



# Building Evaluation Capacity: A Rapid Review

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## Key Messages

1. The Region of Peel–Public Health (ROP–PH) identifies a need to build internal evaluation capacity.
2. Evaluation capacity building (ECB) enhances an organization’s capability to routinely conduct quality evaluations and use the results for decision-making.
3. ECB conceptual models contain common elements that provide a foundation for designing and implementing an ECB initiative. These include: drivers of ECB; organizational factors that mediate ECB; organizational factors that support evaluation practice; individual factors that contribute to effective evaluation practice; and ECB strategies that develop the individual factors.
4. Three conceptual models were identified as strong resources to inform ECB initiatives. The models are the Three-Component Evaluation Capacity Building Framework, Multidisciplinary Model of Evaluation Capacity Building, and Integrated Evaluation Capacity Building Model.
5. Preskill and Boyle’s Multidisciplinary Model of Evaluation Capacity Building was judged to be the best conceptual model to guide the ECB initiative at the ROP–PH. The model is comprehensive; clear and accessible; logically congruent; supported by theoretical and empirical literature; transferable; and useful.
6. It is necessary to apply change management principles to designing and implementing the ECB initiative at the ROP–PH.

# **Executive Summary**

## **Literature Review Question**

What conceptual framework(s) or model(s) could guide the design and implementation of an evaluation capacity building initiative?

## **Issue and Context**

Program evaluation is a mandated function of public health. The Region of Peel–Public Health (ROP–PH) is currently developing the program evaluation component of the End-to-End Public Health Practice (E2EPHP) strategic priority.

The ROP–PH recognizes the need to build internal evaluation capacity. Evaluation capacity is an organization’s capability to conduct high-quality evaluations and use the results for decision-making.

This review identifies evaluation capacity building (ECB) conceptual frameworks and models. These frameworks and models will inform the design and implementation of the ECB initiative at the ROP–PH. An ECB model will help develop an initiative that is comprehensive, strategic and evidence-informed.

## **Methods**

The literature search involved database searches, targeted searches of evaluation journals, and hand-searches of reference lists from retrieved papers. It included papers published in English from the year 2000 to the present. The search yielded eight relevant papers. An appraisal based on the authority of the authors and reputability of

the publication source excluded three papers. The review and critique of the five included ECB conceptual frameworks and models used an adaptation of Fawcett's Framework for Analyzing and Evaluating Conceptual Models in Nursing.

## **Findings**

The ECB conceptual frameworks and models describe drivers; organizational mediators and supports; strategies, and outcomes of ECB. The critique identified three models as strong resources to inform an ECB initiative. Preskill and Boyle's Multidisciplinary Model of Evaluation Capacity Building was judged to be the best conceptual model to guide the ECB initiative at the ROP-PH.

## **Recommendations**

1. Use Preskill and Boyle's Multidisciplinary Model of Evaluation Capacity Building to inform the design, implementation and evaluation of the ECB initiative at the ROP-PH.
2. Develop a strategic communication plan for the ECB conceptual model.
3. Determine the evaluation function and structure early in the ECB initiative. Consult extensively with staff across the department to elicit their input.
  - a. Differentiate the evaluation function from program planning, quality improvement and performance measurement, but ensure it is linked to these processes.
  - b. Consider a team-based approach for the evaluation structure. Clearly delineate roles based on a strong and transparent rationale.

4. Develop a comprehensive communication plan for the implementation of the ECB initiative, including those responsible, as well as those impacted by evaluation.

## **1 Issue**

In May 2017, the Region of Peel–Public Health (ROP–PH) hired a Program Evaluation Advisor to develop an evaluation framework and process as part of the End-to-End Public Health Practice (E2EPHP) strategic priority. The Program Evaluation Advisor is also responsible for increasing the capacity of staff to use the new robust, evidence-informed framework and process.

Evaluation capacity is an organization’s capability to conduct high-quality evaluations and use the results for decision-making. (1) Successful evaluation practice requires a knowledgeable and skilled workforce who can conduct quality evaluations. It also requires an organizational environment that supports the use of evaluation results for developing and improving programs. (1) The purpose of this rapid review is to identify a conceptual model or framework to guide evaluation capacity building (ECB) at the ROP–PH.

## **2 Context**

The Ontario Public Health Standards mandate that Boards of Health “routinely monitor program activities and outcomes to assess and improve the implementation and effectiveness of programs and services.” (2) During the past four years, the ROP–PH has created methods and processes, and provided training to integrate E2EPHP into the organization. It is currently developing the program evaluation component of E2EPHP.

The ROP–PH completed three separate environmental scans of:

- Canadian universities that offer evaluation training;
- program evaluations completed at the ROP–PH over a five-year period (internal scan); and
- evaluation practice in high-evaluation-capacity public health units and support units (external scan).

The internal scan was used to understand the level of evaluation capacity and identify evaluation resource and support needs. The external scan provided insight into the function and form that support high evaluation capacity within public health organizations.

Program evaluation is routine practice at the ROP–PH. Between 2011 and 2016, staff completed 75 program evaluations. (3) Despite this active involvement, evaluation capacity could be strengthened. Staff primarily conduct process evaluations: assessing whether a program is implemented as intended. They need additional knowledge and skill development to design and implement outcome evaluations: assessing whether a program is achieving the intended outcomes. (3) Additionally, the department could further develop structure and procedures to fully support evaluation practice. (3)

Currently, the ROP–PH is employing primarily an indirect approach to ECB. An indirect approach involves individuals in the evaluation process to build knowledge and skills, and cultivate an appreciation for evaluation. (4) A direct approach uses planned activities, such as training on evaluation methods or developing evaluation policies. These activities enhance individual, as well as organizational capacity to conduct



evaluation. (4) A direct approach to ECB would benefit the ROP–PH. A direct approach will require strategic planning and a greater investment of resources (e.g., personnel, time, finances), but will increase the likelihood of successful ECB outcomes.

### **3 Literature Review Question**

What conceptual framework(s) or model(s)<sup>1</sup> could guide the design and implementation of an evaluation capacity building initiative?

### **4 Literature Search**

The literature search was conducted between June 5 and July 14, 2017. The search involved database searches, targeted searches of evaluation journals, and hand-searches of reference lists from papers retrieved for full-text relevance assessment. It was limited to papers published in English from the year 2000 to the present. The database searches included OVID MEDLINE(R) and Health Star, PsychInfo, NHS Economic Evaluations, ACP Journal Club, Cochrane Database of Systematic Reviews, Cochrane Methodology Register, and Sociological Abstracts. The search strategies involved a combination of controlled vocabulary and text words (see Appendix A). The targeted searches included the Canadian Journal of Program Evaluation, the American Journal of Evaluation, and New Directions for Evaluation. Targeted searches used the phrase “evaluation capacity building.”

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<sup>1</sup> The terms framework and model are often used interchangeably in the literature. ECB conceptual frameworks and models will generally be referred to as ECB conceptual models throughout this report.

## 5 Relevance Assessment

A single reviewer conducted the relevance assessment using the following criteria:

- Inclusion criteria: ECB conceptual models; direct ECB approaches; and models developed within diverse organizational settings.
- Exclusion criteria: evaluation frameworks that define the approach and process of conducting evaluation within a particular context; evaluation capacity models that describe the dimensions of evaluation capacity; indirect ECB approaches; and models created within developing countries.

## 6 Results of the Search

The search yielded 814 papers: 221 from the database searches, 591 from the targeted journal searches, and two from the hand-searches of reference lists. The title and abstract assessment removed 28 duplicates and 769 non-relevant papers. Seventeen full-text papers were retrieved. The full-text assessment excluded six non-relevant papers and three papers describing an ECB conceptual model presented in another included paper (i.e., content overlap). Eight papers, each describing a unique ECB conceptual model, were retained for critical appraisal (see Appendix B).

## 7 Critical Appraisal

A single reviewer appraised the papers based on:

- the authority of the authors: their expertise in the field of evaluation or ECB; and

- the reputability of the publication source: peer-reviewed, evaluation journal.

The appraisal excluded three papers. It was not appropriate to critically appraise the methodology of the papers. No prescribed method exists for developing conceptual models; they often evolve over time from the insights of researchers. (5)

Each ECB conceptual model was individually analyzed and critiqued using an adaptation of Fawcett's Framework for Analyzing and Evaluating Conceptual Models in Nursing (see Appendix C). (5) The criteria developed for the critique included comprehensiveness of content, conceptual clarity, logical congruence, transferability and utility.

## **8 Description and Critique of Included Papers**

The five ECB conceptual models are:

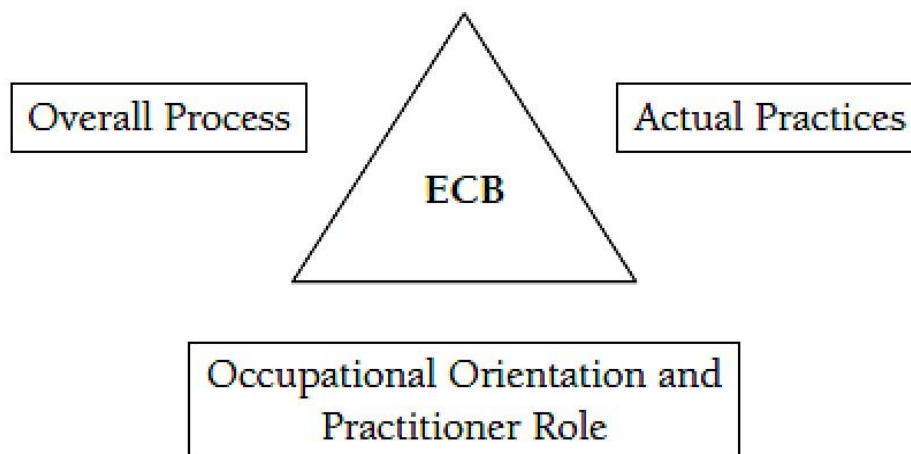
- Stockdill S H, Baizerman M, Compton DW. (2002). Framework of Evaluation Capacity Building. (6)
- Cousins JB, Goh S, Clark S, Lee L. (2004). Evaluation Capacity Building Conceptual Framework. (4)
- Taylor-Powell E, Boyd, HH. (2008). Three-Component Evaluation Capacity Building Framework. (8)
- Preskill H, Boyle S. (2008). Multidisciplinary Model of Evaluation Capacity Building. (11)
- Labin SN, Duffy JL, Meyers DC, Wandersma, A, Lesesne CA. (2012). Integrated Evaluation Capacity Building Model. (12)

Presented below are the descriptions and critiques of the ECB conceptual models. The models are presented in chronological order to illustrate how the conceptualization of ECB evolved over time. The analysis information is presented in the data extraction tables (see Appendix D).

### **Framework of Evaluation Capacity Building (Stockdill SH, Baizerman M, & Compton DW: 2002) (6)**

The purpose of the framework is to provide a foundation for theory development, research and practice, as well as to differentiate ECB from evaluation. The authors created the framework based on insights gathered from their work on evaluation and ECB, ECB case studies, and a review of the ECB literature.

Figure 1: Framework of Evaluation Capacity Building



The framework describes ECB as an intentional, emergent and continuous process. It is represented by three interactive structural elements depicted in a triangle. These elements include:

- the overall process: a context-dependent, intentional ECB action system;
- the actual practices: the ongoing, guided processes and practices for creating and sustaining an ECB action system; and
- the occupational orientation and practitioner role: keeping evaluation as a necessary, routine administrative part of an organization.

### Critique of the Model

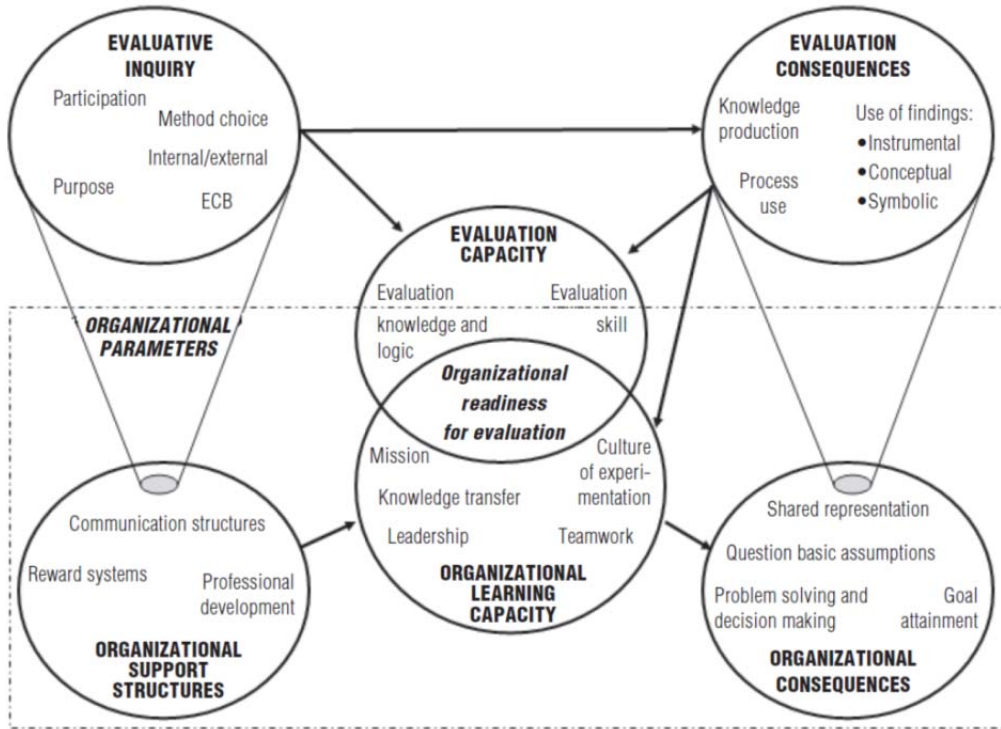
The Framework of Evaluation Capacity Building is comprehensive. The descriptions of the concepts are clear and complete, but somewhat abstract to effectively guide practice. The explication of the relational statements is insufficient. The internal logic is somewhat sound. Further development of the framework would enhance understanding of the relationships between concepts. The framework is transferable to the public health context. The concepts are articulated broadly enough to apply the framework to different organizational settings. The ECB indicators in the Practical Checklist for Site Assessment are specific enough to guide an ECB initiative. (7)

### **Evaluation Capacity Building Conceptual Framework (Cousins JB, Goh SC, Clark S, & Lee LE: 2004) (4)**

The purpose of the framework is to explore the interconnections and linkages between evaluation utilization, ECB and organizational learning. The authors developed the framework based on their previous conceptual work related to participatory evaluation and organizational development and learning. They gathered additional insight for the

framework from an extensive literature review and synthesis of ECB, evaluation use and organizational learning studies.

Figure 2: Evaluation Capacity Building Conceptual Framework



The framework describes evaluation as an organizational learning system where evaluative inquiry serves as a means for developing organizational learning capacity. It depicts key variables (spheres) and the relationships among them (arrows). There are key variables associated with the organization: organizational support structures, organizational learning capacity and organizational consequences. There are also key variables associated with evaluation: evaluation inquiry, evaluation capacity and evaluation consequences.

Organizational support structures facilitate the development of organizational learning capacity, which leads to organizational consequences. Evaluative inquiry builds

evaluation capacity, as well as leads to evaluation consequences. Evaluative consequences, specifically the instrumental, conceptual, and symbolic uses of evaluative findings, are viewed as elements of organizational decision-making, problem solving and learning. Through evaluative inquiry and the use of evaluative findings, the organization develops its evaluation capacity. Evaluation Capacity becomes integrated with organizational learning capacity and is manifested in the development of organizational readiness for evaluation.

### Critique of the Model

The Evaluation Capacity Building Conceptual Framework is somewhat comprehensive; insufficient discussion is given to ECB as a concept. The descriptions of the concepts are complete, but abstractly defined. The relationships among concepts are well delineated, with some stating directional influence. The internal logic is somewhat sound. More empirical evidence is needed to support the concepts and relational statements proposed in the framework. (4) The framework is transferable to the public health context. However, it is too theoretical and does not provide sufficient information about ECB to guide the design and implementation of an ECB initiative.

### **Three-Component Evaluation Capacity Building Framework (Taylor-Powell E & Boyd HH: 2008) (8)**

The purpose of this framework is to understand and evaluate ECB, as well as distinguish between evaluator and ECB practitioner roles. The authors created the

framework based on previous conceptual work by researchers in the field of ECB (9-10) and the authors' research on ECB.

A visual representation of the framework is not available. The framework is represented by three components, each with associated elements. The components are professional development, resources and supports, and organizational environment. These components interact to achieve the following ECB goals:

- to develop and sustain an organization's capacity to conduct and manage effective evaluation projects;
- to build and use evaluation knowledge and skills;
- to foster organizational learning, improvement, and accountability; and
- to create awareness and support for program evaluation.

### Critique of the Model

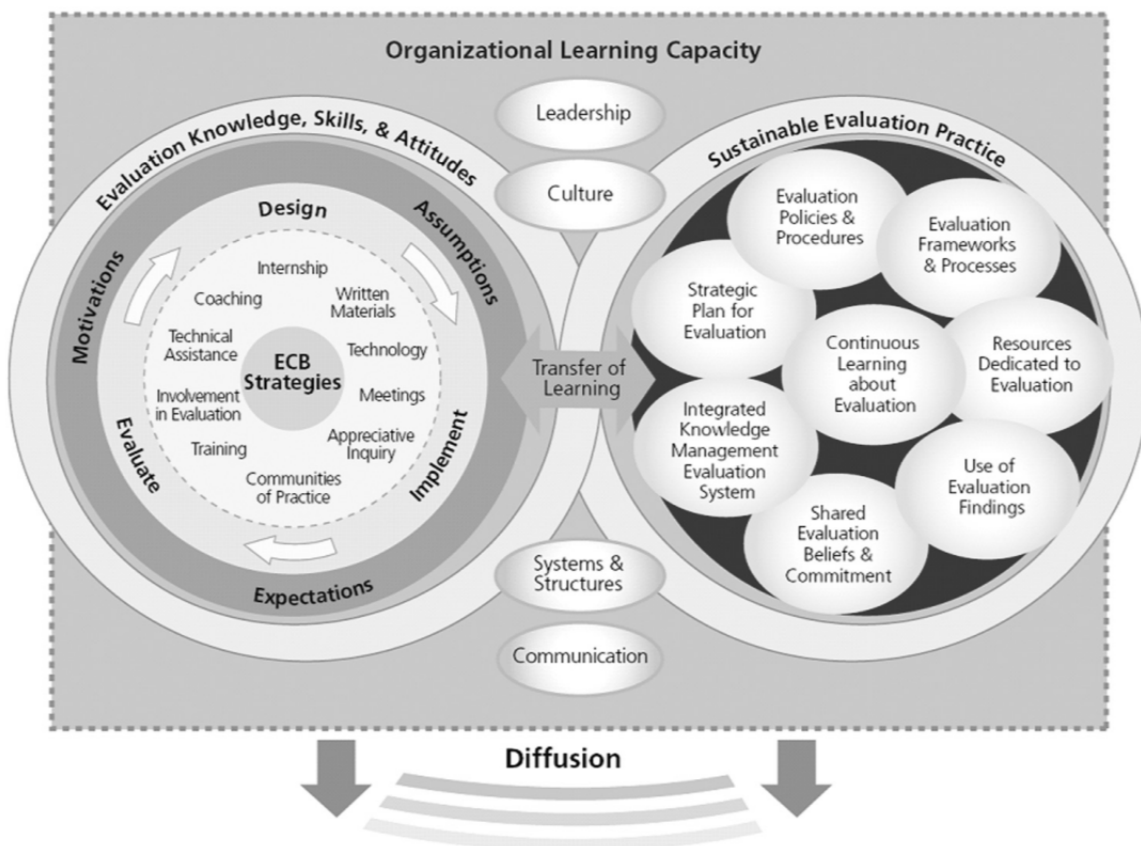
The Three-Component Evaluation Capacity Building Framework is comprehensive. All of the concepts are clearly and completely described, but the explication of relational statements is limited. The internal logic is somewhat sound; it requires a deeper discussion of how the components and elements interact to achieve the ECB goals. The framework is transferable to the public health context. The framework is informative regarding the activities, resources, and supports for ECB. Thus, it is useful as a guide for the design and implementation of an ECB initiative.



**Multidisciplinary Model of Evaluation Capacity Building (Preskill H & Boyle S: 2008) (11)**

The purpose of this model is to address the lack of comprehensive conceptual models to guide ECB efforts and evaluate the effectiveness of ECB processes and activities. The authors created the model from insights gathered from the evaluation; organizational learning and change; and adult learning literatures. Additionally, they conducted a literature review and a research study of ECB to develop the model.

Figure 3: Multidisciplinary Model of Evaluation Capacity Building



The model is depicted visually by two adjacent circles. The left circle represents the initiation, planning, design, and implementation of an ECB effort. It includes:

- the motivations, assumptions, and implicit or explicit expectations regarding the ECB effort;
- the design, implementation, and evaluation of the ECB effort; and
- the ECB strategies for developing individuals' evaluation knowledge, skills, and attitudes.

Motivations, assumptions and expectations affect the design and implementation of ECB activities. The right circle represents the processes, practices, policies and resources required for sustainable evaluation practice.

The left and right circles are connected by a double-sided arrow representing the transfer of learning. Transfer of learning is the application of evaluation learning to the work context. It links ECB to sustainable evaluation practice. The circles are embedded within the organizational learning capacity of the system. Organizational learning capacity includes elements of an organization's leadership, culture, systems and structures, and communications that support evaluation. It influences the development and sustainment of evaluation practice. The diffusion arrows signify that as individuals learn about evaluation, they have the potential to share their knowledge, skills, and attitudes with diverse audiences.

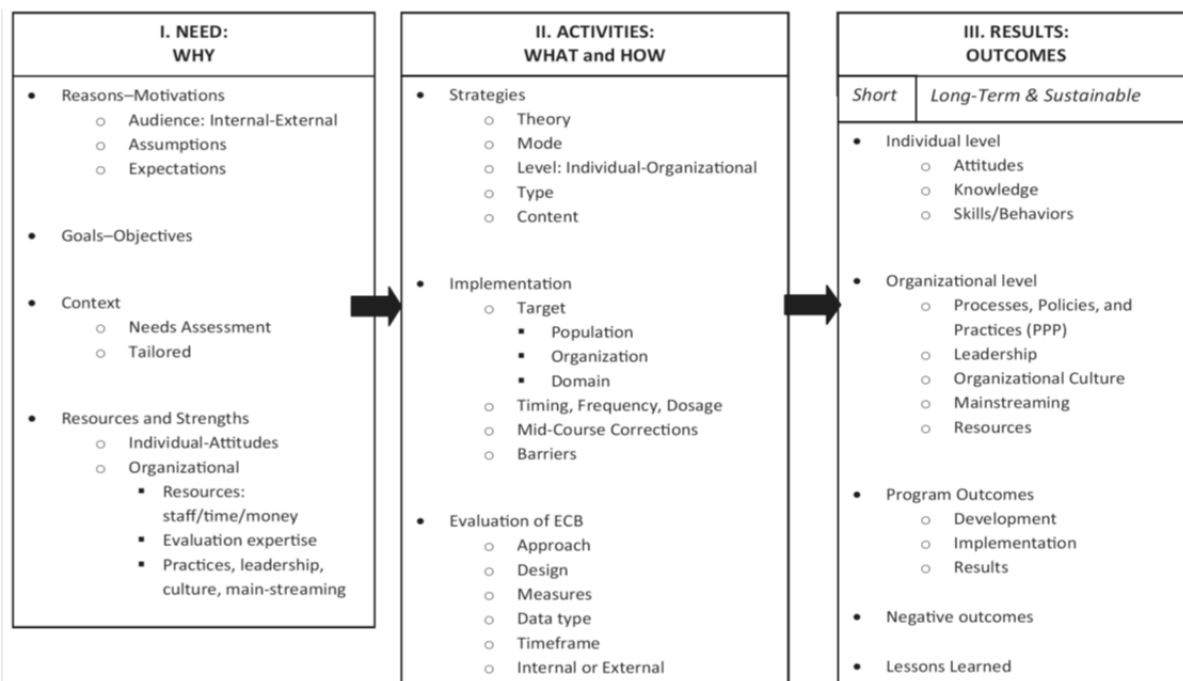
### Critique of the Model

The Multidisciplinary Model of ECB is comprehensive. All of the concepts are clear and completely described. The relationships among concepts are well delineated, with some stating directional influence. The internal logic is sound. The model is transferable to the public health context. The model is articulated in a clear and instructive manner, which makes it useful to guide the design and implementation of an ECB initiative.

**The Integrated Evaluation Capacity Building Model (Labin SN, Duffy JL, Meyers DC, Wandersman A, & Lesesne C: 2012) (12)**

The purpose of this model was to guide data extraction for a broad-based research synthesis of the ECB empirical literature. The authors created the model from existing ECB models, and a review of the theoretical and empirical ECB literature. They further developed the model based the broad-based research synthesis; construct mapping of ECB measurement tools; and factor analysis on ECB organizational outcomes. (13)

Figure 4: Integrated Evaluation Capacity Building Model (12)



\* Collaborative and participatory aspects and processes should be included in defining and operationalizing nearly all elements of the 18 model.

The model is represented as a basic linear logic model of need-activities-outcomes. Although it implies a causal direction from left to right, it acknowledges the dynamic, iterative process of ECB. The need reflects the motivations, goals, context, and resources and strengths for ECB. The need affects the selection, design and implementation of ECB activities. Activities are strategies to build evaluation capacity. They are categorized by implementation specifics, such as mode of delivery. Mediators, such as organizational capacity, influence the effectiveness of activities on outcomes. Outcomes include individual-level, organizational-level and program outcomes. Individual-level and organizational-level outcomes lead to program outcomes.

### Critique of the Model

The Integrated Evaluation Capacity Building Model is comprehensive. All concepts are completely described. There is a lack of clarity regarding additions to the model that emerged out of the broad-based research synthesis. The relationships among concepts are well delineated, with some stating directional influence. The internal logic is somewhat sound; however, the assertion that ECB leads to program-level outcomes is theoretically questionable. The model is transferable to the public health context. It provides adequate instruction to guide the design and implementation of an ECB initiative.

## **9 Synthesis of Findings**

- **ECB enhances an organization's capability to routinely conduct high-quality evaluations and use the results for decision-making.** The five conceptual models were derived from different definitions of ECB. All of the definitions include similar

ECB outcomes, including regularly conducting evaluations and using the results for program and organizational decision-making.

- **The five ECB conceptual models contain common elements that provide a solid foundation for designing and implementing an ECB initiative. These elements include:**
  - **drivers of ECB**, such as external mandates for accountability;
  - **organizational factors that mediate the effect of ECB strategies on ECB outcomes**, such as organizational learning capacity;
  - **organizational factors that support developing and sustaining evaluation practice**, such as access to technology;
  - **individual factors that contribute to effective evaluation practice**, such as evaluation knowledge and skills; and
  - **ECB strategies that develop the individual factors**, such as evaluation training.
- **Three of the ECB conceptual models were identified as strong resources to inform an ECB initiative. The three conceptual models are the Three-Component Evaluation Capacity Building Framework, (13) Multidisciplinary Model of Evaluation Capacity Building, (10) and Integrated Evaluation Capacity Building Model. (12)** Table 1 displays a summary of the critiques of the ECB conceptual models. All three conceptual models are comprehensive, transferable to

the public health context and useful to guide practice. The Multidisciplinary Model of Evaluation Capacity Building completely fulfills the criteria of conceptual clarity and logical congruence. The Three-Component Evaluation Capacity Building Framework and Integrated Evaluation Capacity Building Model only partially fulfill these criteria.

Table 1: Critique of the ECB Conceptual Models

Model	Comprehensiveness of Content	Conceptual Clarity	Logical Congruence	Transferability	Utility
<b>Framework of ECB</b> (Stockdill, Baizerman, & Compton)	***	**	**	***	**
<b>ECB Conceptual Framework</b> (Cousins et al.)	*	**	**	***	*
<b>Three-Component ECB Framework</b> (Taylor-Powell & Boyd)	***	**	**	***	***
<b>Multidisciplinary Model of ECB</b> (Preskill & Boyle)	***	***	***	***	***
<b>Integrated ECB Model</b> (Labin et al.)	***	**	**	***	***

Legend: \*=minimally fulfills criteria, \*\*=partially fulfills criteria, \*\*\*=completely fulfills criteria

- **Preskill and Boyle’s Multidisciplinary Model of Evaluation Capacity Building was judged to be the best conceptual model to guide the design and implementation of an ECB initiative at the ROP–PH. This model was selected because it is:**
  - **Comprehensive**—includes all of the main ECB concepts.

- **Clear and accessible**—enables staff with varying levels of evaluation and ECB knowledge to understand how to develop evaluation capacity and communicate about their efforts effectively.
- **Logically congruent and supported by theoretical and empirical literature**—instills confidence that ECB efforts informed by the model will be successful.
- **Transferable**—offers flexibility for individuals to apply the model to their organizational context and in response to the organization’s motivations and expectations for ECB.
- **Useful**—provides detailed instruction on what to consider when designing an ECB effort. This makes it an effective resource to guide the design and implementation of an ECB initiative.

## **10 Applicability and Transferability**

On November 9, 2017, the ROP–PH held an Applicability and Transferability meeting to discuss the use of the Multidisciplinary Model of Evaluation Capacity Building to guide the ECB initiative. The attendees included some members of the E2EPHP Steering Committee, and Managers from each Division who oversee staff responsible for conducting evaluations.

### **Political Acceptability**

Increasing the capacity to conduct and use high-quality evaluations supports the E2EPHP strategic priority. It also facilitates compliance with the Ontario Public Health Standards. Demonstrating program effectiveness is an expectation at the ROP–PH. A successful ECB initiative could position the ROP–PH as a leader in public health evaluation within the province.

### **Organizational Expertise and Capacity**

The ROP–PH recognizes the need to build internal evaluation capacity. Program evaluation is a core public health competency and ECB supports the development of a skilled workforce. ECB will create a consistent evaluation practice, which will produce quality evaluation data and results for program planning, implementation and improvement.

### **Social Acceptability**

Applying change management principles will be critical to developing and implementing the ECB initiative. ECB strategies to develop evaluation knowledge and skills must recognize and honour existing evaluation competencies. A successful ECB initiative will incorporate lessons learned from previously implemented components of E2EPHP, such as evidence-informed decision-making and numeracy. Extensive consultation will facilitate acceptance and uptake.

### **Available Essential Resources**

Key considerations for tailoring the Multidisciplinary Model of Evaluation Capacity Building for the ROP–PH:



- Define evaluation. Outcomes should include the capability to do and use evaluation.
- Determine the scope of the evaluation function (e.g., programs, complex strategic initiatives, policy). It should be distinguished from and linked to other processes such as program planning, continuous quality improvement and performance measurement.
- Identify the evaluation structure early in the ECB initiative. Responsibility for program evaluation differs among Divisions (i.e., Health Promoters, Analysts). There is uncertainty about who will lead and participate in evaluation projects. A team-based structure could be an effective strategy. It would alleviate concerns and effectively utilize existing skillsets. It would require clear role delineation from front-line to senior leadership, supported by a strong and transparent rationale.
- Early and ongoing communications about the ECB initiative is important. Communications should be clear and broadly disseminated to staff involved in evaluation, as well as those impacted by evaluation (e.g., front-line staff).

## **Proposed Direction**

Attendees agreed with the recommendation to use the Multidisciplinary Model of Evaluation Capacity Building to inform the ECB initiative at the ROP–PH. The model is clearly articulated and the terminology should resonate with staff. Additionally, the model appears to align with other processes within the department (e.g., continuous quality improvement). A more explicit analysis of barriers to ECB would improve the model.

## 11 Recommendations

1. Use Preskill and Boyle's Multidisciplinary Model of Evaluation Capacity Building to inform the planning, design, implementation and evaluation of the ECB initiative.
2. Develop a strategic communication plan for the ECB conceptual model.
3. Determine the evaluation function and structure early in the ECB initiative. Consult extensively with staff across the department to elicit their input.
  - a. Differentiate the evaluation function from program planning, quality improvement and performance measurement, but ensure it is linked to these processes.
  - b. Consider a team-based approach for the evaluation structure. Clearly delineate roles based on a strong and transparent rationale.
4. Develop a comprehensive communication plan for the implementation of the ECB initiative, including those responsible, as well as those impacted by evaluation.

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## **Appendices**

**Appendix A: Search Strategy**

**Appendix B: Literature Search Flowchart**

**Appendix C: Framework for the Analysis and Critique of ECB Conceptual Models**

**Appendix D: Data Extraction Tables**

**Appendix E: Applicability and Transferability Worksheet**

## Appendix A: Search Strategy

### Ovid Search

Database: EBM Reviews - ACP Journal Club <1991 to August 2017>, EBM Reviews - Cochrane Database of Systematic Reviews <2005 to September 7, 2017>, EBM Reviews - Cochrane Methodology Register <3rd Quarter 2012>, EBM Reviews - NHS Economic Evaluation Database <1st Quarter 2016>, Ovid Healthstar <1966 to July 2017>, Ovid MEDLINE(R) <1946 to August Week 5 2017>, Ovid MEDLINE(R) In-Process & Other Non-Indexed Citations <September 11, 2017>, PsycINFO <1987 to September Week 1 2017>

Search Strategy:

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- 1 exp "evaluation studies as topic"/ (1122257)
- 2 exp evaluation/ (1207451)
- 3 evaluation.ti,ab. (1535351)
- 4 1 or 2 or 3 (2559601)
- 5 (capacity adj2 build\*).ti,ab. (9331)
- 6 exp capacity building/ (2136)
- 7 5 or 6 (10423)
- 8 4 and 7 (2513)
- 9 framework\*.ti,ab. (405395)
- 10 model\*.ti,ab. (3350640)
- 11 9 or 10 (3630647)
- 12 8 and 11 (955)

- 13 remove duplicates from 12 (682)
- 14 limit 13 to yr="2000 -Current" (667)
- 15 evaluat\*.ti. (725800)
- 16 14 and 15 (170)

\*\*\*\*\*

### Sociological Abstracts Search

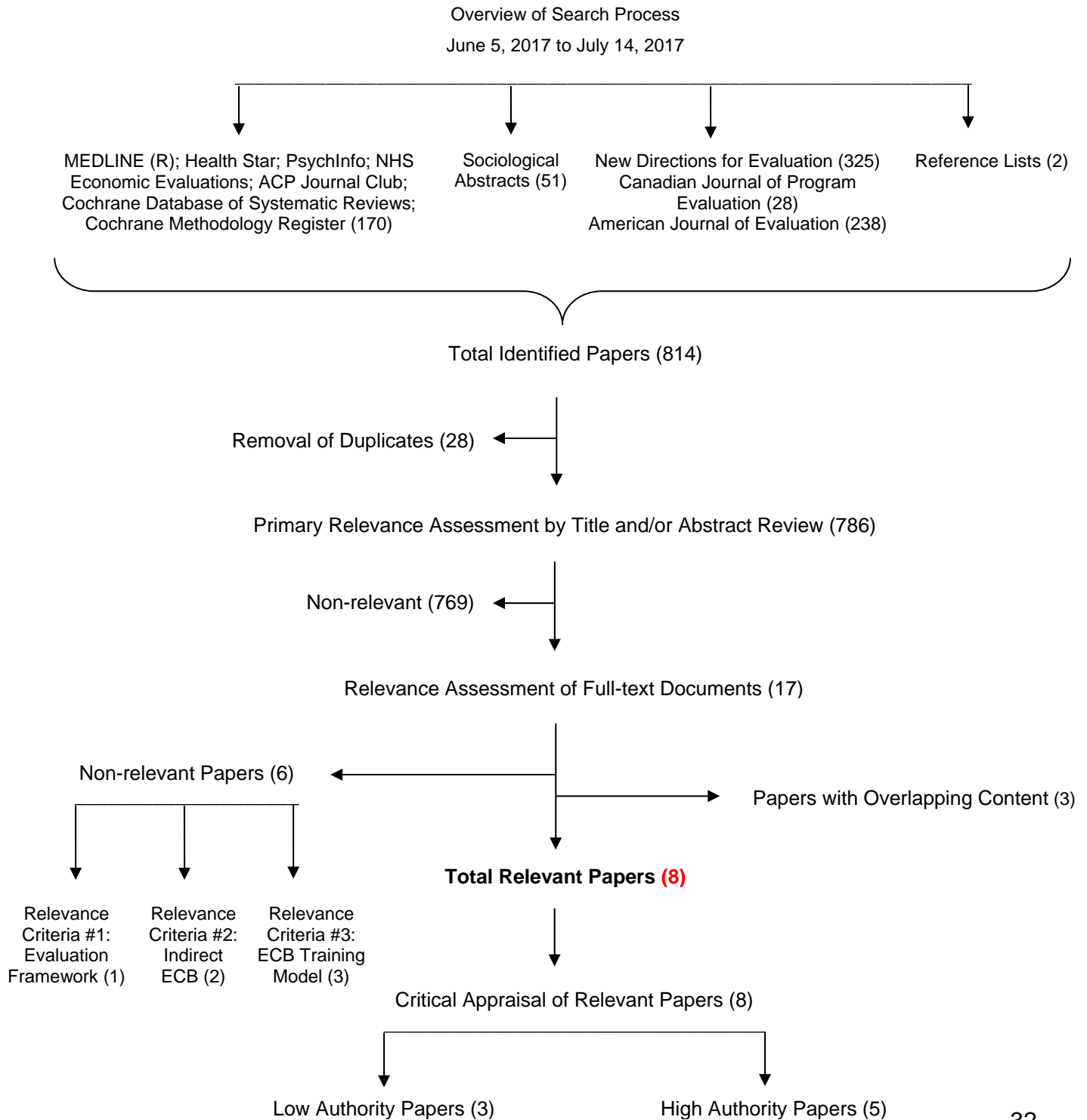
S6	S3 AND S4	<b>Limiters - Date</b> of Publication: 20000101- 20171231  <b>Search modes</b> - Boolean/Phrase	<b>View Results (51)</b>  <b>View Details</b>  <b>Edit</b>
<input type="checkbox"/>	S5	S3 AND S4	<b>Search modes</b> - Boolean/Phrase  <b>View Results (57)</b>  <b>View Details</b>  <b>Edit</b>
<input type="checkbox"/>	S4	AB framework* OR AB model*	<b>Search modes</b> - Boolean/Phrase  <b>View Results (215,594)</b>  <b>View Details</b>

				<b>Edit</b>
<input type="checkbox"/>	S3	S1 AND S2	<b>Search modes</b> Boolean/Phrase	- <b>View Results</b> (220)  <b>View Details</b>  <b>Edit</b>
<input type="checkbox"/>	S2	AB capacity N2 build*	<b>Search modes</b> Boolean/Phrase	- <b>View Results</b> (1,719)  <b>View Details</b>  <b>Edit</b>
<input type="checkbox"/>	S1	AB evaluation OR TI evaluat*	<b>Search modes</b> Boolean/Phrase	- <b>View Results</b> (70,626)  <b>View Details</b>  <b>Edit</b>



# Appendix B: Literature Search Flowchart

What conceptual framework(s) or model(s) could guide the design and implementation of an evaluation capacity building (ECB) initiative?



## Appendix C: Framework for the Analysis and Critique of ECB Conceptual Models

Below describes how Fawcett’s Framework for Analyzing and Evaluating Conceptual Models in Nursing was adapted to analyze and critique the ECB conceptual models. (5) For the critique, criteria were developed from Fawcett’s questions for evaluation. The selection among Fawcett’s questions for evaluation was based on the relevance to ECB. Other topics may include or eliminate a different set of questions. Each conceptual model was qualitatively assessed against the criteria to determine whether the model minimally, partially or completely fulfills the criteria.

Questions for Analysis		
Fawcett’s Questions	Adapted Questions	Rationale for Adaptation
<ul style="list-style-type: none"> <li>• What is the historical evolution of the conceptual model?</li> <li>• What approach to development of nursing knowledge does the model exemplify?</li> </ul>	<ul style="list-style-type: none"> <li>• What was the approach to development of the ECB conceptual model?</li> </ul>	<ul style="list-style-type: none"> <li>• Investigating the historical evolution of a conceptual model requires searching for and analyzing all of an author’s work that led to developing the model. This is beyond the scope of a Rapid Review.</li> <li>• The analysis focused on the model development information presented in the included paper and any companion papers.</li> </ul>

<ul style="list-style-type: none"> <li>• How are the four essential concepts of nursing explicated in the model? <ul style="list-style-type: none"> <li>• How is person defined and described?</li> <li>• How is the environment defined and described?</li> <li>• How is health defined? How are wellness and illness differentiated?</li> <li>• How is nursing defined? What is the goal of nursing? How is the nursing process described?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• How are the main concepts of ECB explicated in the model? <ul style="list-style-type: none"> <li>• How is ECB defined?</li> <li>• How are the drivers of ECB defined and described?</li> <li>• How are the supports for ECB defined and described?</li> <li>• How are the mediators of ECB defined and described?</li> <li>• How are ECB activities defined and described?</li> <li>• How are ECB outcomes defined and described?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The essential concepts of nursing are not applicable to ECB.</li> <li>• The concepts included for analysis are those related to ECB repeatedly discussed in the literature.</li> </ul>
<ul style="list-style-type: none"> <li>• What statements are made about the relationship among the four concepts?</li> </ul>	<ul style="list-style-type: none"> <li>• What statements are made about the relationships among the main concepts?</li> </ul>	<ul style="list-style-type: none"> <li>• Adaptation to the question was not necessary.</li> </ul>

<ul style="list-style-type: none"><li>• With what problems is the conceptual model concerned?</li><li>• What is the source of these problems?</li></ul>	<ul style="list-style-type: none"><li>• None</li></ul>	<ul style="list-style-type: none"><li>• All of the conceptual models are concerned with the lack of/limited evaluation capacity within organizations. The models identify similar sources of this problem (e.g., lack of technical skill, lack of resources). Therefore, this question does not provide model specific information for analysis.</li></ul>
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**Questions for Evaluation**

<b>Fawcett's Questions</b>	<b>Adapted Questions</b>	<b>Rationale for Adaptation</b>	<b>Derived Criteria</b>
<ul style="list-style-type: none"> <li>Are the biases and values underlying the conceptual model made explicit?</li> </ul>	<ul style="list-style-type: none"> <li>None</li> </ul>	<ul style="list-style-type: none"> <li>The philosophical underpinnings of the conceptual models are not pertinent to selecting a model to guide the design and implementation of an ECB initiative.</li> </ul>	<ul style="list-style-type: none"> <li>None</li> </ul>
<ul style="list-style-type: none"> <li>Is the conceptual model comprehensive enough to provide general guides for practice, research, education and administration?</li> </ul>	<ul style="list-style-type: none"> <li>Is the conceptual model comprehensive enough to provide general guides for practice, research, education and administration?</li> </ul>	<ul style="list-style-type: none"> <li>Adaptation to the question was not necessary.</li> </ul>	<p>Comprehensiveness of Content</p> <ul style="list-style-type: none"> <li>Comprehensiveness of content refers to the extensiveness of the concepts presented in the model. A model is comprehensive when it includes key concepts identified in the literature for successfully building evaluation capacity. These include ECB drivers, supports, mediators, activities and outcomes.</li> </ul>

<ul style="list-style-type: none"> <li>• Does the conceptual model provide complete descriptions of all four essential concepts of nursing?</li> <li>• Do the basic assumptions completely link the four concepts?</li> </ul>	<ul style="list-style-type: none"> <li>• Does the conceptual model provide complete descriptions of all main ECB concepts?</li> <li>• Do the basic assumptions completely link the ECB concepts?</li> </ul>	<ul style="list-style-type: none"> <li>• Adaptation to the questions was not necessary.</li> </ul>	<p style="text-align: center;">Conceptual Clarity</p> <ul style="list-style-type: none"> <li>• Conceptual Clarity refers to the clarity and completeness of the concept and relational statement descriptions within the model. A model has conceptual clarity when all concepts in the model are clearly and completely defined and the relational statements among concepts are well delineated.</li> </ul>
<ul style="list-style-type: none"> <li>• Is the internal structure of the conceptual model logically consistent?</li> <li>• Does the conceptual model reflect the characteristics of its category type?</li> <li>• Do the components of the model reflect logical translation of diverse perspectives?</li> </ul>	<ul style="list-style-type: none"> <li>• Is the internal structure of the conceptual model logically congruent and supported by the literature?</li> </ul>	<ul style="list-style-type: none"> <li>• Nursing models are categorized according to the discipline from which they were derived. Each of these categorizations has distinct characteristics that shape the organization of knowledge and methodologies for application. Consistency is important when different characterizations of the essential concepts are incorporated in one model. (5) This is not true of ECB conceptual models.</li> </ul>	<p style="text-align: center;">Logical Congruence</p> <ul style="list-style-type: none"> <li>• Logical Congruence refers to the soundness of the internal logic of the model. A model is logically congruent when it flows directly from the definition of ECB and the relationships among concepts are supported by theory (e.g., well-established capacity building or organizational development theories) and/or evidence (e.g., ECB empirical research or literature reviews).</li> </ul>

<ul style="list-style-type: none"> <li>• Does the conceptual model lead to nursing activities that meet social expectations or do the expectations created by the conceptual model require societal changes?</li> <li>• Does the conceptual model lead to nursing actions that make important differences in the client's health status?</li> </ul>	<ul style="list-style-type: none"> <li>• Can the conceptual model be implemented within a public health context without significant modification?</li> </ul>	<ul style="list-style-type: none"> <li>• Concerns over social expectations or changes are not pertinent to selecting an ECB model. However, organizational expectations or changes are relevant. Therefore, it is important to consider whether an ECB model is transferable to the organizational context wherein evaluation capacity is built.</li> <li>• There is a lack of empirical testing or validation of ECB conceptual models and rigorous evaluation of ECB efforts. It would be difficult to assess, with certainty, whether a particular ECB model leads to actions that make a difference in an organization's evaluation capacity. However, literature may support the assumptions within the model.</li> </ul>	<p style="text-align: center;">Transferability</p> <ul style="list-style-type: none"> <li>• Transferability refers to the applicability and relevance of the model to various contexts (e.g., organizations of different types and sizes). A model is transferable if it can be used for ECB at the ROP-PH without significant modification.</li> </ul>
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<ul style="list-style-type: none"> <li>• Does the conceptual model generate empirically testable theories?</li> <li>• Do tests of derived theories yield evidence in support of the model?</li> <li>• What is the overall contribution of this conceptual model to the body of nursing knowledge?</li> </ul>	<ul style="list-style-type: none"> <li>• Does the conceptual model provide guidance on how to design and implement an ECB initiative within an organization?</li> </ul>	<ul style="list-style-type: none"> <li>• The intended use of the ECB conceptual model is for practice, not theory or knowledge development. Whether the model generates testable theories or contributes to the body of ECB knowledge is not pertinent to selecting a model to guide the design and implementation of an ECB initiative.</li> </ul>	<p style="text-align: center;">Utility</p> <ul style="list-style-type: none"> <li>• Utility refers to the applicability of the ECB conceptual model to real world practice. A model is useful if it assists an ECB practitioner to understand the context wherein evaluation capacity is being built and provides guidance on how to design and implement an ECB initiative.</li> </ul>
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## Appendix D: Data Extraction Tables

General Information and Quality Assessment: Paper #1	
<b>Author(s) and Publication Date</b>	Stockdill SH, Baizerman M, & Compton DW, 2002
<b>ECB Model Name</b>	Framework for Evaluation Capacity Building
<b>Journal</b>	New Directions for Evaluation
<b>Country</b>	United States of America
<b>Quality Assessment</b>	Strong based on the authority of the author and reputability of the publication source.
Development of the ECB Model	
<b>Purpose</b>	To present a conceptual framework for theory development, research, and practice, as well as to differentiate ECB from evaluation.
<b>Process</b>	Informed by the authors' work, ECB cases studies in diverse organizations (e.g., health protection agency, cancer organization, school district and financial institution) and the ECB literature*.
Main Concepts of the ECB Model	
<b>Definition of ECB</b>	ECB “is a context-dependent intentional action system of guided processes and practices for bringing about and sustaining a state of affairs in which quality program evaluation and its appropriate uses are ordinary and ongoing practices within and/or between one or more organizations/programs/sites”. (p. 8)
<b>Drivers of ECB</b>	<ul style="list-style-type: none"> <li>• <b>Broad-based demand</b>—the source, as well as the goal for evaluation and ECB (i.e., creation of demand leads to evaluation and ECB).</li> </ul>

<p><b>Supports for ECB</b></p>	<ul style="list-style-type: none"> <li>• <b>Guided</b>—refers to facilitating the creation and sustentation of the ECB action system.</li> <li>• <b>State of affairs</b>—all that is necessary in a particular organization for evaluation work to be done and used.</li> <li>• <b>Within and/or between one or more organizations/programs/sites</b>—the intra- and inter-organizational contexts, programs and sites (e.g., communities, collaborative partners) wherein ECB occurs.</li> <li>• <b>Resources</b>—the financial and human resources (e.g., an ECB practitioner with some level of authority to facilitate and manage the ECB process) needed to facilitate and sustain ECB.</li> </ul>
<p><b>Mediators of ECB</b></p>	<ul style="list-style-type: none"> <li>• <b>Broad stakeholder base</b>—a broad stakeholder base is needed to create and sustain ECB.</li> <li>• <b>Demand and purpose of evaluation</b>—alignment between the source and type of demand and the purpose of evaluation is needed for ECB to be effective.</li> <li>• <b>Evaluation approaches</b>—a variety of evaluation approaches and methodologies to facilitate the adoption of evaluation as routine practice.</li> </ul>
<p><b>ECB Activities</b></p>	<ul style="list-style-type: none"> <li>• <b>Intentional action system</b>—refers to ECB being done by joining with others in ongoing collaboration and other forms of alliances and political relationships that, over time, show regularities that are presented as purposive systems.</li> <li>• <b>Process</b>—the overall intentional effort to create and sustain an ECB action system. There is not a single ECB process or practice, rather a family of processes and practices.</li> <li>• <b>Practices</b>—the everyday ways of carrying out ECB.</li> <li>• <b>Bring about</b>—creating and sustaining the state of affairs in which evaluation is used now and in the future. The term sustaining denotes that ECB is never complete, but an ongoing</li> </ul>

	process.
<b>ECB Outcomes</b>	<ul style="list-style-type: none"> <li>• A state of affairs in which quality program evaluation and its appropriate uses are ordinary and ongoing practices.</li> <li>• <b>Quality program evaluation</b>—the expert and professional practice of evaluation carried out following the Joint Committee’s Standards and other relevant guides.</li> <li>• <b>Appropriate uses</b>—the multiple ways evaluation can be used over time by stakeholders and others, including conceptual, process and instrumental uses.</li> <li>• <b>Ordinary practices</b>—the regular and accepted ways that evaluation work is done. Once institutionalized as an ordinary process, evaluation and its uses are considered mainstreamed.</li> </ul>
<b>Relational Statements</b>	
<ul style="list-style-type: none"> <li>• Overall process, actual practices, and occupational orientation and practitioner role are interactive.</li> <li>• ECB is context-dependent—whether and how ECB is carried out depends on the realities (structure, culture and practices) of each particular organization or site.</li> <li>• For ECB to be successful there must be a supportive culture with a positive and normative understanding given to ECB work as, “this is how things should be done around here.”</li> <li>• ECB activities must be seen as part of a larger process linking organization or site goals, activities, resources to ongoing program evaluation and its uses.</li> </ul>	

\*Supplementary information extracted from the companion paper. (7)

<b>General Information and Quality Assessment: Paper #2</b>	
<b>Author(s) and Publication Date</b>	Cousins JB, Goh, SC, Clark S, & Lee LE, 2004
<b>ECB Model Name</b>	Evaluation Capacity Building Conceptual Framework
<b>Journal</b>	The Canadian Journal of Program Evaluation
<b>Country</b>	Canada
<b>Quality Assessment</b>	Strong based on the authority of the author and reputability of the publication source.
<b>Development of the ECB Model</b>	
<b>Purpose</b>	To explore the interconnections and linkages among developments in the domains of evaluation utilization, evaluation capacity building and organizational learning.
<b>Process</b>	Informed by the authors' previous conceptual work related to participatory evaluation and organizational development and learning, as well as an extensive literature review and synthesis of ECB case studies, evaluation use studies and organizational learning studies conducted in different types of organizations (e.g., government, childcare, education, social services, healthcare, public health and financial) within various countries (e.g., Canada, USA, UK, Australia).
<b>Main Concepts of the ECB Model</b>	
<b>Definition of ECB</b>	ECB "is a context-dependent, intentional action system of guided processes and practices for bringing about and sustaining a state of affairs in which quality program evaluation and its appropriate uses are ordinary and ongoing practices within and/or between one or more organizations/programs/sites". (6, p.8)

<b>Drivers of ECB</b>	<ul style="list-style-type: none"> <li>• No specific drivers are articulated in the model.</li> </ul>
<b>Supports for ECB</b>	<ul style="list-style-type: none"> <li>• <b>Evaluation capacity</b>—the organizational processes and practices that are in place to make quality evaluation and its uses routine.</li> <li>• <b>Organizational support structures</b>—structures that foster organizational learning capacity, including: job formalization and the acquisition of relevant knowledge and skills by organization members; reward systems (i.e., formal and informal incentive mechanisms); communication structures (i.e., that facilitate the horizontal and vertical flow of knowledge and information); and professional development activities (i.e., formal and informal activities).</li> </ul>
<b>Mediators of ECB</b>	<ul style="list-style-type: none"> <li>• <b>Organizational learning capacity</b>—an organization’s capacity for learning defined by the following core building blocks: <ul style="list-style-type: none"> <li>• Mission and vision—clarity and employee support of the mission, strategy and values of the organization.</li> <li>• Leadership—leadership that is perceived as empowering employees, encouraging an experimenting culture and showing strong commitment to the organization.</li> <li>• Experimentation—a strong culture of experimentation that is rewarded and supported at all levels in the organization.</li> <li>• Transfer of knowledge—the ability of an organization to transfer knowledge within and from outside the organization and to learn from failures.</li> <li>• Teamwork and cooperation—an emphasis on teamwork and group problem solving as the mode of operation and for developing innovative ideas.</li> </ul> </li> </ul>
<b>ECB Activities</b>	<ul style="list-style-type: none"> <li>• <b>Evaluative inquiry</b>—an organizational support structure that can be supported by other</li> </ul>

	<p>organizational support structures, such as professional development, resources and infrastructure. It is defined by its purpose (e.g., judgement-oriented exercise, improvement-oriented exercise), level of stakeholder participation, methods employed (e.g., qualitative, quantitative) and ECB activities.</p>
<p><b>ECB Outcomes</b></p>	<ul style="list-style-type: none"> <li>• <b>Organizational learning</b>—an organization’s ability to learn and adapt to rapidly changing environments.</li> <li>• <b>Organizational consequences</b>—refers to the development among organization members of shared mental representations or understandings of the organization and how it operates. It ranges from low-level, first-order, or single-loop organizational learning where change is incremental, to high-level, second-order, or double-loop learning where fundamental assumptions about the organization and its operation are brought to the surface, questioned and altered.</li> <li>• <b>Evaluation consequences</b>—refers to a special case of organizational consequences, including knowledge production, the use of produced knowledge (i.e., instrumental uses such as support for discrete decisions; conceptual uses such as enlightenment and learning; and symbolic uses such as persuasion and compliance) and process use (i.e., the consequence of stakeholder engagement in evaluation wherein stakeholders develop in ways that are independent of the findings and knowledge emerging from the evaluative inquiry, such as the development of research skills or the capacity for self-critique).</li> <li>• <b>Organizational readiness for evaluation</b>—refers to state in which evaluation capacity becomes integrated within the organizational culture.</li> </ul>
<p><b>Relational Statements</b></p>	

- Individual learning by organization members is necessary for organizational learning to occur.
- The organizational learning capacity building blocks are interdependent and mutually supportive conditions within a learning organization.
- The organizational learning capacity building blocks depend on organizational support structures.
- Organizational learning capacity determines the extent to which organizational consequences occur.
- ECB is a special case of evaluative inquiry. ECB activities associated with developing infrastructure, processes and procedures to develop evaluation capacity represent interventions that have a distinct evaluative component. Thus evaluative inquiry can lead to various forms of utilization (evaluation consequences) and more directly to building evaluation capacity.
- Process use is an indirect mode of evaluative inquiry that leads to the development of evaluation capacity.
- Through sustained evaluation inquiry—continued and routine use of evaluation findings and processes—evaluation capacity becomes integrated within the organizational culture.

General Information and Quality Assessment: Paper #3	
<b>Author(s) and Publication Date</b>	Taylor-Powell E & Boyd HH, 2008
<b>ECB Model Name</b>	Three-Component Framework of Evaluation Capacity Building
<b>Journal</b>	New Directions for Evaluation
<b>Country</b>	United States of America
<b>Quality Assessment</b>	Strong based on the authority of the author and reputability of the publication source.
Development of ECB Model	
<b>Purpose</b>	To develop a framework for understanding and evaluating ECB, as well as distinguishing between evaluator and ECB practitioner roles.
<b>Process</b>	Informed by previous conceptual work by researchers in the field of ECB (9–10) and the authors' research on ECB in Cooperative Research, Education and Extension Service organizations.
Main Concepts of the ECB Model	
<b>Definition of ECB</b>	ECB is “the intentional work to continuously create and sustain overall organizational processes that make quality evaluation and its uses routine”. (6, p.14)
<b>Drivers of ECB</b>	<ul style="list-style-type: none"> <li>• <b>External pressures</b>—external accountability requirements and demands to demonstrate impact (e.g., demand from funders).</li> <li>• <b>Internal pressures</b>—desire to be a learning organization; to develop and use the intellectual capital of staff; and to promote critical inquiry and ethical conduct.</li> <li>• <b>Organizational culture pressures</b>—cultural expectations to engage in evidence-based practice.</li> </ul>



<p><b>Supports for ECB</b></p>	<ul style="list-style-type: none"> <li>• <b>Resources and supports</b>—refers to the necessary resources and supports to sustain evaluation within an organization.</li> <li>• <b>Evaluation and ECB expertise</b>—a dedicated person within or contracted from outside an organization with expertise to support evaluation and ECB.</li> <li>• <b>Evaluation materials</b>—practical and learner-customized evaluation materials that support professional development, facilitate self-learning and offer guidance for organizational ECB (e.g., how-to guides, tip sheets, case studies and training manuals).</li> <li>• <b>Evaluation champions</b>—individuals within an organization identified to help grow the evaluation culture by communicating the value of evaluation and sharing ECB responsibilities.</li> <li>• <b>Organizational assets</b>—internal or external relationships, partnerships and networks that increase resources for evaluation and guard against compartmentalization of evaluation within an organization.</li> <li>• <b>Financing</b>—refers to fiscal resources dedicated to support evaluation activities. Fiscal resources serve as both a signal and toll of ECB.</li> <li>• <b>Technology</b>—technologies that support professional development (e.g., website that houses evaluation materials and online training), evaluation (e.g., survey software) and localized communications to reinforce the value of evaluation to stakeholders.</li> <li>• <b>Time</b>—time dedicated to evaluation, including evaluation-related time designations in job responsibilities, work plans, contracts and grants</li> </ul>
<p><b>Mediators of ECB</b></p>	<ul style="list-style-type: none"> <li>• <b>Organizational environment</b>—refers to a favourable environment that supports evaluation and ECB.</li> </ul>

- |  |   |
|--|---|
|  | <ul style="list-style-type: none"><li>• <b>Leadership</b>—key leaders that actively support and convey their support of evaluation and ECB to others within an organization (e.g., express the purpose and value of ECB to others, set evaluation expectations, and use evaluation results). Leaders share the responsibility for ECB and find ways to integrate evaluation into organizational life.</li><li>• <b>Demand</b>—internal organizational demand for evaluation.</li><li>• <b>Incentives</b>—incentives that motivate organizational members to engage in evaluation (e.g., performance management).</li><li>• <b>Structures</b>—structures that support successful ECB, which include:<ul style="list-style-type: none"><li>• communication structures that facilitate the horizontal and vertical flow of information across the entire organization;</li><li>• team program structures, organized around issues, that break down silos and facilitate collective action, collaborative inquiry and group problem solving; and</li><li>• data management systems that facilitate the creation, management, and use of data and data collection instruments.</li></ul></li><li>• <b>Policies and procedures</b>—a variety of explicit and implicit rules and procedures that guide evaluation expectations, decisions and actions.</li></ul> |
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<p><b>ECB Activities</b></p>	<ul style="list-style-type: none"> <li>• <b>Professional development</b>—refers to activities that build knowledge, beliefs and skills of individuals or groups to conduct and use evaluation.</li> <li>• <b>Training</b>—activities that aim to enhance knowledge, skills and confidence of participants to conduct adequate evaluations of their programs.</li> <li>• <b>Technical assistance</b>—the provision of personalized real-time evaluation consultation (e.g., by face-to-face, phone or email).</li> <li>• <b>Collaborative evaluation projects</b>—collaborative evaluative inquiry where teams design and implement evaluation projects; develop evaluation materials and papers for publication; deliver presentations; and/or co-facilitate training sessions.</li> <li>• <b>Mentoring and coaching</b>—refers to an evaluation professional working closely with an individual or program team overtime, to build knowledge, skills and confidence in evaluation. In more mature phases of ECB, committed evaluation learners become mentors for their colleagues.</li> <li>• <b>Communities of Practice</b>—intentional, formal, evaluation-focused self-organizing groups that recognize and value the commitment to shared learning and practice. Communities of Practice may form around a common problem, in response to a request, to share assets or for professional growth.</li> </ul>
<p><b>ECB Outcomes</b></p>	<ul style="list-style-type: none"> <li>• An organization's capacity to design, implement and manage evaluation projects; access, build and use evaluative knowledge and skills; foster continuous organizational learning, improvement and accountability; and create awareness and support for program evaluation and self-evaluation as a performance improvement strategy.</li> </ul>
<p><b>Relational Statements</b></p>	

- Organizational priorities and resources influence engagement in the various components and the associated elements.
- The types of professional development offered within an organization are best customized to the learning needs, orientation and evaluative responsibilities of the learner.
- Collaborative evaluation projects that maximize team-based approaches and learning through practice achieve greater impact and sustained change.
- Program and evaluation learning are best integrated into practice when the learning objective is clear and understood by the learners, and when the process includes time for reflection.
- A strong evaluation presence and sustained function is related to the presence of full-time evaluator and ECB positions within an organization.
- Evaluation champions within administration, as well as scattered through the organization, are vital to ECB success.
- The development of evaluation champions requires continuously working with and nurturing identified individuals over time, cementing relationships, and encouraging reflective practice.
- Organizational context can shape expectations for the ECB practitioner and influence how positions are funded, who is hired, history of evaluation in the organization, organizational readiness for evaluation, and location and ownership of the evaluation function.
- Demand for evaluation fuels and legitimizes ECB and helps to institutionalize evaluation across an organization.
- How evaluation is perceived within an organization can limit evaluation design and learning (e.g., equating evaluation with accountability reporting can subjugate evaluation to just doing evaluation to satisfy funders or promote programs, rather than for critical inquiry and learning).
- Intangible incentives such as leadership opportunities; recognition by peers; opportunities to demonstrate scholarship and grow professionally; and having data to validate one's work and improve programs and services are the best motivators to embed

evaluative inquiry into routine work.

- Without formal written policies and guidelines, evaluation may become equated with “end-of-session” questionnaires, which can limit learning about evaluation options and approaches.

General Information and Quality Assessment: Paper #4	
<b>Author(s) and Publication Date</b>	Preskill H & Boyle S, 2008
<b>ECB Model Name</b>	Multidisciplinary Model of Evaluation Capacity Building
<b>Journal</b>	American Journal of Evaluation
<b>Country</b>	United States of America
<b>Quality Assessment</b>	Strong based on the authority of the author and reputability of the publication source.
Development of ECB Model	
<b>Purpose</b>	To address a gap related to the lack of comprehensive conceptual models to guide ECB efforts and empirically test the effectiveness of ECB processes and activities.
<b>Process</b>	Informed by insights garnered from the evaluation, organizational learning and change, and adult learning literatures; a comprehensive review of the ECB literature; and a mixed methods research study of ECB conducted within 15 organizations from diverse sectors (e.g., educational sector, including K-12 schools and higher learning institutions; health sector, including cancer prevention, children’s health, mental health, and public health agencies; and human services sector including organizations that serve homeless and/or at risk families).*
Main Concepts of the ECB Model	
<b>Definition of ECB</b>	ECB “involves the design and implementation of teaching and learning strategies to help individuals, groups and organizations learn about what constitutes effective, useful and professional evaluation practice. The ultimate goal of ECB is sustainable evaluation practice— where members continuously ask questions that matter; collect, analyze, and interpret data; and

	<p>use evaluation findings for decision-making and action. For evaluation practice to be sustained, participants must be provided with leadership support, incentives, resources and opportunities to transfer their learning about evaluation to their everyday work. Sustainable evaluation practice also requires the development of systems, processes, policies and plans that help embed evaluation work into the way the organization accomplishes its missions and strategic goals.” (p. 444)</p>
<p><b>Drivers of ECB</b></p>	<ul style="list-style-type: none"> <li>• <b>Motivations</b>—“trigger” or reason an organization or system decides to build evaluation capacity (e.g., external demands/conditions such as accountability requirements).</li> <li>• <b>Assumptions</b>—assumptions organizational leaders and evaluators make that are relevant to building evaluation capacity (e.g., organization members can learn from and about evaluation).</li> <li>• <b>Expectations</b>—goals for the ECB effort (e.g., evaluation findings will be used more often for a variety of purposes).</li> </ul>
<p><b>Supports for ECB</b></p>	<ul style="list-style-type: none"> <li>• <b>Evaluation policies and procedures</b>—policies and procedures an organization develops to provide the structure and means by which evaluation becomes institutionalized within the organization (e.g., creating an evaluation unit or team).</li> <li>• <b>Evaluation frameworks and processes</b>—frameworks and processes that guide evaluation practice and clarify beliefs and expectations about which evaluation approaches and methods are most appropriate given specific organizational contexts and purposes for conducting evaluation.</li> <li>• <b>Resources dedicated to evaluation</b>—financial, personnel and material resources that support evaluation practice (e.g., budget for evaluation activities, technology for designing and implementing evaluations).</li> <li>• <b>Integrated knowledge-management evaluation system</b>—an organization’s system for</li> </ul>

	<p>creating, capturing, storing and disseminating evaluation-related documents (e.g., data files, evaluation reports, evaluation procedures).</p> <ul style="list-style-type: none"> <li>• <b>Strategic plan for evaluation</b>—a clear vision with regard to why, how, when, and by whom evaluations will be conducted.</li> </ul>
<b>Mediators of ECB</b>	<ul style="list-style-type: none"> <li>• <b>Organizational learning capacity</b>—the extent to which an organization has the necessary conditions to support ECB activities and the long-term uses of evaluation processes. It includes elements of an organization’s culture, leadership, systems and structures, and communications that support and encourage organizational learning.</li> <li>• <b>Shared evaluation beliefs and commitment</b>—organizational members’ belief in the value of evaluation and commitment to ensuring it becomes part of the way the organization accomplishes its goals.</li> </ul>



<p><b>ECB Activities</b></p>	<ul style="list-style-type: none"> <li>• <b>ECB strategies</b>—a variety of approaches used for building the evaluation capacity of individuals and groups (e.g., communities of practice, coaching or mentoring).</li> <li>• <b>Designing the ECB initiative</b>—refers to the process of selecting and designing ECB strategies. The selection of ECB strategies should take into account participants' characteristics; available organizational resources; relevant evaluation, learning and organizational change theories; and desired learning objectives and expected outcomes.</li> <li>• <b>Implementing the ECB initiative</b>—refers to the process of implementing ECB strategies. Consideration should be given to communications about and timing of an ECB effort; ECB facilitator's expertise and effectiveness; frequency and quality of participation; and fidelity of implementation.</li> <li>• <b>Evaluating ECB initiatives</b>—refers to the process of evaluating whether the ECB objectives are met, as well as determining if any other outcomes were attained (unanticipated outcomes).</li> <li>• <b>Transfer of learning</b>—refers to the application of principles, concepts and skills learned in one context to another context in which they remain relevant. With regard to ECB, two main types of transfer are important: near transfer (i.e., short-term application of evaluation learning) and far transfer (i.e., longer-term transfer of evaluation learning and the generalization of such learning to new situations).</li> <li>• <b>Continuous learning about evaluation</b>—ongoing opportunities for organizational members to learn from and about evaluation practice.</li> <li>• <b>Diffusion of evaluation practice</b>—refers to the process of organizational members sharing their learning about evaluation with others outside of their organization, exposing them to evaluative thinking and practice.</li> </ul>
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<p><b>ECB Outcomes</b></p>	<ul style="list-style-type: none"> <li>• <b>Use of evaluation findings</b>—refers to the use of evaluation findings for decision-making and action, as well as to communicate and celebrate the use of evaluation findings.</li> <li>• <b>Sustainable evaluation practice</b>—the internalization of evaluation processes, systems, policies and procedures that is self-renewing and evolving.</li> </ul>
<p><b>Relational Statements</b></p>	
<ul style="list-style-type: none"> <li>• Motivations to engage in ECB and the underlying assumptions leaders and evaluators have about evaluation and its role in the organization lead to a set of expectations for the ECB effort.</li> <li>• Different ECB strategies address certain learning objectives and produce specific kinds of learning outcomes. Particular ECB strategies may be required depending on the needs and pre-existing knowledge, skills and beliefs of organizational members.</li> <li>• Considering different theories of evaluation, learning and change, will enable an ECB practitioner to be more purposeful regarding how, where, when and why people learn from their engagement in ECB activities. Drawing on such theories can ensure that the teaching and learning strategies employed have the potential to achieve the desired ECB learning objectives.</li> <li>• An ECB efforts design, implementation, and evaluation should flow directly from the desired goals and objectives for the effort. It is this intentionality that distinguishes ECB from process use, and makes it a strategic process that maximizes learning from and about evaluation.</li> <li>• An organization’s communication about its interest and investment in ECB can affect organizational members’ interest, engagement and commitment to learning from and about evaluation.</li> <li>• The expertise of the ECB practitioner, as well as her/his knowledge of the organization, can heavily influence the extent and manner in which organizational members learn from and about evaluation.</li> </ul>	

- Developing new knowledge, skills and attitudes takes motivation, time and practice. Unless organizational members are willing and provided with the opportunity to apply their evaluation knowledge, skills and attitudes toward effective evaluation practice, there is little chance for evaluation practice to be sustained.
- The process of evaluating ECB efforts:
  - Models for staff the routine use of evaluation, which can lead to more skillful work within the organization, as well as to a more effective evaluation unit.
  - Generates new knowledge about ECB regarding what works, for whom and under what conditions.
  - Helps ECB practitioners increase their own accountability by demonstrating the value of their work.
  - Collects evidence to help secure continued or new funding for ongoing ECB.
- The development of organizational members' evaluation capacity and sustainable evaluation practice is situated within and thus influenced by an organization's learning capacity.
- The more frameworks and processes for evaluation practice are accessible and meet the field's standards for quality evaluation practice, the more likely they will be to make a long-term, positive impact on the sustainability of evaluation practice within an organization.
- The more evaluation findings are used to improve programs and make important decisions, the greater likelihood that evaluation will become embedded in an organization's culture.
- As the organization develops an evaluation culture, shared evaluation beliefs become manifested in the ways organizational members talk about evaluation; their inclination to ask evaluative types of questions; their interest in using data for decision-making; and their overall commitment to conducting meaningful, timely and useful evaluations.
- The implementation of an integrated knowledge-management evaluation system ensures that:
  - What is learned from one evaluation can benefit future evaluations.

- Data and findings are readily available to judge the impact of changes made as a result of an evaluation, as well as for future program planning.
- Evaluation efforts are complementary and not unnecessary duplicative.
- Resources are used most efficiently.
- The evaluation system is aligned with the organization's other data-collection systems.

\*Supplementary information extracted from another paper. (14)

General Information and Quality Assessment: Paper #5	
<b>Author(s) and Publication Date</b>	Labin SN, Duffy JL, Meyers DC, Wandersman A, & Lesesne CA, 2012
<b>ECB Model Name</b>	Integrated Evaluation Capacity Building Model
<b>Journal</b>	American Journal of Evaluation
<b>Country</b>	United States of America
<b>Quality Assessment</b>	Strong based on the authority of the author and reputability of the publication source.
Development of ECB Model	
<b>Purpose</b>	The authors conducted a broad-based research synthesis to address the lack of systematic reviews of the EBC empirical literature. They developed the model to guide data extraction for the research synthesis.
<b>Process</b>	Informed by existing ECB frameworks, in particular Preskill and Boyle's (2008) Multidisciplinary Model of Evaluation Capacity Building; a review of the theoretical and empirical ECB literature; and a broad-based research synthesis of the empirical ECB literature. Modified and expanded upon through construct mapping of ECB measurement tools and factor analysis on ECB organizational outcomes.*
Main Concepts of the ECB Model	
<b>Definition of ECB</b>	ECB "is an intentional process to increase individual motivation, knowledge and skills, and to enhance a group or organization's ability to conduct and use evaluation". (p. 2)
<b>Drivers of ECB</b>	<ul style="list-style-type: none"> <li>• <b>Need for ECB</b>—refers to the reason(s) an organization engages in ECB, including internal factors (e.g., leaders desire to increase the evaluation function); external factors (e.g., funder</li> </ul>

	requirements); motivations for developing evaluation capacity; assumptions and expectations of ECB; and goals and objectives for the ECB effort.
<b>Supports for ECB</b>	<ul style="list-style-type: none"> <li>• <b>Resources and strengths (organizational capacity*)</b>—refer to pre-existing characteristics of an organization that facilitate the ECB process, including attitudes towards evaluation; availability of resources for ECB (e.g., staff, dedicated time and financial); internal evaluation expertise; and organizational practices and capacities such as support for evaluation and ECB from leadership and the organizational culture, and through mainstreaming evaluation.</li> </ul>
<b>Mediators of ECB</b>	<ul style="list-style-type: none"> <li>• <b>Mediators</b>—refer to factors that mediate the effect of ECB activities on outcomes, including implementation factors; evaluation of ECB; role of evaluation in the organization; evaluation of programs; and organizational capacity (i.e., organizational resources and strengths).</li> </ul>
<b>ECB Activities</b>	<ul style="list-style-type: none"> <li>• <b>ECB activities</b>—refer to the activities of the ECB strategies, which are categorized by implementation specifics, including the underlying theory or approach (e.g., empowerment evaluation, organizational learning), mode (e.g., face-to-face meetings, written materials), level (individual level, organizational level), type or mechanism of delivery (e.g., training, technical assistance), and content (e.g., content at the individual level focuses on evaluation curriculum and at the organizational level focuses on collective activities such as providing leadership support for evaluation).</li> </ul>
<b>ECB Outcomes</b>	<ul style="list-style-type: none"> <li>• <b>Individual-level outcomes</b>—refer to improvement of evaluation attitudes, knowledge and skills among organizational members.</li> <li>• <b>Organizational-level outcomes</b>—refer to the development of organizational characteristics including processes, policies and practices related to doing and using evaluation; supportive leadership; organizational culture that supports change; mainstreaming evaluation, and</li> </ul>

resources to support evaluation.

- **Program-level outcomes**—refer to improvement of programs and/or program outcomes.

#### Relational Statements

- Shared assumptions and expectations for ECB and the explication of specific ECB objectives are important for the successful design and implementation of ECB efforts.
- Conducting a needs assessment and tailoring ECB efforts to the particular population and context can affect the selection and implementation of the ECB strategies.
- Implementation, evaluation and organizational capacity factors (e.g., organizational resources and strengths) can affect the selection and efficacy of ECB strategies utilized.
- Timing of the ECB effort, as well as frequency and dosage of activities affect outcomes (e.g., the use of multiple strategies—training, participating in evaluation and technical assistance is likely needed to achieve individual knowledge and behavioural outcomes, as well as organizational outcomes such as culture and mainstreaming).
- Individual- and organizational-level outcomes affect program-level outcomes.
- While individual changes affect organizational change, some degree of organizational factors is necessary for individual outcomes to occur and be sustained.

\*Supplementary information extracted from a companion paper. (13)

## Appendix E: Applicability and Transferability Worksheet

### Starting/Modifying a Program Applicability and Transferability Worksheet

Factors	Questions	Notes
<b>Applicability (Feasibility)</b>		
Political acceptability or leverage	<ul style="list-style-type: none"> <li>• What are your thoughts about political acceptance of the recommended model (within the organization, by our regional council, in the province)?</li> </ul>	
Social acceptability	<ul style="list-style-type: none"> <li>• Will PPH staff and/or management find the recommended model acceptable?</li> <li>• How could the model be perceived by staff and/or management?</li> <li>• What impact could the recommended model have on non-target groups?</li> <li>• What challenges would you anticipate if this model is used to build evaluation capacity at PPH? How would you suggest we deal with these challenges? Timing?</li> </ul>	



<p>Available essential resources (personnel and financial)</p>	<ul style="list-style-type: none"> <li>• Who/what is available / essential for the implementation of the recommended model?</li> <li>• Are staff adequately trained? If not, is training available and affordable?</li> <li>• What is needed to tailor the model at PPH?</li> <li>• What would be the costs doing what is recommended in the model?</li> <li>• Could the implementation of elements of the model be sequenced /ordered by importance/priority/feasibility?</li> </ul>	
<p>Organizational expertise and capacity</p>	<ul style="list-style-type: none"> <li>• Are the recommendations in line with PPH Strat Plan? Regional Council's priorities?</li> <li>• Do the recommendations overlap with existing programs (internally, externally?) - Prompt re: performance measurement.</li> <li>• Does the recommended model lend itself to cross-departmental/divisional collaboration?</li> <li>• Are there any barriers/structural issues or approval processes to be addressed?</li> <li>• Is the organization motivated (learning organization)?</li> <li>• Do we have the capacity as an organization to build evaluation attitudes, knowledge and skills among staff and management?</li> <li>• Who would do this work? Who has the expertise?</li> </ul>	

Transferability (Generalizability)		
Generalizability and reach	<ul style="list-style-type: none"> <li>• Is this model generalizable to PPH?</li> <li>• What would need to be modified if we adapted it here?</li> <li>• Who do we need to “reach” if we are building evaluation capacity? How would we reach them?</li> </ul>	
Proposed Direction (after considering the above factors):		

Form Completed by: \_\_\_\_\_

**Worksheet adapted from:** Buffet C., Ciliska D., and Thomas H. National Collaborating Centre for Methods and Tools. November 2007. *Can I Use this Evidence in my Program Decision? - Assessing Applicability and Transferability of Evidence.*