Claremont Graduate University conducted a formative evaluation to help improve the design, resourcing, uptake, and outcomes of the PDP (Fierro et al. 2016). Key findings included:

- Uptake was low (less than 20% of the CES members):
 - Many sought designation through the fast-track application process;
 - Many did not apply because: the CE designation is not required for their jobs; the resources (time and money) required to apply are perceived as high; and, they are unclear about what the relative benefit of having the designation would be in relation to expending these resources.

¹⁰ The Japan Evaluation Society provides ‘certification’ for evaluators having gone through required accredited courses in specified sectors/topical areas.

- Commissioners did not pay much attention to credentialed individuals in their hiring:
 - Those seeking services from evaluators, whether by hiring or retaining internal evaluators or requesting assistance from external evaluators, did not take steps to provide a strong enough external motivation for evaluators to pursue the CE designation;
 - Employers and commissioners of evaluation typically viewed the CE as a “nice to have” item and considered many factors in addition to the CE when making decisions. In some cases, particularly within the federal government, there are policies and procedures in place that are obstacles to making the CE a requirement for hiring, selecting contractors, or supporting the pursuit of the CE among current employees.
- Credentialed individuals did not report getting more business:
 - Less than half of the evaluator respondents who had received the CE designation felt it improved their marketability or helped them achieve some career goals.

There were some positive unintended results:

- Approximately half of the CEs viewed the application process itself as a means for learning how to improve their work.

And, the majority of participants in the evaluation did not report observing any negative effects of the CE designation to date.

Based on the findings above, it seems too early to recommend the AES goes down this pathway of professionalisation as the investments are substantial and the benefits not clear or large enough to justify such investment. In addition, there is a clear recognition for the need to update the credentialing requirements regularly in line with new developments in the field of evaluation:

The CES indicated that a system of designations assumes that “an adequate foundational knowledge base for the profession exists or will exist.” (2007a, p. 4). In this regard, the PDP led to some progress through the development and approval of evaluation competencies and their associated descriptors. However, there is a critical need for this knowledge base to be examined, researched, up-dated, and managed as the living and evolving entity that it is. Perrin (2005) warns of an overreliance on credentials and the “certification of skills for yesterday.

This, again, is a major undertaking as it requires appropriate processes for agreeing on the changes and has implications for those already credentialed (which may or may not be easily folded into the current requirement for CEs to complete at least 40 hours of professional development every three years in order to maintain their designation; it may require a re-credentialing process).

And finally, if the AES were to consider economies of scale through collaborating with the CES, the 2016 evaluation found that:

“Some CB members suggested that working with other evaluation societies or international entities could help to ensure the sustainability of the program. While several seemed optimistic about collaborating with other societies, a few expressed some hesitation, worrying that the limited resources available would be focused outside of the country and CES membership.” (Fierro et al. 2016, p.53)

In conclusion, credentialing may have potential but has to be carefully explored and negotiated towards mutual benefit.

Pathway 4 – DO NOT push for a regulated and licensed profession

We do *not* recommend that the AES pursue the pathway of **gatekeeping** –controlling entry to the field and removing those breaching agreed professional standards or code of conduct, including creating a formal profession, involving compulsory completion of accredited courses, certification, credentialing and licensing.

We do *not* see gatekeeping as desirable or feasible, given the diversity of competencies that is required to suit different contexts for evaluation, the high investment needed to pursue this, and the potential negative impacts of excluding competent practitioners for whom evaluation is not their primary identity or of reducing the variety of (disciplinary and other) backgrounds which enrich our field of practice.

We do *not* see establishing hurdle requirements for membership to the AES as desirable for reasons of maintaining a rich variety of those conducting, managing, commissioning, and using evaluations.

What might be considered useful is the establishment of hurdle requirements for the AES consultants register (see **Annex 5** for some examples). We do, also, encourage the AES to keep in place its current Complaints Procedure and Disciplinary Action pertaining to its members.

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Annex 1. Research methodology

The aim of our work was: to identify possible approaches to professionalisation and review their relative strengths and weaknesses as debated in the literature about evaluation and selected other fields of practice/professions; and, to make specific recommendations about professionalisation pathways that the AES can pursue.

Our research involved:

1. *Identifying relevant international literature on professionalisation within evaluation and other fields of practice/professions* – We conducted an iterative search of the specialist literature including:
 - Obtaining the references identified to inform the development of the *AES Evaluators' Professional Learning and Competency Framework*;
 - Obtaining recent special issues on professionalisation of evaluation;
 - Searching key evaluation journals¹¹ using key words related to professionalisation;
 - Scanning reference lists of identified relevant papers; and,
 - Requesting additional papers from contacts to fill specific gaps and obtaining key grey literature.We also conducted a google search for key publications around professionalisation in selected other fields of practice/professions.
2. *Conducting an environmental scan of professionalisation pathways for membership associations in evaluation and other fields of practice in the Australasian and other regions* – Information on pathways for professionalisation was obtained from websites and listed documents of the AES, other international evaluation associations (AEA, ANZEA & Mā te Rae & Pasifika Fono, CES, EES, JES, SAMEA), and membership associations in other fields of practice/professions (AMSRO, AMSRS, IAP2, Professional Conference Organisers Association, Social Value International/Social Impact Measurement Network, Australian affiliate).
3. *Conducting supplementary interviews* – We conducted a few interviews (AES President, AES Executive Officer, AES Cultural Capacity and Diversity Committee, NZ evaluation expert) to obtain a more in-depth understanding of specific approaches, barriers and opportunities for professional development, and, specific characteristics of the Australasian context that need to be taken into account in professionalisation pathways for the AES. Interviewing was necessarily limited and consultations were not part of the commissioned work.
4. *Data extraction and analysis* – We developed a data extraction tool, using NVivo, focused on: context, target groups, type of professionalisation approach, benefits, risks, resource requirements, and implementation experiences. We used theories of change to bring together disparate information about the intended outcomes from professionalisation and the different approaches used to achieve these.
5. *Reporting to the AES* – Our report is not a literature review report. Instead, the report presents possible pathways for professionalisation that the AES, as a regional evaluation association, can pursue and includes: summary information about the strengths and weaknesses of different approaches; how these approaches are being/have been used –providing specific examples– both within evaluation and other fields of practice/professions; and, recommended actions for the AES leadership and members to consider.

Important note: The work for this report was commissioned in January 2017 and completed in July 2017. The information in this report is up-to-date as of July 2017.

¹¹ American Journal of Evaluation, Evaluation Journal of Australasia, Evaluation, Evaluation and the Health Professions, Evaluation Review, New Directions in Evaluation, The Canadian Journal of Evaluation.

Annex 2. Examples of organisations implementing specific approaches to advance professionalisation (evaluation, other)

Note: The below table provides illustrative examples only; it is not intended to be a comprehensive listing.

APPROACHES USED FOR PROFESSIONALISATION IN EVALUATION AND IN OTHER FIELDS OF PRACTICE OR PROFESSIONS		
Increasing motivation – Active contribution to a valued occupational identity		
Approach	Implementation examples – evaluation	Implementation examples – other
1. Reference points for professional practice		
1.1 Code of conduct	AEA, ANZEA, CES	
1.2 Competencies	AEA, ANZEA, CES, IDEAS, UKES	
1.3 Distinct occupational category		ABS and SNZ
1.4 Expectation of ongoing competency development		AMSRA – Continuing Professional Development diary
1.5 Standards	ANZEA (jointly with SUPERU) Joint Committee on Educational Evaluation (AEA & CES are among sponsoring members)	
2. Engagement with other professional associations		
2.1 Evaluation associations	AEA-CES joint conferences and reduced joint membership rates ANZEA partnership with Mā te Rae	
2.2 Other professional associations	AEA and Social Value International	
3. Public recognition of good practice		
3.1 Awards	AEA, CES	
3.2 Fellows	CES	IAP2 – 28 “ambassadors” listed on website ACE
3.3 Voluntary credentialling	CES	AMSRS – Qualified Practising Market Researcher (QPMR) PCOA – Certified Event Manager ISPI - Certified Performance SIMN – Accredited SROI Practitioner Technologist (CPT) Certification UK Department for International Development, DfID US Agency for International Development, USAID

APPROACHES USED FOR PROFESSIONALISATION IN EVALUATION AND IN OTHER FIELDS OF PRACTICE OR PROFESSIONS

Increasing capacity – Ongoing and linked professional development and support

Approach	Implementation examples - evaluation	Implementation examples - other
4. Competency assessment		
4.1 Peer assessment	EES and UKES	
4.2 Self-assessment	UNAIDS, The Joint United Nations Programme on HIV and AIDS	
5. Knowledge, skills, attitudes (KSA) development		
5.1 Dialogues	AEA	
5.2 Peer learning		OECD-UNDP Effective Institutions Platform (EIP)
5.3 Self-paced learning	AEA Coffee Break webinar recordings EvalPartners	
5.4 Training (accredited or not)	AEA e-study, CES, JES	
6. Ongoing competency development		
6.1 Coaching	SHORE, Te Rōpū Whāriki, private sector providers	National Museum of Mexican Art in Chicago
6.2 Expert advice		AMSRS–expert advice phone line AMSRO–workplace relations support & free advice (2 hrs pa)
6.3 Expert review	DfID - Helpdesk	
6.4 Fellowship	CDC, RWJF	
6.5 Internship	AEA – GEDI	
6.6 Mentoring	CES, EES	
6.7 Peer review	USAID	
6.8 Supervision		AASW

7. Building and sharing knowledge		
Approach	Implementation examples - evaluation	Implementation examples - other
7.1 Community of Practice	International Advocacy Evaluation CoP Gender and Evaluation CoP	
7.2 Conference & Other convening	AEA, ANZEA, CES, UKES	
7.3 Journal	AEA – exemplars series on award-winning evaluations NDE, New Directions in Evaluation	
7.4 Learning partnerships		Master Card Foundation Mercy Corps World Bank Climate Investment Fund
7.5 R&D projects	Faster Forward Fund, 3F SAMEA	
Increasing opportunity for professional practice - Better informed and motivated demand side of evaluation and enabling environment		
8. Educating the public and evaluation managers and users		
8.1 Public information about evaluation	ANZEA EvalPartners Toolkit for Advocacy	IAP2 – Participation Spectrum
8.2 Public information about professional practice		IAP2 – Guide to procuring engagement services
9. Strengthening the enabling environment for good evaluation practice		
9.1 Engagement in relevant organisational processes	AEA – Submission re: High Stakes Testing ANZEA	
9.2 Engagement in relevant public processes	AEA – Road Map for Evaluation	AMSRO

APPROACHES USED FOR PROFESSIONALISATION IN EVALUATION AND IN OTHER FIELDS OF PRACTICE OR PROFESSIONS

Gatekeeping - Controlling entry to the field and removing those breaching agreed professional standards or code of conduct

Approach	Implementation examples - evaluation	Implementation examples - other
10. Restricting entry		
10.1 Compulsory accreditation	JES for educational evaluation NZ Ministry of Social Development organisational accreditation for providers funded to deliver social services (including evaluation)	IAP2 – Certificate, Advanced Certificate
10.2 Compulsory certification	JES for educational evaluation	
10.3 Compulsory credentialling		
10.4 Hurdle requirements for consultants register		IAP2
10.5 Hurdle requirements for membership		AMSRS
10.6 Licensing		
11. Detecting and correcting poor quality practice or unethical conduct		
11.1 Complaints procedure		
11.2 Disciplinary action		

Annex 3. Discussion and examples for recommended actions in Pathway 2

Change Theory: INCREASING MOTIVATION

This section discusses strategies that relate to increasing the motivation for better practice through active contribution to a valued occupational identity.

1. Reference points for professional practice:
 - 1.1 Code of conduct
 - 1.2 Competencies
 - 1.3 Distinct occupational category
 - 1.4 Expectation of ongoing competency development
 - 1.5 Standards

While the AES has a number of published reference points for professional practice, they are not adequately highlighted and referenced in AES activities.

1.1 Code of conduct

The code of conduct for a group or organisation is an agreement on rules of behaviour for the members of that group or organisation. Also referred to as a Code of Ethics or Code of Practice.

What the AES has already done or is doing

The AES has an established 'Code of Ethical Conduct' and 'Guidelines on the Ethical Conduct of Evaluations' and applicants for individual membership of the AES are expected to abide by the code and support the guidelines. These have been in place since 1992 (Interim Code of Ethics) (Sharp 2003) and 1997 (Guidelines) and were most recently reviewed and updated in 2013. The Code sets out a number of principles under the headings of 'Responsibilities to the field of evaluation and to the public' and 'Responsibilities to the AES and to fellow members'. The Guidelines provide more detailed advice in terms of three stages or roles in evaluation: commissioning and preparing for an evaluation; conducting an evaluation; and, reporting the results of an evaluation. They therefore cover not only the activities of evaluators but also of evaluation managers and commissioners.

The Code and Guidelines can be accessed through the AES website but are not visible on the home page, nor on the first or second line of menu options. They can be accessed through the 'About Evaluation' option but there is no signal of this on the menu.

While ethical issues are sometimes addressed in the conference, journal and branch meetings, there is not a systematic mapping of these onto the code of conduct.

Useful examples from other associations or organisations

ANZEA has addressed ethical issues in its Standards which cover evaluative practices, processes and products. They are readily visible on their [homepage](#) as a menu option under the heading 'Evaluation'.

AEA has addressed ethical issues in its Guiding Principles, which are readily visible on their homepage as a menu option under the heading 'About'.

Recommended actions

Focus, connect and augment:

1. Make the Code and Guidelines more visible on the AES website and in public engagement and encourage their wider use
2. Add compliance with the Code as a requirement for organisational membership as it is for individual membership, and add this to the online organisational member application process
3. Support Q&A around the code of conduct and the competency framework in AES events (i.e., conferences, meetings, etc.) and explicitly reference the relevant section of the Code and Guidelines when discussing ethical issues (DIRECT)

Additional activities:

Shorter-term

4. Encourage explicit use of the Code (e.g., encourage AES members and others to append the document to proposals for undertaking an evaluation)

1.2 Competencies

A set of competencies (knowledge, skills and attitudes/KSA) that an individual must have to conduct high quality evaluation

- knowledge: what a person can learn
- skills: what a person can do
- attitude (or disposition): the way a person can think or feel about something

Wilcox and King (2014)

Competency can be defined as the degree to which individuals can apply the knowledge and skills associated with a field of practice or profession to the full range of situations that fall within the domain of that particular field of practice or profession (as cited in Lysaght and Altschuld 2000).

What the AES has already done or is doing

A process to develop a list of core competencies began in 1996. A list was developed by the Professional Development Committee of the AES in 1997 for the New Zealand Training Project, but not officially endorsed by the AES Board. A working party produced a set of detailed recommendations in 2001 (English et al. 2002). The first edition of the Evaluators Professional Learning Competency Framework was published in 2013.

The Competencies explicitly state that it is not expected that any one person will have all the identified competencies, and that the competencies should be used to develop an appropriate

team that covers for an evaluation, to guide ongoing individual professional development, to inform recruitment or engagement of evaluators (as staff or consultants) and to inform education programs.

The Competencies can be accessed through the AES website but are not visible on the home page nor on the first or second line of menu options. They can be accessed through the “Professional Learning” – “Resources” page but there is no signal of this on the menu.

The Competencies are not explicitly referenced when planning or advertising workshops (either during the year or pre/post-conference). In 2017, those proposing workshops were asked to identify which competencies they related to. This was difficult in their current format, which only numbers the high level competencies.

For example: 6. Interpersonal Skills – These competencies focus on the interpersonal skills evaluators need to communicate effectively with clients, consumers and other stakeholders in an evaluation.

Evaluators:

- *listen for and respects others' points of view*
- *display empathy*
- *have the capacity to build relationships with a range of people*
- *maintain an objective perspective*

It will be important to review the effectiveness of this process in helping planners and participants to select workshops.

Useful examples from other associations or organisations

ANZEA developed draft competencies in 2009 and after further consultation these were finalised in 2011. They are intended to:

- Inform and guide sound and ethical evaluation practice in Aotearoa New Zealand, in a range of roles relevant to evaluation practice.
- Support the growth and maintenance of culturally competent evaluators and evaluations.
- Assist evaluators or evaluation teams to identify those competencies that are important in any given evaluation situation.
- Provide guidance to trainers, teachers of evaluation and tertiary institutions about the minimum or graduating standards for evaluators in Aotearoa New Zealand.
- Provide a basis for voluntary review for evaluation practitioners and organisations, and checklist to assist with professional development.
- Support the development of employment criteria or standards for various evaluation positions or roles.
- Provide commissioners of evaluation with an understanding and expectations of evaluator or evaluation team competencies, and a potential tool which could be used to inform their judgements about the best fit of the evaluators or evaluation teams during the evaluation commission process.
- Increase public awareness and understanding about the dimensions that make up ‘good’ evaluation practice in Aotearoa New Zealand.

General evaluator competencies: Essential Competencies for Program Evaluators, ECPE (Wilcox and King 2014)

Context-specific competencies: Russia (Kuzmin and Tsygankow 2014), South Africa (Podems et al. 2014)

Program/sector-specific competencies: the AIDS response (Fletcher et al. 2014)

Recommended actions

Focus, connect and augment:

1. **Make the Competencies more visible on the AES website and in public engagement and encourage their wider use –for example, by sending to evaluation training providers inviting them to refer explicitly to the competencies addressed**
3. **Support Q&A around the code of conduct and the competency framework in AES events (i.e., conferences, meetings, etc.) and explicitly reference the relevant section of the documents when discussing issues related to evaluation practice**

1.3 Distinct occupational category

What the AES has already done or is doing

This has not been addressed to date.

Useful examples from other associations or organisations

At the 2016 evaluation conference, attendees were asked in a plenary session whether or not they identified as designers. Afterwards there was considerable discussion in sessions about whether or not people self-identify as evaluators when introducing themselves or completing official forms.

The Australian Bureau of Statistics (ABS) and Statistics New Zealand (SNZ) have developed the Australian and New Zealand Standard Classification of Occupations (ANZSCO). ‘Evaluator’ is not a specific occupation. The classification ‘224412’ includes the specialisations Foreign Policy Officer, Policy Analyst and Policy Advisor and in New Zealand this also includes a specialisation ‘Research and Evaluation Analyst’. This specialisation is organised as follows:

- 2 PROFESSIONALS
 - 22 Business, Human Resource and Marketing Professionals
 - 224 Information and Organisation Professionals
 - 2244 Intelligence and Policy Analysts
 - 224412 Policy Analysts

In its most recent review, new occupations were added “where a minimum size guideline of 300 full-time employees in Australia and/or 100 full-time employees in New Zealand was satisfied”. Under these criteria, Bungee Jump Master was identified as a specific occupation.

Recommended actions

Additional activities:

Shorter-term

5. Encourage evaluators to identify themselves as such on official forms (e.g., Census, tax forms, immigration)

Longer-term

8. Encourage the ABS and NZ Stats to add 'evaluator' as a distinct occupation to the ANZSCO \$

1.4 Expectation of ongoing competency development

What the AES has already done or is doing

While the Competencies refer to ongoing competency development, there is no formal expectation that AES members will engage in ongoing competency development based on regular competency assessments (peer and/or self).

Useful examples from other associations or organisations

Some other professional associations have expectations of ongoing competency development linked to maintenance of accreditation. The Australian Market and Social Research Association (AMSRA) requires members with the credential "Qualified Practising Market Researcher (QPMR)" to submit a PD diary each year outlining PD activities – and this must include 1 AMSRS seminar on ethics/industry standards/legislative requirements.

Recommended actions

Additional activities:

Shorter-term

6. Directly consult with members each year to identify areas where they are seeking to develop their competencies, and use this as the basis for both developing courses and providing information about other courses that address these.
7. Encourage members and employers of evaluators to develop personal learning plans that identify particular competencies and strategies to develop them.

1.5 Standards

The standards specify what constitutes professional practice in a particular field or occupation. They are often accompanied by or incorporate a Code of Ethical Conduct.

What the AES has already done or is doing

The AES has not developed its own set of evaluation standards, although work was done to consider whether the Joint Committee Standards for Educational Evaluation (originally developed for education but now used more widely) were an adequate basis, should be modified or completely replaced by Australasian standards developed through a participatory process. In particular, a draft set of standards were developed in 2001 which were intended to be more relevant for the

particular features of the Australasian context, where evaluation was more likely to be an ongoing internal activity rather than a discrete project undertaken by an external evaluator under contract, the lack of sufficient numbers of trained specialist evaluators, and a lack of a common understanding of what evaluation was and how it could be used (Fraser 2004). However, there was not agreement to either adopt the draft Standards or to commit to further develop them. Instead the AES began work to identify the competencies needed by evaluators.

Useful examples from other associations or organisations

The standards that guide evaluation practice differ somewhat from country to country given the wide range of cultural environments within which evaluators operate. But the guidelines issued by evaluation associations have much in common. The values espoused by the AEA Guiding Principles (AEA 2004) resonate across policy documents issued by evaluation networks worldwide (e.g. OECD, 2010). They include a commitment to systematic inquiry and integrity; an abiding respect for diverse peoples and cultures; an eagerness to achieve results; and an unwavering public interest orientation.” (Picciotto 2011, p.167).

The AEA and CES have not developed their own evaluation standards but were contributing members to the Joint Committee which developed Standards for Educational Evaluations.

ANZEA developed evaluation standards in partnership with SUPERU, New Zealand’s Social Policy and Evaluation Research Unit. Unlike ANZEA, the AES has eight different governments shaping the environment for evaluation (2 national governments and 6 State or Territory governments), so partnering with any one government agency would not ensure appropriateness for work in other jurisdictions.

Recommended actions

Additional activities:

Longer-term

9. Engage with IOCE and regional evaluation associations to develop ‘standards across borders’ to achieve critical mass for what constitutes good professional practice in evaluation \$

2. Engagement with other professional organisations:

2.1 Evaluation associations

2.2 Other professional associations

2.1 Engagement with evaluation associations

What the AES has already done or is doing

The AES is a member of the International Organisation for Co-operation in Evaluation (IOCE). It has a reciprocal arrangement with the Canadian Evaluation Society (CES) where members of one association can join the other for a discounted fee.

In 1995, the AES was invited to join the AEA and CES to co-sponsor the first global evaluation conference but was unable to do so due to financial pressures.

The AES and ANZEA have engaged in discussions about options for future collaboration. A report on the ANZEA website from 2013 reported that both organisations were “committed to developing a collegial and collaborative relationship that will offer maximum benefits for members as well as increased awareness among our members of both our organisations’ services, roles, structures and relationship with each other.

Useful examples from other associations or organisations

AEA and CES offer reduced membership rates for each others’ members, and include each others’ Presidents in their conference. A number of joint conferences were held including Vancouver in 1995 and Toronto in 2005.

Recommended actions

Additional activities:

Shorter-term

10. Work with evaluation associations in New Zealand and Pacific Nations to develop a joint plan of action (to draw on respective strengths and to share work load) for professionalisation pathways or approaches that can be beneficial to all \$
11. Negotiate MOUs for AES members to get full access to online resources provided by other evaluation associations

Longer-term

8. Engage with IOCE and regional evaluation associations to develop ‘standards across borders’ to achieve critical mass for what constitutes good professional practice in evaluation \$

2.2 Engagement with other professional associations

What the AES has already done or is doing

Historically, the AES has had a close connection with different government agencies engaged in strengthening evaluation capacity. Early AES conferences were sponsored by the Australian Government Department of Finance, which played a leading role in supporting better management of evaluation within the Australian public sector; the first AES conference held in New Zealand had high levels of sponsorship from central agencies and line Departments in recognition of the importance they placed on evaluation. At different times, State governments have played a major role in conferences that were held in their capital, promoting their approach to evaluation systems and management and supporting keynote speakers and workshops.

These connections have sometimes resulted in formal AES engagement in public or organisational processes related to evaluation, most recently a joint submission with ANZSOG (the Australia and New Zealand School of Government) on the enhanced Commonwealth Performance Reporting Framework. However, the AES does not have a high profile publicly and many people working in evaluation in government or non-government agencies seem to be still unaware of its existence.

In the past, the AES has co-sponsored events such as seminars with other professional organisations, such as the IPAA – Institute of Public Administration Australia.

Useful examples from other associations or organisations

In 2016, the AEA collaborated with Social Value International to convene a pre-conference event [Impact Convergence](#) which was the Social Value International annual conference held in the same city (Atlanta, Georgia) as the AEA conference.

Recommended actions

Additional activities:

Longer-term

12. Negotiate access to relevant resources from other professional organisations \$
13. Identify strengths and lessons learned from other professional organisations with overlapping practice to avoid duplication of effort / re-inventing the wheel) \$
14. Identify areas of common interest or mutual benefit with other professional organisations to pursue together \$

3. Public recognition of good practice

3.1 Awards

3.2 Fellows

3.1 Awards

What the AES has already done or is doing

The AES currently has 8 Awards: Evaluation Study or Project Award; Evaluation Policy and Systems Award; Community Development Evaluation Award; Indigenous Evaluation Award; Evaluation Publication (Caulley Tulloch) Award; Public Sector Evaluation Award; Emerging New Talent Award; Outstanding Contribution to Evaluation Award.

The Awards are presented annually at the AES conference and announced on the website. The website now includes a summary paragraph about each winner and a description of the award.

Box 1: Example of citation for an AES Award

Indigenous Evaluation Award: Lauren Siegman, String Theory, for the Straight Talk evaluation for Oxfam Australia

This evaluation is an example of exemplary cross-cultural evaluation practice. The design was strengths-based, practical and participatory. Team members, including participants, were included in the design, analysis and sense making. Of particular note, team members said they were “listened to” and came away with a positive perspective about evaluation and are now more receptive to being involved in evaluation processes in the future. Oxfam report they have begun a program redesign and the evaluation findings will contribute directly to the reshaping of the program.

There is no systematic process for supporting members to learn more from these exemplars. The nomination materials are not made public and the cases do not feature as journal articles or highlighted sessions in subsequent conferences.

Useful examples from other associations or organisations

The American Evaluation Association (AEA):

The AEA undertook a series of ‘Exemplars’ articles in their journal which presented information about the case taken from the nomination materials and an interview with the winner. In addition, three [webinars](#) have been presented on winners of the exemplary evaluation award and these can be accessed for private viewing.

Recommended actions

Focus, connect and augment:

15. Ensure that the announcement of Awards & Prizes includes a clear statement of why they were awarded to the individuals or evaluations concerned – emphasizing links to the code of conduct and competencies – and provide avenues for the winners to promote the values of professional practice, such as journal articles and sessions at subsequent conferences.

3.2 Fellows

What the AES has already done or is doing

The membership category of Fellows was created in 2003 with 6 people recognised in its inaugural year and a total of 18 current Fellows since then, including one emeritus. Fellows may use the honorific FAES after their name. The [Fellows Policy](#) of the AES sets out details of the purposes and processes for fellows.

Information about Fellows is not readily visible on the AES website. It is three levels down in the menu under About Us > AES Governance > AES Fellows. The website provides a list of Fellows and information about the process and criteria for nomination. No information is provided from the nomination materials or other sources to explain the rationale for the selection of Fellows. Nominations are made confidentially by members and even Fellows do not know the basis for their nomination and selection.

Fellows are consulted internally by the AES on various issues. In previous conferences, they have participated in special conference sessions where they form a panel and provide advice to emerging evaluators. These sessions have not been focused on specific issues where specific fellows have particular expertise.

Useful examples from other associations or organisations

The Canadian Evaluation Society (CES):

The CES provides a useful example of clearly communicating the values and behaviours the Society wants to promote. The CES created the fellow category of membership, the Canadian Evaluation Society Fellowship (The Fellowship), in 2002. Fellows are nominated confidentially by members and the winners are announced at the annual conference. Fellows may use the honorific FCES after their name.

Box 2. Description of the purpose and roles of the CES Fellows membership

The Canadian Evaluation Society Fellowship recognises lifetime achievements, service and prominence in evaluation. In addition, the Fellowship assists the CES by:

- Providing advice to CES National Council at the request of Council;
- Advocating on behalf of evaluation, the profession and the CES;
- Representing the CES when requested by CES Council;
- Reporting to Council in a timely manner for National meetings and the Annual Report.

There are currently 23 Fellows listed on the [CES website](#). After a large number of Fellows were announced in 2003, there have been generally 0-2 Fellows announced each year. For recent Fellows, more detailed information about their nomination is presented on the website –for example, it provides the transcript of the nomination speech for [Steve Montague](#).

International Association for Public Participation (IAP2):

IAP2 provides a useful example of using identified champions to advocate for the association and for the professional area, and to create information materials. It has identified 28 ‘[ambassadors](#)’ who “are leaders in the field of public participation. Ambassadors have been practicing community and stakeholder engagement for more than 7 years, some more than 20, across Australia and New Zealand. All have had a long association with IAP2 and have volunteered in some capacity to help advance the practice of public participation across Australasia.” The ambassadors are listed on the website with a profile paragraph. A number of them are also listed on the website as available to ‘to speak and facilitate to support the promotion of engagement practice and IAP2 principles’. Four [videos of webinars](#) are on the site, presented by ambassadors.

Australian College of Educators (ACE):

This provides a useful example of clearly communicating the values and behaviours the Society wants to promote. Individuals may self-nominate to be a fellow but need to provide evidence of outstanding professional and ethical practice over time and outstanding contribution to the profession above and beyond current and recent positions and formal duties. Recipients may add the honorific FACE after their name. Fellows are announced at the annual conference and listed on the website. This includes a one paragraph summary of their achievements that have warranted the selection.

Box 3. Example of citation for Fellow of the Australian College of Educators

Mrs Tamara Sullivan, FACE

Tamara Sullivan is the Dean of E-Learning at Ormiston College and facilitates the College's directions in 21st Century teaching and learning. She understands the new and changing demands of the teaching profession and believes that building capacity is the cornerstone of a contemporary school. She is an innovator who leads e-learning, blended learning, curriculum development and the meaningful use of technology across the profession. She is a well-known member in the global educational community who regularly conducts key note addresses, professional development workshops and online webinars.

Recommended actions

Focus, connect and augment:

16. Use AES Fellows more strategically (such as for: convening conference sessions around identified priority challenges, reviewing journal articles, providing expert advice around recurrent issues, coaching or mentoring), and make them more visible on the website.

Change Theory: INCREASING CAPACITY

This section discusses strategies that relate to increasing the capacity for better practice through ongoing and linked professional development and support.

4. Competency assessment

4.1 Peer assessment

4.2 Self-assessment

4.1 Peer assessment

Peer assessment can provide additional benefits beyond self-assessment – in particular the opportunity for peer learning through the review process.

What the AES has already done or is doing

This has not been undertaken to date.

Useful examples from other associations or organisations

UKES in collaboration with EES is conducting a pilot of voluntary evaluator peer review (VEPR) (UKES 2014). The approach does not seek to judge a candidates' evaluation capabilities or competence, but rather their willingness to submit to a professional review structured around a capabilities framework.”

Applicants are those with:

- Evidence of minimum two years equivalent work in evaluation and/or evaluation related activities
- Significant involvement (based on role e.g. purchaser, provider or manager) in a diverse portfolio of evaluation projects
- Evidence of relevant academic qualifications and previous professional development initiatives

The following process is used:

- The applicant nominates two preferred peer reviewers from the VEPR reviewer 'pool'
- The applicant submits a completed application nominating (1) 2-3 areas of evaluation practice on which they wish to focus and (2) two recent projects on which to focus the review (note: this may require commissioners' and/or colleagues' permission)
- A standardised review process will be based on a set of questions that require the applicant to address selected capabilities in the society's capability framework, based on their current and recent practice, within a review meeting of approximately two hours (ideally face-to-face)
- Applicant and reviewers consult to compile a list of agreed questions for the applicant to address
- Applicant submits short written answers to each question of the two reviewers
- The review takes place either face-to-face or via Skype or teleconference
- Where satisfactory, reviewed applicants' names listed on an online VEPR Index (see below) on the society's website, as evidence of a 'satisfactory' review
- Listing on the VEPR Index lapses automatically after three years unless renewed via a further VEPR.

Recommended actions

Additional activities:

Shorter-term

17. Develop a self-assessment and/or peer review assessment tool for individuals to take up on a voluntary basis \$

4.2 Self-assessment

What the AES has already done or is doing

This has not been undertaken to date formally, although AES members have previously been encouraged to use the Competencies to identify professional development needs and to plan composition of evaluation teams.

Useful examples from other associations or organisations

The following competency listings are linked to an assessment scale that has been validated and used extensively:

- General evaluator competencies: Essential Competencies for Program Evaluators, ECPE (Ghere et al. 2006)
- Program/sector-specific competencies: the AIDS response (Fletcher et al. 2014)

Recommended actions

Additional activities:

Shorter-term

17. Develop a self-assessment and/or peer review assessment tool for individuals to take up on a voluntary basis \$

5. Knowledge, skills, attitudes (KSA) development

5.1 Dialogues

5.2 Peer learning

5.3 Self-paced learning

5.4 Training

5.1 Dialogues

Dialogue refers to a range of learning conversations that go beyond knowledge transfer to include knowledge articulation and translation. Outside the area of evaluation, dialogues have been used to support ongoing professional development of school teachers and higher education teachers. Professional dialogue has been defined as “a discussion between peers that allows the other to explicitly articulate, appreciate and extend their understanding of practice” (Nsibande 2007, p. 4).

Dialogue is defined as “a reflective learning process in which group members seek to understand one another’s viewpoints and deeply held assumptions. Group members inquire into their own and one another’s beliefs, values, and mental models to better understand how things work in their world (Garmston and Wellman 1998)”.

A literature review of “conversations that support professional growth” (Timperley 2015) identified five enablers: clear purpose and structured processes that engage and test ideas and solutions about the possible cause of teaching and learning problems; resources in the form of tools and expertise to help identify effective practice and relevant evidence; relationships of trust, challenge and mutual respect to develop agency for improving outcomes; an inquiry-focused and problem-solving culture with collective responsibility for solving problems and making a difference; and the development and use of refined/revised/new actionable knowledge for practice.

What the AES has already done or is doing

This has not been undertaken to date.

Useful examples from other associations or organisations

American Evaluation Association (AEA):

The AEA demonstrates a current example of collaborating with other organisations to undertake dialogue around an important area for evaluation practice. The AEA is currently hosting a series of 3 national Dialogues on Race and Class in America, held between January and September in 3 locations and livestreamed. The discussions are based around a case and involve a panel and a facilitator. The Washington dialogue was jointly sponsored by the American Evaluation Association, The Trachtenberg School of Public Policy and Public Administration at George Washington University (USA):

“Our hope is through dialogue we can discern ways to proactively engage entrenched issues and end the sense of paralysis many have felt as the nation goes from one headline making incident to the next. For AEA and the entire country, this must be a time of reflecting upon the issues behind the headlines and the substantive concerns behind the ideological splits. We urge our members and colleagues to come together and ask the important questions, raise our collective understanding, and commit to contributing to racial and social class healing. Through purposefully learning about ourselves and the society to which we contribute, we hope to create plans of action capable of positively impacting areas of national concern.”

Recommended actions

Additional activities:

Shorter term

22. Organize or encourage others to hold professional dialogues and peer learning events around specific evaluation issues, methods or processes (e.g., a study circle, book club or other interactive means)

5.2 Peer learning

Peer learning refers to a practitioner-to-practitioner approach in which the transfer of tacit knowledge is particularly important (Andrews and Manning 2016). It is based on adult learning principles and effective workplace learning practices (Cohen 2006). Peer learning can have different objectives and take many forms but it relies on a relationship of mutual respect, trust, confidence in one another, and commitment (Boud 2001; Andrews and Manning 2016).

What the AES has already done or is doing

The AES has a number of peer learning opportunities. Most regional groups have monthly meetings which provide opportunities for members and guests to learn from each other either formally through presentations and seminars or informally during networking interactions.

In addition, there are a number of book clubs, where participants discuss a particular book or article. The Realist Evaluation and Realist Synthesis Special Interest Group (SIG) has a book club that meets virtually to discuss a specific paper or other materials. The Victorian region previously had a book club which met after monthly regional meetings. The Canberra region currently has a book club.

Useful examples from other associations or organisations

[Effective Institutions Platform:](#)

The Effective Institutions Platform (EIP) is an alliance of over 60 countries and organisations that support country-led and evidence-based policy dialogue, knowledge sharing and peer learning on public sector management and institutional reform. The EIP has a deliberate focus on peer learning, tapping into the experience of practitioners to move from pre-defined solutions to more applied and context-specific approaches to public service delivery. It works through and experiments with innovative approaches to peer learning under the "Learning Alliances on Public Sector Reform". Under the auspices of the EIP, a [Peer-to-Peer Learning Guide](#) was developed to help actors think through key stages of peer learning processes and use a principles-based approach to effective peer-to-peer support and learning.

Recommended actions

Focus, connect and augment:

22. Organize or encourage others to hold professional dialogues and peer learning events around specific evaluation issues, methods or processes (e.g., a study circle, book club or other interactive means)

5.3 Self-paced learning

What the AES has already done or is doing

This has not been undertaken to date.

Useful examples from other associations or organisations

American Evaluation Association (AEA):

The AEA demonstrates a workable process for gradually developing materials that can be used for self-paced learning. Since 2010, 20 minutes ‘Coffee Break webinars’ have been delivered and [recordings](#) are available to members for viewing at any time. While recordings have generally been available only to members, two series have been made available publically - the [May 2013 series overview of evaluation methods](#) with BetterEvaluation, and the [July 2012 series focusing on M&E](#), with co-sponsors Catholic Relief Services, American Red Cross/Red Crescent, United States Agency for International Development, and AEA’s International and Cross Cultural TIG.

EvalPartners:

EvalPartners has developed a series of courses in the form of [recorded webinars](#). Participants can view the courses and complete a multiple choice test to earn a certificate of completion. Participants can also access individual units within courses. The material has been developed and presented by an international range of evaluators. While the content of the courses is good, we don’t recommend their approach to assessment which does not meet criteria of validity or appropriately supporting learning.

Fixed courses:

- Equity-Focused and Gender-Responsive Evaluations
- National Evaluation Capacity Development for Country-led M&E Systems
- Emerging Practices in Development Evaluations
- Curso introductorio de evaluación para América Latina y el Caribe
- دورة تعليمية باللغة العربية حول تقييم التنمية
- курс «Введение в оценку программ и проектов социальной направленности»
- Introduction to Evaluating Humanitarian Action
- Advocating for Evaluation

Recommended actions

Additional activities:

Longer-term

- 24. Explore scope for developing or curating a library of materials to support self-learning, leveraging existing materials that are available and focusing on areas of priority.**

5.4 Training

What the AES has already done or is doing

Since its inception the AES has emphasised the development of knowledge and skills through providing training. Pre-conference workshops, and more recently post-conference workshops, have been a feature of all conference programs, and these have been supplemented by short courses offered in various locations across Australia and New Zealand during the year. A specific New Zealand training project involved Australian evaluation educators delivering a specially designed training programs. However, these courses have not been explicitly linked to the competency framework, nor has there been any accreditation of training providers or voluntary or

compulsory credentialling of participants. The current suite of workshops have not been developed on the basis of an explicit needs analysis to identify areas of particular priority. Courses are developed by the deliverers who retain the copyright to their materials. Participant feedback is collected and used to inform subsequent training.

Useful examples from other associations or organisations

See description of CES and JES courses in **Annex 4**.

Recommended actions

Focus, connect and augment:

Shorter-term

18. Require explicit reference to and use of the code of conduct and competency framework in all KSA development events provided by AES and others delivering for/with AES

Additional activities:

19. Encourage external courses to make their links to the competencies in the competency framework explicit and to state clearly which KSA participants can expect to achieve
20. Obtain member feedback on priority areas for KSA development \$
21. Identify priorities and seek providers to deliver a rolling program (F-2-F and self-paced) of KSA development that addresses all competencies in the competency framework \$
22. Organize or encourage others to hold professional dialogues and peer learning events around specific evaluation issues, methods or processes (e.g., a study circle, book club or other interactive means)
23. Make other elements of linked KSA or competency-based development explicit

Possible longer-term

24. Accredite external courses \$
25. Create an accredited course (curating existing materials augmented by new materials where needed) and engage individuals/organisations to deliver it \$

6. Ongoing competency development

- 6.1 Coaching
- 6.2 Expert advice
- 6.3 Expert review
- 6.4 Fellowship
- 6.5 Internship
- 6.6 Mentoring
- 6.7 Peer review
- 6.8 Supervision

All of the above approaches are important ways to support ongoing competency development and are needed to complement approaches which develop knowledge and skills.

6.1 Coaching

Coaching is a particular approach to supporting ongoing competency development. Lyons and Pinnell (2001) provide the following helpful list of essential features of “coaching conversations” (with reference to coaching teachers):

1. They are tied to a specific event that has just occurred.
2. They take place in the context of the teacher’s attempt to learn a specific technique or concept.
3. They make use of specific teacher and student actions as well as words.
4. They include reciprocal reflection and constructive dialogue between teacher and coach.
5. They result in new learning and a plan of action to improve teaching.

What the AES has already done or is doing

This has not been undertaken to date.

Useful examples from other associations or organisations

[*Social and Health Outcomes Research and Evaluation \(SHORE\) and Te Rōpū Whāriki \(Whāriki and Ministry of Health, NZ\)*](#)

This provides a useful example of complementing formal training with coaching. The Ministry of Health has contracted SHORE and Whariki to provide few 2 day training workshops and coaching, which is described as

“Evaluation support for organisations and individuals

Tailored evaluation support is available for organisations offering programmes with a public health focus. The purpose of this support is to assist organisations engage in evaluative thinking and to develop skills to conduct an evaluation. We coach organisations through this process by helping them design an evaluation plan which includes developing a logic model, evaluation questions, data collection methods, data synthesis methods and reporting. We also offer evaluation advice and support for individual public health workers.

[*National Museum of Mexican Art in Chicago*](#)

This example is relevant in terms of the mix of group and individual support. It was not about coaching self-identified evaluators, but provided coaching to 15 non-evaluators who were program co-ordinators within the same organisation. It was developed to address the gap between evaluation needs (to cover 15 evaluations) and the available budget to hire either an internal or

external evaluator for them all. The evaluator/coach spent one day per month on-site, providing large-group professional development on general evaluation topics and one additional day per month working one-on-one with the program personnel from each program. The one-on-one meetings for each program provided each program worker with support in implementing the evaluation process at whatever stage or level they were at.

Private sector providers

A number of private consulting firms offer evaluation coaching. For example, [Real Evaluation](#) offers one-to-one coaching over a six month period; [QEDOD](#) offers individualised or group coaching.

Recommended actions

Additional activities

Shorter-term

27. Act as organiser of coaching – finding appropriate coaches for those requesting such support \$

Longer-term

30. Develop a coaching program, focused on hard implementation challenges \$

6.2 Expert advice

Expert advice provides advice in response to specific queries. It might include a process to clarify and reframe the question that is being asked.

What the AES has already done or is doing

The AES does not offer formal support for this although experts sometimes provide advice in response to questions at conferences and meetings.

Useful examples from other associations or organisations

The Australian Market and Social Research Society (AMSRS):

The AMSRS has a dedicated toll free 1300 number for AMSRS members with ethical dilemmas. The AMSRS Ethics Line is dedicated to answering members' questions about our Code of Professional Behaviour and associated guidelines.

Recommended actions

None

6.3 Expert review

Expert review involves an identified expert providing a review of draft documents at specific stages of a process and/or planned processes. For an evaluation, these might include: evaluation brief; Terms of Reference; evaluation design or plan; evaluation report; M & E framework.

What the AES has already done or is doing

The AES does not offer formal support for this.

Useful examples from other associations or organisations

DfiD help Desk:

The UK Department for International Development (DfiD) has contracted a consulting firm, and a network of advisors, to provide time-sensitive review of evaluation-related products. Specifically, in the form of undertaking quality assurance of terms of reference, inception reports (which include an evaluation plan) and evaluation reports, using standardised templates.

Recommended actions

Additional activities:

- 29. Advocate for peer review or expert review of evaluation products among evaluation managers and users and promote guidance and examples**

6.4 Fellowship

A fellowship is an extended position that provides paid employment and support for people who have completed formal coursework in evaluation.

What the AES has already done or is doing

The AES does not offer formal support for this.

Useful examples from other associations or organisations

The Centers for Disease Control and Prevention (CDC), USA:

This example is of a well-established fellowship program which is not formally associated with an evaluation association. The program has been running for 6 years. Candidates are expected to have completed a doctorate in evaluation or with significant coursework in evaluation and measurement or a Masters with significant experience in applied evaluation projects. The fellowship provides a stipend and is over two years. Fellows work under the leadership of the CDC Chief Evaluation Officer and are matched with CDC host programs to work on program evaluation activities.

Robert Wood Johnson Foundation (RWJF) Evaluation Fellowship Program, USA:

This program, which ran from 2008 to 2013, aimed to increase the presence of underrepresented groups in evaluation. Open to people from historically disadvantaged and underrepresented communities, there were two tracks. The Emerging Professionals track was designed for recent graduates of master's or doctoral programs who had limited professional experience and training in evaluation. Fellows were placed in organizations with expertise and capacity in research and evaluation to work with projects underway, receiving a competitive salary and benefits. The program included four training workshops during the year. The Retooling Professionals track offered an opportunity for midcareer, non-profit professionals to obtain evaluation skills and training primarily to increase their organization's ability to use evidenced-based data for culturally responsive programmatic decision-making. Fellows participated in three workshops and received

technical assistance as they undertook an internal evaluation program at their organization. Over four years the Evaluation Fellowship Program selected and trained 32 fellows: 16 Emerging Professionals and 16 Retooling Professionals.

Recommended actions

Additional activities:

Longer-term

32. Possibly develop internships or fellowships for targeted areas (e.g., for Indigenous evaluators or evaluations) \$

6.5 Internship

An internship is a paid or unpaid entry-level position that provides work experience and some professional development. Concerns have been raised about the equity impacts of unpaid internships which systematically exclude potential applicants who cannot afford to cover their costs to participate.

What the AES has already done or is doing

The AES does not offer formal support for this.

Useful examples from other associations or organisations

Graduate Education Diversity Internship Program (GEDI), American Evaluation Association (AEA):

This is an example of a long running program which involves a combination of group support and individual support. The AEA website describes the program as follows [retrieved March 2017]:

The Graduate Education Diversity Internship Program provides paid internship and training opportunities during the academic year. The GEDI program works to engage and support students from groups traditionally under-represented in the field of evaluation.

The goals of the GEDI Program are to:

- Expand the pool of graduate students of color and from other under-represented groups who have extended their research capacities to evaluation.
- Stimulate evaluation thinking concerning under-represented communities and culturally responsive evaluation.
- Deepen the evaluation profession's capacity to work in racially, ethnically and culturally diverse settings.

Interns may come from a variety of disciplines including public health, education, political science, anthropology, psychology, sociology, social work, and the natural sciences. Their commonality is a strong background in research skills, an interest in extending their capacities to the field of evaluation, and a commitment to thinking deeply about culturally responsive evaluation practice.

Training and Networking Components: It is assumed that students come to the program with basic qualitative and quantitative research skills. The GEDI Program then works to extend those skills to evaluation through multiple activities:

- Fall Seminar. A five-day intensive seminar, held in Claremont, California, provides an orientation that expands the student's knowledge and understanding of critical issues in evaluation, including thinking about building evaluation capacities to work

across cultures and diverse groups. The interns complete a self-assessment in the Fall, clarifying their own goals during program participation.

- AEA Annual Conference. Interns will spend a week at the American Evaluation Association annual conference. While there, they attend: (a) pre-conference workshops selected to fill gaps in their knowledge and skills, (b) conference sessions exploring the breadth and depth of the field, and (c) multiple networking events to connect them with senior colleagues. The interns also conduct a small-service learning project in the form of an evaluation of one component of the conference.
- Winter Seminar. A three-day seminar, held in January or February, provides the students with additional training, coaching on their evaluation projects, and panel discussions with evaluation practitioners working in a range of contexts.
- Evaluation Project. Interns will have the opportunity to provide support to an agency's evaluation activities in close proximity to their graduate institution. Interns will provide three updates on their evaluation project activities as part of the internship program, describing and reflecting on the application of their evaluation knowledge to the actual project activities.
- Monthly Webinars: The students gather each month for a two-hour webinar to check in on evaluation projects and site placements, add to existing skill-sets, and learn from invited guest speakers.
- AEA/CDC Summer Evaluation Institute. The program ends with attendance at the Summer Evaluation Institute held in Atlanta each June. There, students once again connect and finalize project reporting, attend training workshops, and participate in a graduation ceremony.

Specific Support Mechanisms: Interns are supported by colleagues at school, at their site placements, and within the sponsoring association:

- An Academic Advisor. The academic advisor at the Intern's home institution supports and coordinates coursework and other activities, while helping to integrate the internship program with the student's plan of study.
- A Sponsoring Agency. Students generally are matched with sponsoring agencies near their graduate institution that provide the opportunity to perform evaluation activities compatible with students' research interests and skills.
- Supervising Mentor. A colleague at the host site with evaluation experience acts as a guide and mentor throughout the program.
- GEDI Program Leadership. GEDI Program Director and AEA Past-President (2015) Dr. Stewart Donaldson is an experienced evaluator. Working with a cadre of colleagues, he, Co-Director Dr. Ashaki M. Jackson, and Program Liaison Dr. John Lavelle oversee the curriculum and site placements. Throughout the internship the leadership are available to guide, advise, and support the interns in achieving their professional goals and the goals of the program.
- AEA Staff Support. AEA staff provide logistical support throughout the internship. Post-internship, they work to connect program graduates with opportunities for leadership, participation, and networking within the association.
- Online Community. The GEDI cohort uses an online community space for checking in, turning in updates, asking questions, and informal networking.

The interns work the equivalent of approximately two days per week at an internship site near their home institutions from approximately September 1 to July 1 (10 months). The interns may work on a single evaluation project or multiple projects at the site, but all internship work is focused on building skills and confidence in real-world evaluation practices. Interns receive a stipend of \$8,000 in recognition of their internship work based on completion of the internship and satisfactory finalization of program requirements, including any deliverables due to the host agency, progress reports, and reflections on the internship experience. In addition, major travel expenses (shared hotel rooms and airfare) to the program-related seminars and conference are covered. Interns are responsible for other travel and food costs.

[AEA website, retrieved March 2017]

Recommended actions

Additional activities:

Longer-term

32. Possibly develop internships or fellowships for targeted areas (e.g., for Indigenous evaluators or evaluations) \$

6.6 Mentoring

Mentoring is “a process where people are able to share their professional and personal experiences in order to support their development and growth in all spheres of life. Generally mentoring is a one to one relationship where a person with more experience in an area or organisation is paired with someone who wishes to develop their skills and abilities in order to perform at a higher level. However, mentoring is not simply coaching for it encompasses a wide range of areas beyond that of teaching skills. For example, mentors undertake a range of actions to support the mentoree, such as being a resource person or counsellor, being someone to go to in order to sound out important decisions and being a guide who allows one to reflect on where they are and where they want to be by focusing on strengths, weaknesses and aspirations. A mentor, therefore, must be implicitly trusted and valued by the mentoree and also must always have their best interests at heart.” (Mountain A. [Mentoring](#). BetterEvaluation.org, retrieved March 2017)

What the AES has already done or is doing

The AES does not offer formal support for this.

Useful examples from other associations or organisations

European Evaluation Society (EES)’s Thematic Working Group for Emerging Evaluators:

This initiative is too new to provide guidance but its design is interesting. A pilot project was initiated in August 2016 a pilot program to connect young and emerging evaluators with experienced evaluation professionals through a new virtual mentoring program. The stated aims of the program are:

Facilitate networking opportunities between young and emerging evaluators and experienced evaluation professionals.

Encourage the development of professional knowledge-sharing relationships between diverse practitioners at different stages of their careers.

Provide opportunities for young and emerging evaluators to develop technical skills and professional competencies in evaluation.

Provide experienced evaluation professionals with an opportunity to contribute to the field by cultivating a new generation of evaluation professionals

Mentees were expected to meet at least one of the criteria: less than 5 years' experience as an evaluator; less than 35 years old; recently graduated. Mentors were expected to be experienced evaluation professionals and were required to provide a CV and complete an application form about their experience. The level of commitment was at least one hour per month for a period of one year. The EES planned to match mentors and mentees based on shared professional interests, region of work and other factors of common interest.

In addition to individual meetings between mentees and mentors, group programming was planned, including webinars and virtual meetings through the year to facilitate exchanges between and among mentoring pairs, and in-person activities including meeting at the EES conference.

The Canadian Evaluation Society (CES)' Mentoring Initiative:

This initiative is now restricted only to CES members. Mentors and mentees submit their details to a database which provides suggested matches where a mentor's stated level of expertise is higher than that of a mentee. The program provided contact details (telephone number and email address) and mentees contacted potential mentors. Mentors were able to mentor more than one mentee but this was done individually. It was expected that the mentoring relationship would last at least 6 months.

Recommended actions

Additional activities:

Longer-term

32. **Develop and run a mentoring program – using AES Fellows and identifying others as mentors and carefully matching them with mentees \$**

6.7 Peer review

Like expert review, peer review involves a review of draft documents at specific stages of a process and/or planned processes. For an evaluation, these might include: evaluation brief; Terms of Reference; evaluation design or plan; evaluation report; M&E framework. However rather than being done by an acknowledged expert, the review is done by a peer. It can be done reciprocally where a pair of peers review each other's work.

What the AES has already done or is doing

The AES does not offer formal support for this although peers who have connected through the AES might have informal arrangements for peer review.

Useful examples from other associations or organisations

The United States Agency for International Development, USAID:

USAID requires that all draft evaluation reports undergo peer review. It provides advice about who should be engaged as peer reviewers, what information they should be provided with (in addition to the report, they should have the original Scope of Work (equivalent to a Terms of Reference) and a list of any agreed deviations from this), and reference documents including a peer review template. <https://www.usaid.gov/ads/policy/200/201sai>

Recommended actions

Additional activities:

Shorter-term

30. Advocate for peer review and/or expert review of evaluation products among evaluation managers and users and promote guidance and examples

6.8 Supervision

Supervision of practice is an approach often used in social work where it is expected that all practitioners will engage in regular discussions of and reflections on their practice; it is not an approach only intended to support novices. The Australian Association of Social Work (AASW) provides Standards for Social Work Supervision where they define professional supervision in social work as:

... a forum for reflection and learning. ... an interactive dialogue between at least two people, one of whom is a supervisor. This dialogue shapes a process of review, reflection, critique and replenishment for professional practitioners. Supervision is a professional activity in which practitioners are engaged throughout the duration of their careers regardless of experience or qualification. The participants are accountable to professional standards and defined competencies and to organisational policy and procedures (Davys and Beddoe, 2010: 21).

The three functions of supervision as seen as: education, developing practice-based knowledge and skills; support, reflecting on strategies and support for self-care; and accountability, reviewing practice alongside local policies and procedures and ethical and practice standards.

What the AES has already done or is doing

The AES identifies supervisors to guide one or two graduate students who conduct the evaluation of the AES conference as a Capstone Project in their final year.

Useful examples from other associations or organisations

The Australian Association of Social Work (AASW) Standards for Social Work Supervision:

These provide some detailed guidance, including outlining different types of supervision: line manager.

Recommended actions

Continue the Capstone Project supervision.

7. Building and sharing knowledge

- 7.1 Community of Practice
- 7.2 Conference
- 7.3 Journal
- 7.4 Learning partnerships
- 7.5 R&D projects

All of the above approaches are important ways to support ongoing competency development and are needed to complement approaches which develop knowledge and skills.

7.1 Community of Practice

While the term 'community of practice' (CoP) is often used loosely, more precisely it is understood to involve three elements: a domain, a community and a practice. The CoP has an identity around a shared domain of interest and commitment. Members of a domain form a community who interact together, share information and help each other. And members are practitioners, not just interested in something but actively engaged in it. Many so-called 'Communities of Practice' are actually loose networks for information dissemination.

What the AES has already done or is doing

The AES, especially in its local branches, might be understood as a CoP. Its Special Interest Groups might be understood as specialist CoPs.

Useful examples from other associations or organisations

[International advocacy evaluation community of practice](#)

This initiative is being coordinated by the Center for Evaluation Innovation and Innovations for Scaling Impact (iScale). Collaborators include Interaction Evaluation and Program Effectiveness Working Group, and IANGO and the NGO Leaders Forum at Harvard University's Hauser Center for Non Profit Organizations. The CoP is focused on the monitoring and evaluation of advocacy for global social change issues that include development, poverty, the environment, climate, peace, and security. Advocacy in the global South that is conducted by individuals and organizations from the global South is a particular priority. Activities include: establishing a common information exchange; co-sponsoring webinars and informal gatherings to share new tools or innovations, discuss responses to common questions, and share current experiences; co-promoting workshops and other events; and recruiting collaborators to explore the development of guidelines for good practice.

[Gender and Evaluation Community of Practice](#)

This CoP works through the virtual platform Ning which makes it easy for members to share material, add comments and questions, and provide responses. It currently has over 3,000 members.

Recommended actions

Additional activities:

Shorter-term

34. Conduct a situation analysis of areas where people most need support that can be met through an existing or a new CoP Focus particularly on hard implementation challenges; systematically document and share knowledge \$

Longer-term

37. Use appropriate technology to implement CoPs virtually – not just supporting the process for engagement but also producing and sharing knowledge products

7.2 Conference

What the AES has already done or is doing

The AES grew out of the first National Evaluation Conference, held in Canberra in 1982, with 93 participants from all Australian States (Sharp 2003) followed by further conferences in 1984 and 1986 after which the Australasian Evaluation Society was established. Since 1987 conferences have been held annually.

Conference planning is decentralised in the State/Territory or area where the conference is held. A local committee sets a theme, selects keynote speakers, and reviews proposals. Presenters can choose to make their presentation materials (in the form of slides or a paper) available on the AES website after the conference.

Presenters are invited to propose innovative conference formats but most sessions are in the form of a panel or a series of papers.

Useful examples from other associations or organisations

Some organisations have been experimenting with having some sessions or entire conference 'flipped' where material is presented before the conference and then conference time is spent on interaction. This [presentation](#) by Rosario Cacao presents a number of examples.

Recommended actions

Focus, connect and enlarge

Shorter-term

35. Be more pro-active in seeking conference sessions on particular issues, and support more sharing and documenting, interactive sessions, including flipped conference (i.e., share materials beforehand and have follow up discussion during the conference)

Longer-term

38. Align the AES Conference theme more with the professionalisation pathways and approaches – purposefully building in strategies to support learning in a CoP, KSA development, etc.

7.3 Journal

What the AES has already done or is doing

The AES currently publishes a refereed journal, the Evaluation Journal of Australasia, quarterly “to further the aims of the AES in promoting the theory, research and practice of evaluation” and in particular to document and explore practice and issues relevant to the Australasian context. Prior to this, the AES published The Bulletin of the Australasian Evaluation Society from 1987 to 1989, which was then replaced by the initial version of the Evaluation Journal of Australasia in 1989. An additional publication, Evaluation News and Comment, was published between 1992 and 2000, which published more informal pieces. These were incorporated into the relaunched journal in 2001.

The journal is largely reactive to what is submitted but editors work actively with authors to develop drafts into publishable articles. Despite the original intentions of the journal, in recent years there have been increasing numbers of articles written by North American authors on North American examples with little attempt to contextualise them for Australasian readers.

Useful examples from other associations or organisations

The AEA, CES and ANZEA all produce journals which are provided to members online or in hard copy as part of their membership. Some of these are available as part of library subscriptions, which potentially makes them more accessible to non-members and able to influence the enabling environment for evaluation.

Recommended actions

Focus, connect and augment

Shorter-term

36. **Make more strategic use of the journal –not only reactive content based on submissions but focused on important issues in evaluation for which content is sought pro-actively. Engage guest editors around identified priorities: similar to NDE but more inclusive (inviting specific contributions as well as accepting proposals); this would be particularly useful when writers and practitioners can be matched to get accounts of practice that are situated in the context of previous theory and practice Promote more analysis of exemplars.**

7.4 Learning partnerships

Learning partnerships, involve structured processes over several years to support learning between a defined number of organisations working on similar programs, usually facilitated by a third party organisation.

What the AES has already done or is doing

The AES has not implemented or facilitated learning partnerships.

Useful examples from other associations or organisations

The MasterCard Foundation:

The MasterCard Foundation Savings learning Partnership is a six-year initiative to support learning among programs funded under the Foundation's savings sector portfolio through increased alignment and effectiveness of monitoring and evaluation, and through the generation, synthesis, curation and dissemination of knowledge. The organisation engaged as the learning partner develops and maintains a dynamic learning framework, synthesises and aggregates learning across the portfolio and sector, conducts or manages complementary research and facilitates learning and knowledge sharing with key audiences.

Recommended actions

None

7.5 R&D projects

Evaluation associations can leverage their membership to engage in knowledge construction through research and development.

What the AES has already done or is doing

The AES has not supported or engaged in R&D projects.

Useful examples from other associations or organisations

The South African Monitoring and Evaluation Association (SAMEA):

SAMEA, in partnership with CREST (Centre for Research on Evaluation, Science and Technology) at Stellenbosch University and CLEAR-AA (Centre for Learning on Evaluation and Results in Anglophone Africa) at the University of the Witwatersrand, offered research grants as part of a multi-year program to strengthen the country evaluation system. Available funding for each project was ZAR 40,000 (less than \$A4,000).

African researchers (living and working in Africa) who are doing research on evaluation in South Africa were eligible to apply to conduct research on the following topics:

- The current state of South Africa's evaluation system
- Evaluation utilisation
- Profiling evaluators and the commissioners of evaluations
- Reviewing the evaluation architecture in SA, with specific reference to ethics, standards and competencies
- Identifying examples of good practice in evaluation communities of practice (or professional learning communities).

Faster Forward Fund (3F):

3F, created through the generosity of Michael Scriven, is a 501(c)(3) organization managed by the Marin Community Foundation. The fund aims to generate the development of new perspectives on and applications of evaluation, with some preference to 'out of the box' or 'long shot' projects and proposals that are likely to find funding hard to get from the usual sources because of their departure from the current research paradigms and/or their relatively low chances of success. Funding for each project was expected to be less than \$US10,000 (currently about \$A13,000).

Recommended actions

Focus, connect and augment:

Longer-term

39. Identify funding sources for research projects on evaluation methods and processes and support members through peer reviewing their funding applications

Change Theory: INCREASING OPPORTUNITY

This section discusses strategies that relate to increasing the opportunity for better practice through a better informed and motivated demand side of evaluation and enabling environment.

8. Educating the public and evaluation managers and users

8.1 Public information about evaluation

8.2 Public information about professional practice in evaluation

These are both important approaches to create a more favourable enabling environment for quality evaluation practice

8.1 Public information about evaluation

What the AES has already done or is doing

The AES does not provide a definition or explanation of evaluation on its website or in its printed material. On the website, the menu option About Evaluation only leads to information about the Guidelines on Ethical Conduct of Evaluation and the Code of Ethics and a statement about AES members' obligations to conduct evaluations in accordance with these.

Useful examples from other associations or organisations

The Aotearoa New Zealand Evaluation Association (ANZEA):

In 2014 ANZEA published a 21 page document '[What is evaluation?](#)' written by two ANZEA Board members, Kate McKegg and Syd King. It has sections on: What is evaluation? Some important ideas – quality, value and importance, what is evaluation for – why do it, good evaluation practice, what skills, aptitudes, and competencies do you need to do evaluation, meta-evaluation – who evaluates the evaluator, and now what? The Board has committed to review the document every two years. Evaluation is defined as 'the systematic determination of the quality, value and importance of something'.

The International Association for Public Participation (IAP2):

The IAP2 has developed a one page overview of the "[Participation Spectrum](#)" which can be downloaded from its website, and which provides an overview of different levels of participation. However permission is needed to reproduce the spectrum and [fees are charged for use](#) except by educational and not-for-profit organisations.

Recommended actions

Additional activities:

Shorter-term

40. Develop and promote a knowledge product that provides a clear, brief statement about what evaluation is and what good evaluation practice is (avoid going down the track of 'The perfect is the enemy of the good'). \$

8.2 Public information about professional practice in evaluation

What the AES has already done or is doing

The AES has not addressed this to date.

Useful examples from other associations or organisations

IAP2:

[Australia Guide to procuring engagement services](#). This 40 page guide, published in collaboration with IAP2, provides guidance through the process of planning a project, selecting a consultant and working effectively with them.

Recommended actions

Additional activities:

Shorter-term

40. Develop and promote a knowledge product that provides a clear, brief statement about what evaluation is and what good evaluation practice is (avoid going down the track of 'The perfect is the enemy of the good'). \$

9. Strengthening the enabling environment for good evaluation practice

9.1 Engagement in relevant organisational processes

9.2 Engagement in relevant public processes

These are both important approaches to support a more favourable enabling environment for quality evaluation practice

9.1 Engagement in relevant organisational processes

What the AES has already done or is doing

The AES has had a close connection with different government agencies engaged in strengthening evaluation capacity. Early AES conferences were sponsored by the Australian Government Department of Finance which played a leading role in supporting better management of evaluation within the Australian public sector. The first AES conference held in New Zealand had high levels of sponsorship from central agencies and line Departments in recognition of the importance they placed on evaluation. At different times, State governments have also played a major role in conferences that were held in their capital, promoting their approach to evaluation systems and management and supporting keynote speakers and workshops.

These connections have resulted in formal AES engagement in public or organisational processes related to evaluation such as, most recently: a joint submission with the Australia and New Zealand School of Government (ANZSOG) on the [Enhanced Commonwealth Performance Reporting Framework](#) (ECPF) (Oct 2014); the establishment of a Government Engagement Working Group (GEWG) which lodged a submission –together with the Department of Finance (DoF)– on the draft Resource Management Guides for the ECPF (Jan 2015) and, subsequently, a submission to the Australian Parliament Joint Committee of Public Accounts and Audit on the [Inquiry into Development of Commonwealth Performance Framework](#) (April 2015). In addition, significant joint events with the DoF were held, for example: *Strengthening Performance Measurement Across the Commonwealth: International Perspectives on Evaluation* which was attended by nearly 300 people representing 76 Commonwealth entities and companies and 18 external organisations (Sept 2015); a series of workshops for those engaged in performance measurement and reporting on *Performance Story Reports* (2016, 2017). In 2016, the AES also established the Advocacy and Alliance Committee aiming to promote the use of evaluation and evaluative thinking by Australasian agencies and organisations but also advising on advocacy and alliances opportunities to strengthen the reputation of the AES nationally and internationally.

Useful examples from other associations or organisations

The Aotearoa New Zealand Evaluation Association (ANZEA):

In 2007, ANZEA collaborated with SPEaR (Social Policy Evaluation and Research) to develop SPEaR Best Practice Guidelines Māori – Research and Evaluation.

Recommended actions

Additional activities:

Shorter-term

41. Continue to identify opportunities for engagement in relevant organisational and public processes and support an ongoing capacity for such engagement (e.g., the Government Engagement Working Group, the Advocacy and Alliance Committee, other targeted working groups or Task Forces of AES members). \$

9.2 Engagement in relevant public processes

What the AES has already done or is doing

The AES does not have a high profile publicly and many people working in evaluation in government agencies or non-government organisations seem to be still unaware of its existence.

Useful examples from other associations or organisations

In 2001 and 2002, the American Evaluation Association Task Force on High Stakes Testing developed an AEA position statement on high stakes testing and research reports for evaluators to use to inform themselves.

Recommended actions

Additional activities:

Shorter-term

41. Continue to identify opportunities for engagement in relevant organisational and public processes and support an ongoing capacity for such engagement (e.g., the Government Engagement Working Group, the Advocacy and Alliance Committee, other targeted working groups or Task Forces of AES members). \$

Annex 4. Detailed examples of accreditation of courses and credentialling in evaluation

Please note: The information in this Annex has been taken *verbatim* from the referenced publications.

Japan Evaluation Society was (JES): Accredited courses and organisations for education evaluation Certified evaluators for education evaluation	
Features of the association	<ul style="list-style-type: none"> Established in 2000.
Features of professional area	<ul style="list-style-type: none"> Growing interest in program evaluation among all levels of the public sector (national, regional, local) fuelled by a reduction in public spending to cope with recession, internal and external pressures for performance improvement in the public sector in order to achieve social accountability. Rapid diffusion of evaluation activities and growth of internal evaluation that resulted in uncertainty about the purpose of evaluation and the use of its results. This was accompanied by limited budgets to meet the need for evaluation and evaluation training Most evaluations are conducted internally by various central and local government agencies for three major purposes: (a) policy evaluation, (b) performance improvement for schools, hospitals, and other public sector organizations, and (c) effectiveness and efficiency of overseas development assistance. Revision of the code for establishing public schools (Ministry of Education, 2002) stipulating that all primary and secondary schools were to carry out self-evaluation of their educational activities and school management and to make public the results of such evaluation.
Approaches	<p>Defined as:</p> <p><i>Accreditation</i> is granted to programs or organizations that meet the educational and core proficiency requirements set by a recognized professional body for training practitioners in that specific field.</p> <p><i>Certification</i> involves the assessment by professional peers of competence in light of standards accepted within the profession and the written endorsement (or certification) of those competencies by a recognized body.</p>
Impetus/rationale	<ul style="list-style-type: none"> Strongly influenced by the Japanese context which required generating a large number of individuals with basic understanding of evaluation theory and practice to play a co-ordinating role in internal evaluations conducted by a wide variety of public sector organizations, by law.
Goal	<p>Focused on school evaluation:</p> <ul style="list-style-type: none"> Accreditation to support evaluation capacity building and promote high quality evaluation by accrediting training programs that meet specific quality standards. Certification to grant individual evaluators a certification if they meet the requirements and standards specified by a JES-accredited training program.

Reference points	<p>It was noted that:</p> <ul style="list-style-type: none"> • For the school evaluation accreditation program to be successful, JES will need to develop clear standards for the key results areas in the scheme. Recent developments in international evaluation standards (Love and Russon 2004), especially those for internal evaluation, such as the new expanded German standards for educational self-evaluation (Müller-Kohlenberg and Beywl 2003), could prove helpful. • In terms of competencies, the work of creating an overall taxonomy of essential competencies for evaluators (Stevahn et al. 2005) and the work of Brian English and colleagues (2002) regarding the need to balance functional competence with knowledge and cognitive competence, personal/behavioural competence, and values/ethics competence could be useful in defining what would constitute key competencies for evaluators with specific responsibilities within a school environment. <p>[no update currently available]</p>
Accredited courses	<p>A highly interactive course was developed, emphasizing discussions and exchanges of views rather than lectures. To improve the practical application of the course, each day one small group exercise focused on different evaluation tasks in hypothetical school settings.</p>
Whose courses?	<p>In 2003, JES -as part of a cooperative agreement with CES- developed and pilot tested an accreditation and certification scheme for school evaluation.</p> <p>JES shared the CES emphasis on professional development rather than licensing. However, two major differences exist between the JES and CES approaches:</p> <ul style="list-style-type: none"> • JES aimed to develop standardized evaluation training for specific sectors (such as education, overseas aid) rather than the generic orientation of the CES Essential Skills course. • Instead of following the CES model by organizing and delivering evaluation training itself, JES planned to accredit a broad range of organizations to deliver high quality evaluation training (including public/governmental organizations, universities, non-profits/NGOs, and private sector organizations).
Who is targeted?	<p>In adopting the Canadian model to the Japanese context, JES aimed at attaining “basic functional evaluation competence” in participants, that is, the set of knowledge, skills, and experience typically needed to coordinate internal evaluation activities in public sector organizations. This was conceptualized as an intermediate level of competence (located between “novice” and “advanced beginner” on one hand, and “proficient” and “expert” levels on the other).</p> <p>To ensure that participants could follow the course instruction at a similar pace, applicants had to be actively engaged in school evaluation work. Most of the participants had 15–20 years teaching experience and were currently serving on their schools’ evaluation committees.</p>

Who delivers them?	<p>For the pilot, CICE/Hiroshima University provided the academic and organizational support, as well as the qualified instructors. JES offered its expertise and advice.</p> <p>Only organizations accredited by JES are approved to deliver the school evaluation training program. JES started accreditation for organizations that want to deliver the training including: an assessment of materials the organization must submit prior to offering training (e.g., credentials of the organization, instructors' professional training and evaluation background, teaching materials) and after training (e.g., pre-post scores of evaluation knowledge, daily evaluation by participants using JES standard format, instructors' assessments of each participant's ability, attitude, and achievement at the end of the sessions).</p>
What type of assessment? [students, teachers, other]	<ol style="list-style-type: none"> 1. Pre-post evaluation of participants' knowledge of school evaluation 2. Daily workshop assessment of the training program by pro-gram participants 3. Assessment by instructors of the participants' ability, attitude and achievement, as well as the instructor's own de-livery, at the end of each training session 4. Six months post-training mail survey to participants and evaluation users 5. A School Evaluation Training Facilitation Follow-up Seminar conducted six months after the workshop to network and discuss the participants' progress 6. Longer-term follow-up to assess the effectiveness of the school evaluation training to enable teacher-evaluation facilitators to conduct high quality school evaluations.
Results / Lessons learned	<p>See Nagao et al. 2005 for results</p> <p>Lessons:</p> <ul style="list-style-type: none"> - Success of an evaluation workshop is highly dependent on the presenters. The Japanese team had excellent presenters. Because skilled presenters will be the key to the success of evaluation training programs, JES may have to consider ways of training presenters who have a good grasp of evaluation. - There were some content and style issues that need to be resolved. - The endorsement and participation of prominent officials, researchers, and academics helped reinforce the importance of the evaluation training workshop. Participants mentioned that they had the support of their school principals and this support would make it easier to carry out evaluation in their schools. Most importantly, the top-level leaders showed that their organizations were willing to provide support to the teachers who would conduct school evaluations when they returned to their classrooms.
Certification of those who complete?	<p>Successful graduates of the training program are certified as school evaluators by the accredited training program.</p>
Title for those who complete?	<p>School evaluators</p>

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Please note: The information in this Annex has been taken *verbatim* from the referenced publications.

Canadian Evaluation Society (CES): Accredited courses Credentialed evaluators	
Features of the association	<ul style="list-style-type: none"> • Established in 1981. • Roughly 1800 members in 11 regionally-based chapters. • Regional distribution of the membership with a strong influence from central Canada and from the federal government.
Features of professional area	<ul style="list-style-type: none"> • Adoption of the first government-wide evaluation policy in 1977. New policies followed (in 1981, 1994, 2009) building successive and sometimes conflicting foundations for the evaluation function (purpose, focus, timing, approach). • The Canadian federal government is both a major consumer and producer of evaluations in Canada (\$67.4 million dollar business in the Canadian federal government in date).
Approaches	<ul style="list-style-type: none"> • Accredited courses • Voluntary credentialing of evaluators <p>For a discussion of definitions, see 'Critiques and response' below. The model for the CE falls somewhere between a credential and a certification.</p>
Impetus/rationale	<ul style="list-style-type: none"> • Fuelled by issues of poor evaluation quality and underfunding and questions on evaluation usefulness leading to credibility problems. • Lack of clear demarcations and defined parameters for the evaluation function, as well as standardized entrance requirements (notably compared to the audit community) were seen to be challenges. • Evaluators questioned their professional identity and spoke of a desire to better define the nature of their work and examine means of recognizing the skills and knowledge required to do that work.
Overall goal	To contribute to the professionalization of evaluation and to bring clarity to key evaluation concepts and definitions, while also enhancing the reputation of the field among CES members and prospective clients.
Reference points	<p><i>Guidelines for Ethical Conduct</i> was developed through extensive consultations with members from 1988 until approved in 1996. The guidelines address issues of competence, integrity, and accountability for evaluators and were reviewed and reaffirmed by National Council in 2006 and 2008.</p> <p>CES commissioned a special research study in 2002, <i>The Canadian Evaluation Society Project in Support of Advocacy and Professional Development: Evaluation Benefits, Outputs, and Knowledge Elements</i> (CBK/Core Body of Knowledge study) to gain a better understanding of the knowledge base of evaluation practice. The CBK identified 151 knowledge, skill, and practice items within six overall categories: ethics (integrity and competence); evaluation planning and design; data collection; data analysis and interpretation; communication and interpersonal skills; and project management associated with evaluation practice</p> <p>CES formally adopted the <i>Program Evaluation Standards</i> (2008, 2012) which include the categories of utility, feasibility, propriety, accuracy, and accountability in evaluation process and products.</p> <p><i>CES Competencies for Canadian Evaluation Practice (CCEP)</i>.</p> <p>The competencies are helpful for professional designation and serve as a foundation for the development of professional development (training) and education programs.</p>

Accredited courses	<ul style="list-style-type: none"> • CES Essential Skills Series (ESS) Four one-day modules: Understanding Program Evaluation, Building an Evaluation Framework, Improving Program Performance, and Evaluating for Results (represents what CES understands as the overview of essential competencies required in program evaluation) • A set of intermediate evaluation courses [no further information identified]
Whose courses?	ESS: A flagship training course developed in 1999 to enhance program evaluation skills and to promote the professional practice of evaluation across Canada. It has been updated over the years to accommodate the evolution of the field of program evaluation.
Who is targeted?	The CES Essential Skills Series targets new evaluators, those who manage evaluation projects within their organizations, and those who would like a refresher course on the main concepts and issues in program evaluation. The training assumes that the participants already possess some knowledge of social science methods, as understood in the North American context.
Who delivers them?	The instructors for the ESS courses are highly qualified university-level faculty who also are experienced evaluators. They blend relevant theory with their first-hand knowledge of evaluation in a broad range of programs and use adult education methods to deliver each course.
What type of assessment are involved? [students, teachers, other]	[no information identified]
Results / Lessons learned	[no information identified]
Certification of those who complete?	Participants who attend all four ESS courses receive a certificate from the CES to recognize their completion of the standardized evaluation training.
Title for those who complete?	N/A

Credentialing	Credentialed Evaluator (CE)
When was this started?	June 2009
Goal	To promote ethical, high quality, and competent evaluation in Canada.
Objectives	Aims to increase identification of practitioners as professional evaluators and the recognition of evaluation as a distinct profession, enhance the evaluation knowledge, skills, and professional development of applicants as well as the alignment between the CES competencies for Canadian evaluation practice and educational curricula, and increase the value of and demand for the CE designation.
How it was envisaged versus how it was implemented	<p>The terms credentialing and certification took on additional meaning in the CES professional designation project. The authors of the Action Plan (Canadian Evaluation Society 2007b) described their proposed credential designation as entry level, while certification was mastery (as independently assessed). In the Action Plan, the three levels of designations were described as a ladder, where Credentialed Evaluators would tend to be more junior personnel and most often work under the supervision of a Certified Professional Evaluator (CPE). In the plan, the designations have explicit levels of expertise or competence assigned to them, an approach also applied in other professional organizations.</p> <p>CES did not establish the credential as being entry level. CES indicated that the credential was to include consideration of experience and education and would not preclude future development of a certification process, should this be seen as necessary by the membership at a future date.</p>
Critiques and response	<p>Three key issues were brought up by a ‘challenge group’:</p> <ol style="list-style-type: none"> 1. The use of competencies is a fundamentally flawed application of the credentialing level of professional designation, more appropriate to the level of certification where the designation speaks to the application of skills and knowledge. 2. The proposed model for the CE falls somewhere between a credential and a certification. 3. The credentialing system should be fact-based, not assessment-based. <p>The “challenge group” remained unconvinced and developed an alternative proposal (April 21, 2009)</p> <p>Although this alternative did not receive significant support in the consultations on the CE model, the group was correct in labelling the PDP’s CE model as “somewhere between a credential and certification.” The PDP was knowingly introducing a novel approach: credify, a term that may be defined as “Credify v.t. a process consisting of 2/3 credentialing and 1/3 certification to award a professional designation.”</p> <p>If the CE designation was to limit itself to an education qualification, it would be awarded to those with a degree in any discipline, saying nothing about the individual’s knowledge of evaluation. The CES offers an introductory training program on evaluation—their Essential Skills Series. Aligning the CE to completion of this training was also not appropriate because it is only a four-day, high-level course and not designed to produce fully rounded practitioners.</p>

	<p>A credential solely based on experience provided challenges as well. The CES evaluation community came to evaluation from many diverse experiences, and frequently not as a result of a planned evaluation career path (Borys et al. 2005). Two or five years in a job with the title “evaluator,” as shown in a CV or through references, did not necessarily speak to the evaluation competence of an individual.</p> <p>Using only a combination of experience and education, as is often the case in a credential (CES, 2007b), was also problematic. Without some type of assessment, what was a CES credential saying if a member held a master’s degree and had 2 (or 20) years of evaluation experience in their CV?</p> <p>Thus, the PDP sought to build a practical designation (what works) for the Canadian evaluation community (for whom) within the strengths and weaknesses of the evaluation context of Canada (under what conditions) to begin the process of defining an evaluation identity (and why). The PDP team consciously chose to straddle conventional wisdom around credentialing and certifying in their CE model.</p>
Reference points	Professional Designation Program (PDP) founded on the three pillars of standards, competencies, and a code of ethics.
How was it established? [process and resourcing]	<p>The Professional Designations Project took place from October 2007 to May 2009, when it was approved as an ongoing program and the Credentialed Evaluator designation was established as a voluntary service of CES.</p> <p>The management of the project by the PDCC was a significant undertaking. Populating the subcommittees was done through an open call to CES members for volunteers to assist on the project. The initial 21 CES member volunteers changed with exits and new entrants over the 19 months of the project, due to volunteer availability and interest. Ultimately the project involved 34 individuals representing all but three of the CES 12 regionally-based chapters.</p> <p>Inclusiveness was an important principle for the conduct of the project. Although the project’s reach across CES chapters was not complete (9 of 12), it served to bring regional views to the development table. The PDP volunteers included practitioners, academics, representatives from both the private and public sectors, and also came from different academic disciplines. Each individual made a significant commitment and contribution to the project and brought unique expertise and skills that were used to the fullest extent possible.</p> <p>At any given time in the development period, some 23 individuals across Canada were working to build this designation.</p> <p>The PDCC investigated options for independent funding support at the outset of the project, in the hope of hiring external resources to lead and/or undertake the project. Two grant applications were unsuccessful, and the project was largely accomplished with volunteered resources. Project budgets were prepared and monitored. The CES spent a total of \$18,250 over the 19-month development period; these funds were used primarily for translation (65%) of communications materials and teleconference meetings. In addition the CES received 450 days of volunteer time from its 34 volunteers (as tracked by the PDCC). This is an estimated value of \$350,000 for in-kind service. The total cost of developing the CE was \$365,000, with 95% of that amount being in kind.</p>

<p>Critical elements for successful establishment</p>	<p>The project was committed to principles of inclusiveness, transparency, feasibility, utility, and partnering (CES 2007d). These elements had formed the cornerstones of successful consultations on pursuing a professional designation (Cousins et al. 2009) and were deemed critical both to the development process and, substantively, to the nature of any designation developed (Buchanan 2015).</p> <p>Transparency was important and included openness between the PDP and National Council, as well as between PDP/National Council and the CES membership.</p> <p>The project spanned the tenure of two CES Presidents, both of whom demonstrated strong commitment to and leadership for the PDP. They facilitated open and frank exchanges among the community and ensured there was time and space allotted to the 19-month-long conversation within the executive and governing body of the organization.</p> <p>What really carried the day, without question, was an enormous sense of volunteerism on all sides. The Consortium, in producing its three-part submission, exceeded expectations by far and away. The vast amount of that work was done pro bono by Consortium members. Member Services Committee, too, contributed greatly to this initiative, perhaps much more than it had imagined would be required at the outset, and perhaps also to the detriment of other responsibilities needing to be temporarily placed on hold. Without this spirit of volunteerism, the costs of such an undertaking would have been formidable. A significant investment in either financial planning/budgeting or in recruiting volunteer support is essential in our view, since it will serve to avoid overburdening or overtaxing those charged with process responsibilities.</p>
<p>Specific challenges encountered in establishment</p>	<p>Efforts to make the federal government “system” more intimately engaged with the designation and development process were not particularly successful nor, in hindsight, undertaken as strategically as might have been done. Information was exchanged with key stakeholders in the federal government, and, in all cases, there was continued interest in the development process. However, the PDP failed to more substantively engage the federal or provincial governments in a manner that would recognize the credential within the human resource systems of government. To do so would not have been an easy task. There are policies, job descriptions, salary classifications, and collective agreements that would be implicated. However, in view of the dominance of government-based work in both the supply and demand side of evaluation, this issue is important and continues to require attention.</p> <p>It is not uncommon in volunteer-based organizations that energy and momentum is successfully corralled for the purposes of innovating, but gains can be lost in day-to-day delivery and management. There is a vital need for CES to develop systemic mechanisms for regular review, validation, and updating of the key pillars of the CE and to actively support new professional development needs.</p>

Who administers it?	Credentialing Board as a decision-making body for the credential.
What courses are required? What experience is required? What demonstrated competence is required?	<p>To apply for the CE designation, evaluators must be members of CES.</p> <p>There is a fast track and a regular application process. Evaluators applying for the CE designation have 3 years to complete the application.</p> <p>In order to qualify for the CE designation, evaluators must submit an online application that demonstrates evidence of:</p> <ul style="list-style-type: none"> • Qualification 1: evidence of graduate-level degree or certificate. The applicant is asked for evidence of education—a copy of their degree. • Qualification 2: evidence of 2 years (full-time equivalent) evaluation-related work experience within the last 10 years. Statements of work experience are supplemented with letter(s) of reference. • Qualification 3: education and/or experience related to 70% of the competencies in each of the five domains of Competencies for Canadian Evaluation Practice. Applicants draw selectively from their education and/or experience to describe in a short narrative how the competency has been accomplished. A minimum of 70% of competencies in each of the five domains are required. <p>[Note: Buchanan 2015 explains how these were chosen]</p> <p>The CE was not defined at a level (junior or expert) but was shaped on the characteristics of those members who were successfully practicing evaluation.</p>
Process for awarding	Each completed application is reviewed by two members of the Credentialing Board, comprising senior evaluators, who then recommend that the application either be accepted or rejected. In the event that the two reviewers are not able to agree, the application is sent to a third reviewer.
Process for renewing	To maintain their designation, CEs must complete at least 40 hours of professional development every 3 years.
Cost to run the program	<p>The PDP is funded by two sources of revenue: program application fees and annual maintenance fees. The latter of these two sources is acknowledged as a new type of ongoing membership.</p> <p>Application fees have accounted for the majority of PDP revenue to date.</p> <p>Projections were: an uptake of 20% of current CES members (in year one) and an ongoing 20% level of interest in subsequent years. To be viable, the demand for the CE designation must exceed 10% of total CES membership. The CE designation program was intended to be cost-neutral to CES, in a steady financial state [Proposal to CES National Council for a Professional Designation Program (May 2009)]</p> <p>The CES annual reports show marginal positive revenue over expenses in the audited statements for 2010, 2011, and 2012 (Buchanan 2015)</p> <p>The primary cost driver for the PDP program is management and administration. Other expenses include CB honorariums and costs associated with the website, PDP database, and system.</p> <ul style="list-style-type: none"> - Extensive time and effort has gone into designing and executing the process for accepting, reviewing, and scoring applications—the large majority of which has been performed with volunteer hours.

	Training of CB members, in particular trainings to establish inter-rater reliability
Cost and perceived benefit to applicant	<p>The one-time program application fee is \$485, and the annual maintenance fee is \$50 for CEs.</p> <p>Time to complete the initial and renewal applications: “Individuals who have already received their CE designations often applied in an effort to increase their marketability or credibility—whether their own, their organization’s or the field’s. Just over half of the CEs responding to the CES member survey reported that the value received from the credential was sufficient compared to the resources they expended to go through the process, although several said that it was just too early to tell.” (Fierro et al. 2016)</p>
Level of uptake	<p>As of the 2014–2015 annual report of CES, 287 CE designations had been awarded, which represents approximately 18% of CES membership (at that time: 1,569).</p> <p>A limited number of individuals have sought the designation to date, many through the fast-track application process. Additionally, many evaluators have not applied for the CE designation because it is not required for their jobs, because the resources (time and money) required to apply are perceived as high, and because they are unclear about what the relative benefit of having the designation would be in relation to expending these resources (evaluation report, 2016).</p> <p>Those who seek services from evaluators, whether by hiring or retaining internal evaluators or requesting assistance from external evaluators, at this point have not taken steps that provide strong enough external motivation for evaluators to pursue the CE designation (Fierro et al. 2016).</p>
Perceived benefits	<p>The development of the Credentialed Evaluator designation was a significant undertaking and accomplishment for the CES. In many respects, the PDCC believed the process was as important, if not more, than the outcome of the project. “Perhaps the most critically important and energizing part of the work is not in the result (i.e., CE), but rather in the cross-country conversation and debate on evaluator identity” (Buchanan & Kuji-Shikatani, 2014, p. 42).</p> <p>The development of the CE highlights an important leadership dimension beyond the strength of individual leadership. The professional association took the lead in the discourse on the evaluation function, as opposed to responding (Buchanan 2015).</p>

<p>Results to date</p>	<p>Claremont Evaluation Center at Claremont Graduate University conducted a formative evaluation to help improve the design, resourcing, uptake, and outcomes of the PDP (see Fierro et al. 2016). Key findings are:</p> <ul style="list-style-type: none"> - Progress is being made towards several short- to mid-term intended outcomes examined in this evaluation, including the level of awareness of the CE designation among key target audiences, the recognition of evaluation as a profession and expected evaluator competencies among key target audiences, the alignment between educational curricula and the CES competencies, and the extent to which CEs identify as professional evaluators. - Greater attention is needed on activities aimed at increasing the extent to which non-evaluator audiences (specifically commissioners and employers of evaluation) are aware of and value the designation and the related competencies. Further efforts are warranted to better understand the alignment between courses offered specifically for professional development in evaluation (particularly for federal public servants) and the CES competencies. - Effectiveness: Barriers and facilitators to realizing intended outcomes. The perceived relevance/utility of the CE designation is mixed for evaluators and those who request their services. Evaluators did see some potential benefit to acquiring the CE designation with respect to marketing or more generally to their careers. However, the current lack of acceptance or support of the CE designation in their workplaces presented barriers to applying. Evaluators who may be eligible for the CE designation but have not applied also saw the costs and time associated with the application process, as well as questions about how they would likely benefit from expending these resources, as deterrents. Employers and commissioners of evaluation typically viewed the CE as a “nice to have” item and considered many factors in addition to the CE when making decisions. In some cases, particularly within the federal government, there are already policies and procedures in place that the individuals with whom we spoke perceived as obstacles to making the CE a requirement for hiring, selecting contractors, or supporting the pursuit of the CE among current employees. The desire to support the designation as a means to move the field towards professionalization and promote greater recognition of evaluation has been a strong motivating force for evaluators to apply for the CE as well as for organizations to find means to integrate recognition of the CE in their current operations. - Efficiency. The application process was viewed as efficient from the perspective of two key stakeholder audiences— applicants and CB members. Applicants who submitted through the fast-track process were much more likely to view the level of effort involved as acceptable than were those who applied through the regular mechanism. CB members, however, varied in their opinions regarding the fast-track process. Although the application process was viewed as efficient overall, there remain opportunities for improvement. - Unintended impacts. Stakeholders had mixed responses regarding the occurrence of several potential positive and negative unintended impacts that we specifically inquired about. Less than half of the evaluator respondents who had received the CE designation felt it improved their marketability or helped them achieve some career goals. Approximately half of the CEs viewed the application process itself as a means for learning how to improve their work and felt that the value they
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obtained from acquiring the designation was worth the resources they expended. The majority of participants in this evaluation did not report observing any negative effects of the CE designation to date.

- **Sustainability and growth of the CE designation.** The sustainability of the CE designation is dependent upon a number of factors including retaining the designation among evaluators who have already received it, attracting more evaluators to apply for the designation, ensuring that the CB can maintain current levels of effort or higher, and ensuring sufficient revenue to support anticipated expenses associated with the designation. Individuals who have been through the maintenance process find it to be reasonable, but many new CEs need clarification about the process required to maintain the designation. Major areas of concern relating to the sustainability of the CE designation relate to the ability to attract applicants as well the extent to which it can be financially supported in the future given its current demand. Several opportunities exist for sustaining or growing the designation, including increasing CES membership; building or expanding partnerships with government, educators/universities, and international organizations; and engaging more actively in marketing efforts.

(Fierro et al. 2016)

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Annex 5. Detailed examples of professionalisation approaches in other fields of practice or professions

The information in this Annex is taken from organisational websites [retrieved February – March 2017].

	IAP2 –International Association of Public Participation, Australasian affiliate	AMSRS –Australian Market and Social Research Society	AMSRO –Association of Market & Social Research Organisations	Social Value International SIMNA –Social Impact Measurement Network, Australian affiliate	Professional Conference Organisers Association (covers Australia and NZ)
		NB - proposed merger between the Association of Market and Social Research Organisations (AMSRO) and the Australian Market and Social Research Society (AMSRS)			
Particularly interesting features	<ul style="list-style-type: none"> Accredited training: Have developed their own accredited training and train the trainer for licensed trainers List of consultants: Hurdle requirement for being listed on the consultancy register Large number of members Identified “ambassadors” who can deliver talks or workshops explaining participation Originally the International Association of Public Participation Practitioners (IAP3 then developed into an organization which looks beyond the formal practitioner to include all people involved in public participation 	<ul style="list-style-type: none"> Voluntary credentialling, qualification and experience (or more experience) plus an exam, plus need current experience, and ongoing PD Hurdle requirement for full membership 	<ul style="list-style-type: none"> Mission of association is to position our industry for the benefit of members 	<ul style="list-style-type: none"> Voluntary credentialling – complete their accredited course plus submit a piece of work for review 	<ul style="list-style-type: none"> Voluntary credentialling – qualification and experience plus testimonials Focus of professional association is on professionalisation of members and better public understanding

	IAP2 –International Association of Public Participation, Australasian affiliate	AMSRS –Australian Market and Social Research Society	AMSRO –Association of Market & Social Research Organisations	Social Value International SIMNA –Social Impact Measurement Network, Australian affiliate	Professional Conference Organisers Association (covers Australia and NZ)
Features of the professional association – size, history, organisational status, international connections, professional identity	<ul style="list-style-type: none"> • Founded 1990 (international) 1998 (Australasia) • Currently over 3000 members (Australia & New Zealand) • International: IAP2 operates in 9 countries (Australasia (Australia and New Zealand), Canada, Indonesia, Italy, Southern Africa (Angola, Botswana, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, South Africa, Swaziland, Zambia, and Zimbabwe), United States. IAP2 Australasia is the largest Affiliate of the IAP2 Federation. Australasia has 4 times more members than the USA or Canada. • “IAP2 does not have a specific disciplinary background but is formally recognized by government for the area of ‘participation’” 	<ul style="list-style-type: none"> • Founded? Not known • ? members 	<ul style="list-style-type: none"> • Founded? Not known • 100 organisational members, employing more than 5.000 people • Incorporated association • Mission: “Our mission is to position our industry for the benefit of members” 	<ul style="list-style-type: none"> • Founded 2012 • Currently over 1,000 members • Since inception in 2012 SIMNA has been a self-organising community of practice. The SIMNA national council and state chapters are run by volunteers. From 2012–2016, SIMNA operated with the support of CSI. CSI provided the vehicle for SIMNA’s operations and provided substantial financial and in-kind support. SIMNA incorporated as a separate entity in 2016 and CSI became a Lifetime Member. 	<ul style="list-style-type: none"> • Founded? Not known • ? members • “The PCO Association is the leading body representing the interests of Professional Conference Organisers and Event Managers in Australia and New Zealand.”

	IAP2 –International Association of Public Participation, Australasian affiliate	AMSRS –Australian Market and Social Research Society	AMSRO –Association of Market & Social Research Organisations	Social Value International SIMNA –Social Impact Measurement Network, Australian affiliate	Professional Conference Organisers Association (covers Australia and NZ)
Types of membership? Hurdles to membership?	<ul style="list-style-type: none"> Individual: Individual \$180 Student \$80, International Developed \$160, International Developing \$90 Organisational: Corporate \$1600/NZ1725, Small Business \$810/NZ875 	<ul style="list-style-type: none"> Student \$87 Associate – \$385 (\$155 resident overseas) no hurdles Full – \$385 (\$155 resident overseas) 2 years’ experience and nomination from a member 	<ul style="list-style-type: none"> AMSRO Trust Mark member organisation certified to ISO 20252 or ISO 26362 AMSRO member organisation (not certified) 	<ul style="list-style-type: none"> Individual \$60 Company (small) \$250 Company (large) \$500 	<ul style="list-style-type: none"> Individual AU\$110.00 (including GST)

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Benefits of membership	<ul style="list-style-type: none"> • Member discounts to professional development events, training and conferences • Free listing on the consultancy register • Access to member only online resources • Opportunities to connect with a huge network of practitioners from across Australia and New Zealand; • Monthly engagement practice updates and articles through newsletter • The ability to contribute to the dialogue and communicate with other IAP2 members; and • Access to careers in engagement and recruit engagement professionals from a specialist pool. 	<ul style="list-style-type: none"> • Full members can use postnominal MMSRS and all members can use the Member mark to promote their membership • Member discounts for conferences, courses, seminars, webinars and insurance • Relevant professional development • Advocacy promoting the use of market and social research to government, works with AMSRO through the Research Industry Council of Australia, and represents the profession "when it is threatened by legislation, ill-informed comment or by the unethical practices of others". • Professional recognition QPMR • Bi-monthly magazine • Advertise services in directory and yearbook • LinkedIn community of 2000+ members • Adherence to professional standards 	<ul style="list-style-type: none"> • Government representation • Workplace relations support and free advice (2 hours free p.a.) • Access to the AMSRO and NUW Agreement • Access to the Privacy (Market and Social Research) Code 2014 • Quality Assurance and support • Eligibility to work under the industry Trust Mark • Member discounts • Access to industry statistics and salary survey • Annual Leaders' Forum invitation • Regular updates on AMSRO initiatives and items of interest to members 		<ul style="list-style-type: none"> • Use of the PCOA member logo • Online learning – join our 30 minute knowledge sharing webinars • Accreditation program for individuals and companies • Connect on our social media platforms • Sign up for our blogs sharing the latest on industry trends • Regular e-newsletters and member offers • Discounted registration fees at our annual industry Conference

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<p>Impetus/ rationale – reference to professionalisation or specific impetus for these strategies</p>	<ul style="list-style-type: none"> Released in 2014, the Certificate in Engagement was developed to bring an Australian and New Zealand context to community and stakeholder engagement training. Very quickly the Certificate is becoming the standard that employers are looking for in staff who work in, or manage, community and stakeholder engagement. With new concepts, new tools and with solid foundations in existing practice, the Certificate will support all levels of experience and learning, varied roles in engagement and management. The Certificate in Engagement is for all levels of understanding, experience and learning, from the first-timer to those who wish to update or refine their skills. 	<ul style="list-style-type: none"> Defines the core knowledge and experience required by professionals who conduct or manage market research. Provides recognition of both formal education and successful application of your market and/or social research knowledge and skills in a business environment. Demonstrates that you are a professional market and/or social researcher - recognised by your peers for your experience and qualifications. Provides greater assurance to research users that their research advisor has the knowledge, skills and experience necessary to provide comprehensive quality advice on any aspect of market and social research that will lead to real solutions. 		<ul style="list-style-type: none"> “The Social Impact Measurement Network of Australia (‘SIMNA’) is a membership organisation which purpose is to help foster the emerging practice of social impact measurement in Australia. At our core, we believe that organisational decisions should consider the social impact that activities have on society. Our aim is to work with members to build a powerful community of practice that can lead and shape the development of social impact measurement both in Australia and around the world.” 	<ul style="list-style-type: none"> The Association aims to increase the standard of professionalism of its members and promote a better understanding of the roles, functions and contributions of Professional Conference Organisers and Event Managers in the conference and event sector.

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Features of professional area	Like evaluation, there are some people whose job this is and some who do this as part of their job.	Like evaluation, there are some people whose job this is and some who do this as part of their job.	Claims to represent over 75% of the market and social research industry (through organisational membership not individual membership)	New professional specialisation with diverse backgrounds . Our members range from those just starting out and wanting to ‘give it a go’ all the way to leading experts who wish to contribute and shape standards and practice.”	Large number of existing courses at different levels from Certificate to Masters in event management
Resources dedicated to accrediting and credentialing process	Not known	Not known	Not known	Not known	Not known
Accredited course(s)? Y/N	Yes, released in 2014 (certificate) and 2016 (advanced certificate)	Yes	Not known	Yes	Not formally accredited but recognised

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Titles of accredited courses	<ul style="list-style-type: none"> • Certificate in Engagement = 1 day Engagement Essentials + (2 days Engagement Design + 2 days Engagement Methods) or (Engagement Methods and 2 1 day courses from: Engaging with Influence, Conflict in Engagement, Online Engagement, Engagement Facilitation) • (Previously had a Certificate in Public Participation, now have a bridging training module from this) • Advanced Certificate – for those with certificate and 5 years’ experience – 1 day Pathways to Advanced Engagement Practice + 2 days Strategies for Complex Engagement plus 2 days from: Building an Engaging organisation (2 days), Emotion Outrage and Public Participation (2 days), Engaging with Influence (1 day), Engagement Facilitation (1 day), Engagement Evaluation (1 day) 	<ul style="list-style-type: none"> • Accredited qualification from specific international market and social research society sponsored university courses (Advanced Certificate or Masters) (list of 5 courses) 		<ul style="list-style-type: none"> • SROI Training 	<ul style="list-style-type: none"> • Seems to be anything with “Event management” in the title – all qualifications subject to review process
Whose courses?	IAP2	Tertiary educational institutes		Social Ventures Australia (Australian course)	Universities and technical education providers
Who delivers them?	Licensed trainers who complete a Train the Trainer course	Tertiary educational institutes		Australia – SROI Australia. Canada – SROI Canada. UK, Turkey, Netherlands – Social Value UK	Universities and technical education providers

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Who assesses students?	Not clear if they are assessed	Tertiary educational institutes		Seems to be based on participation not assessed learning	Universities and technical education providers
Certification of those who complete?	Only for those listed on the Consultancy Register. In addition to paying a \$300 + GST fee: The principal or senior executive must: <ul style="list-style-type: none"> • have management responsibility within a consultancy for a period of at least twelve months prior to the submission of this application form; • be a financial member of IAP2 Australasia; • have completed the IAP2 Certificate in Public Participation or the IAP2 Australasia Certificate in Engagement or employ staff who have done so. 	Advanced certificate or Masters		No – it’s a necessary but insufficient element of becoming accredited	No – only their formal educational qualification
Titles for those who complete certified courses?	No	Just the qualification		No	NA
Credentiaing? Y/N	No	Yes		Yes	
Titles of credentials	NA	Qualified Practising Market Researcher (QPMR)		Accredited SROI Practitioner	Certified Event Manager (CEM)

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When was this started?					Not known
International recognition?				Yes – run out of the UK	
Scope for RPK (Recognition of Prior Knowledge)?		Yes – if have an accredited qualification from specific international market and social research society sponsored university courses (Advanced Certificate or Masters) (list of 5 courses)			Yes – RPK option available (which does not need tertiary qualification) but requires 5 years’ experience immediately before application and testimonials, as well as standard entry which requires 3 years’ experience
What courses are required?		University degree (or 10 years’ experience) and completion of exam – theoretical and practical		Complete an accredited training course	One or more of Certificate/Diploma/Advanced Diploma/Degree/Masters in Event Management
What experience is required?		3 years (at least 2 in Australia)			
What demonstrated competence is required?				Sole author of an assured report – report assurance criteria available in a checklist	

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Requirement for association membership?		Yes		Yes	Yes
Other requirements?			Yes for Trust Mark organisational membership	None	Compulsory testimonials from three recent venues/suppliers (in past 3 years). Guidelines for referees provided
Costs		Not known		Standard application 900 pounds plus VAT, fast track (not at set dates) 1200 pounds, amendment period (most reports need amendment) 300 pounds	\$A295 RPK entry \$220 standard entry; \$220 for renewal
Duration and process for renewing?		1 year. Submit a PD diary outlining PD activities – must include 1 AMSRS seminar on ethics/industry standards/legislative requirements			3 years 3 years’ continuous experience as an Event Manager or Conference Manager, and 3 testimonials
Level of uptake	Not known	High	Not known	4 accredited SROI practitioners in Australia and 0 in NZ	87 accredited individuals currently on website 18 accredited organisations (which is largely based on having functioning QA and IT systems and financials)

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Impact on service quality and other (including diversity of workforce)	Not known	Not known	Not known	Not known	Not known
Do they have fellows?	No – have ambassadors.	Yes		No	No – Life Members only
Number?	27 ambassadors on website	64 fellows listed on website			
Public information	<p>“Foundations of public participation” including the code of ethics, the core values, the code of ethics and the participation spectrum</p> <p>Guide to procuring engagement services (produced by Consult Australia)</p>				