Adapting Evaluation Practice to the Needs of Current Public Management

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Agenda

- **Defining Expected Results in Complex Situations**
  - The Current Situation
  - Management Scorecards
  - Audit vs. Evaluation
  - Performance Measurement vs. Evaluation
  - Analysis vs. Synthesis
  - Linear vs. Recursive logic
- **Modeling Risks and Assumptions**
  - Results Logic and Inherent Risks
  - Mapping Risks
  - Considering Risk Strategies
- **A Needs-Results Hierarchy Approach**
  - The Basic Approach
  - Case Example
- **Evaluative and Systems Thinking In Public Management**
  - Building Needs and Results Into Planning
  - Case Example and 'Hands On' Small Group Trials
  - Discussion
- **The Evaluator's Role in Public Management – Threats and Opportunities**
  - Changing Paradigms
  - Future Evolution
  - Wrap Up / Adjourn

- *Without changing our patterns of thought, we will not be able to solve the problems we created with our current patterns of thought.*

- *Things should be made as simple as possible – not simpler.*

-Albert Einstein

The Current Situation:

- Accountability
- Complexity
- Dynamism
- Tools for performance measurement and assessment are inadequate
  - Scorecards – Dashboards [Simple Matrices]
  - Audit
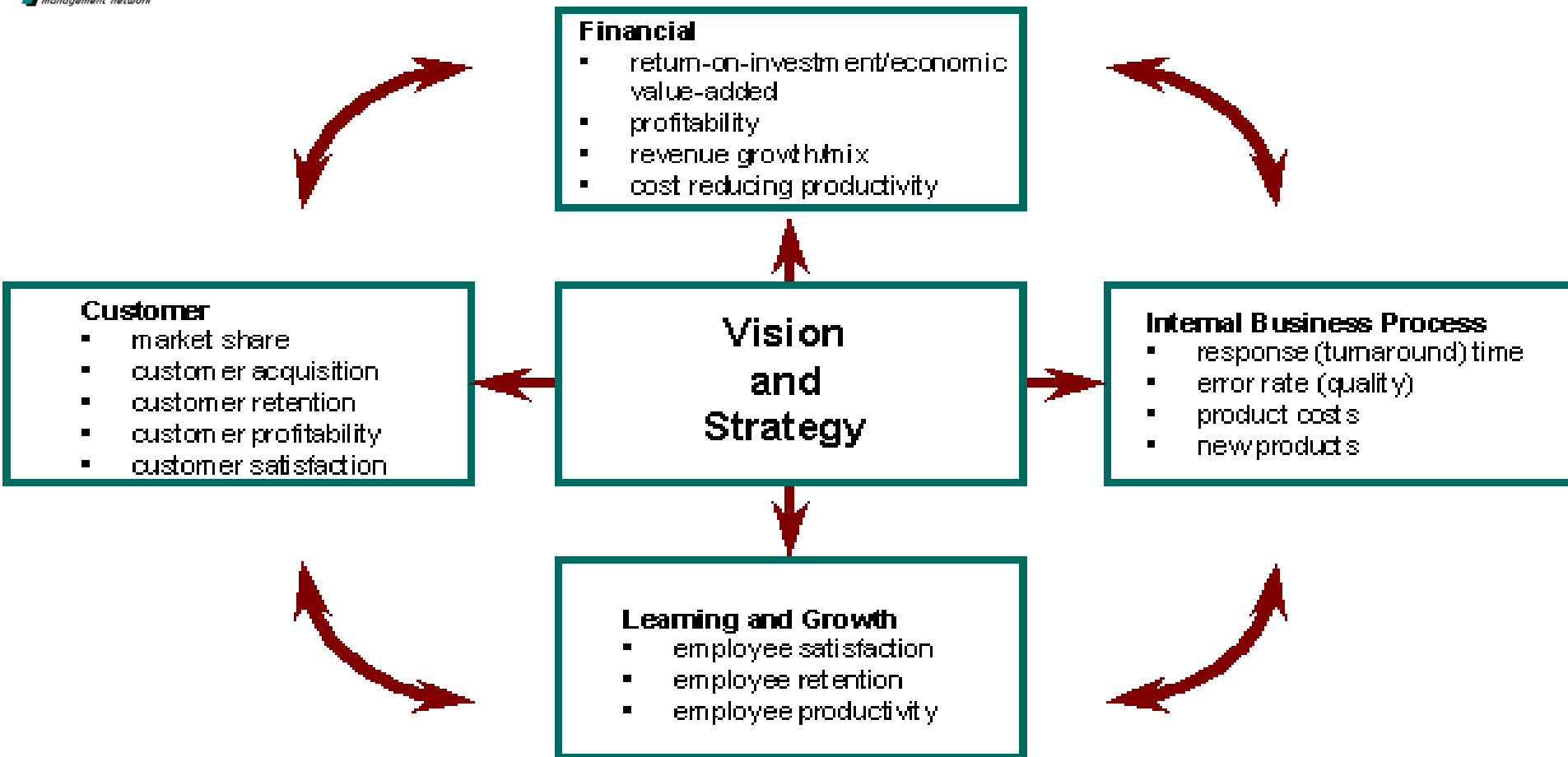 - Evaluation

The Balanced Scorecard

- 3 HBR articles early 1990s

- Book in 1996

- 2nd book in 2000

- Large movement, complemented reengineering, activity based costing, process standardization (e.g. ISO) and service quality initiatives

What is it?

Kaplan and Norton:

- A set of strategic measures which complements $ (past performance) with drivers of future performance

- Four perspectives
  - financial
  - customer
  - internal business process
  - learning and growth

Financial
- return-on-investment/economic value-added
- profitability
- revenue growth/mix
- cost reducing productivity

Customer
- market share
- customer acquisition
- customer retention
- customer profitability
- customer satisfaction

Vision and Strategy

Internal Business Process
- response (turnaround) time
- error rate (quality)
- product costs
- new products

Learning and Growth
- employee satisfaction
- employee retention
- employee productivity

Source: Robert S. Kaplan and David P. Norton, The Balanced Scorecard, Harvard Business School Press, Boston: Massachusetts, 1996.

Yes But…

Public enterprise is different:

- Not just serving 'customers'

- Addressing key (social) needs

- Missions are abstract, strategies complex

- Objectives accomplished over time, involving a sequence of changes or adoptions

- Focus needs to be on making a difference by reaching and influencing people

A Criticism

Kaplan and Norton have applied their balanced scorecard concept in government and non-profit organisations... However, the discussion of effectiveness has remained rather unelaborated. The causal chains of effects which lead into the overall effectiveness have been simplistic without a sophisticated understanding of the many levels of effects.

Source: Valovirta and Uusikylä (September 2004) *Three Spheres of Performance Governance Spanning the Boundaries from Single-organisation Focus Towards a Partnership Network* page 11
http://soc.kuleuven.be/io/egpa/qual/ljubljana/Valovirta%20Uusikila_paper.pdf

Audit and Evaluation in Public Management

	Audit	Evaluation
DEFINITION	checking, comparing, compliance, assurance	assessment of merit, worth, value of administration, output and outcome of interventions
TYPES	traditional – financial and compliance performance audit – substantive　　　　　　　　　　　– systems and procedures	wide variability – many 'types' noted in the literature
WHO DOES IT?	internal auditors – part of organization external auditors – independent agency	internal evaluators – part of organization 'external' contracted consultants – not really independent?
ROLES	✐provide assurance ✐public accountability ✐improve management	not as well articulated ✐increase knowledge ✐improve delivery and management ✐(re) consider the rationale varies by a long list of potential clients
METHODS	file review, interviews, focus groups, surveys, observations	wide variety of methods, from scientific and quasi scientific designs to purely qualitative and interpretative methods and methods linked to testing program theory
REPORTING	✐attest to legislatures ✐direct to management	✐management ✐various stakeholders
STRENGTH	✐strong reputation ✐supported by professional associations ✐well established and followed standards ✐addresses issues of public concern (e.g. waste mis-management etc.)	✐addresses attribution ✐explains why? ✐acknowledges complexity and uncertainty ✐flexible in design and practice
CHALLENGES	✐dealing with complexity ✐operating in a collaborating state	✐credibility ✐perceived relevance

Source: Mayne, John (2006) *Audit and Evaluation in Public Management,* The Canadian Journal of Program Evaluation Vol. 21, No. 1

Problem: The Reasons for Doing Performance Measurement:

■ Contrasting World Views and Paradigms

Accountability

Learning

Contribution Analysis: Key Steps

1. Set out the attribution problem to be addressed
2. Develop the postulated theory of change
3. Gather the existing evidence on the ToC
4. Assemble & assess the contribution story
5. Seek out additional evidence
6. Revise & strengthen the contribution story

Source: Mayne, John (2008). *Using Contribution Analysis to Address Cause-Effect Questions: Theory and Concepts*

Accountability and Performance Measurement: The Traditional View

In the past, accountability for the processes followed, the inputs used, and perhaps the outputs produced was most likely to be the arena in which public servants worked. This focus was consistent with the more traditional view of accountability: emphasizing what could be controlled and assigning blame when things go wrong. If the expected process was not followed, improper inputs were used, or outputs were not delivered, then the responsible person could be identified and appropriate action taken, as one ought to be in control of the processes, the inputs, and the outputs. Given this paradigm, public servants often were reluctant to accept accountability for results beyond outputs, that is, outcomes over which one does not have full control. Being accountable for outputs has been much more acceptable to public servants than being accountable for outcomes.

Source: Mayne, John (2001). *Addressing Attribution through Contribution Analysis: Using Performance Measures Sensibly* The Canadian Journal of Program Evaluation Vol. 16, No. 1.

The Problem with Traditional Measurement and Accountability Applied to Modern Public Performance:

- Most Performance Measurement is "disaggregationist", while strategic management requires synthesis

- Tendency to emphasize linear thinking

- Implied command and control

- Fundamentally reduces to the level of tangibility (e.g. the 'SMART' indicators, "you can't manage what you can't measure")

Evaluation vs. Performance Measurement Contrasting Paradigms

Evaluation

- Behavioural Sciences

- Logic Model
- Academic / interntl development / social development
- Periodic
- Strategic
- Heretical

Performance Measurement

- Accounting, Process Engineering, Marketing
- Ledger / Scorecard
- Business

- Ongoing
- Operational
- Conformist

The Need

- Recognize a different definition of accountability – based on learning and managing for results (i.e. You are accountable for learning and adapting, not for a given outcome *per se*)

- Tell a Performance Story
  - How, Who, What, Why

- Change our mental models to recognize
  - synthesis
  - interaction
  - 'communities' (people with some common task, function or identity in the system)
  - performance measures as progress markers

A Deeper Aspect of the Current Problem

- Many results models for programs prove inadequate in describing programs, initiatives and cases
  - Too linear
  - Either too complicated or too simple
  - Miss key community behaviours
  - Analysis vs. synthesis

Analysis vs. Synthesis

In analysis, something that we want to understand is first taken apart. In synthesis, that which we want to understand is first identified as a part of one or more larger systems.

In analysis, the understanding of the parts of the system to be understood is ... aggregated in an effort to explain the behavior or properties of the whole. In synthesis, the understanding of the larger containing system is then disaggregated to identify the role or function of the system to be understood.

 - Ackoff

The [International] 'Classic' Results Logic – Rogers 2006

Resources / Inputs	→	Activities	→	Outputs	→	Outcomes	→	Impact

The [Canadian] 'Classic' Results Logic

Activities

Outputs

Immediate Outcomes

Intermediate Outcomes

Long term Outcomes

Overall Long-term Objectives

Linear Cause-Effect Thinking: Moving to Cause-Effect Within Borders

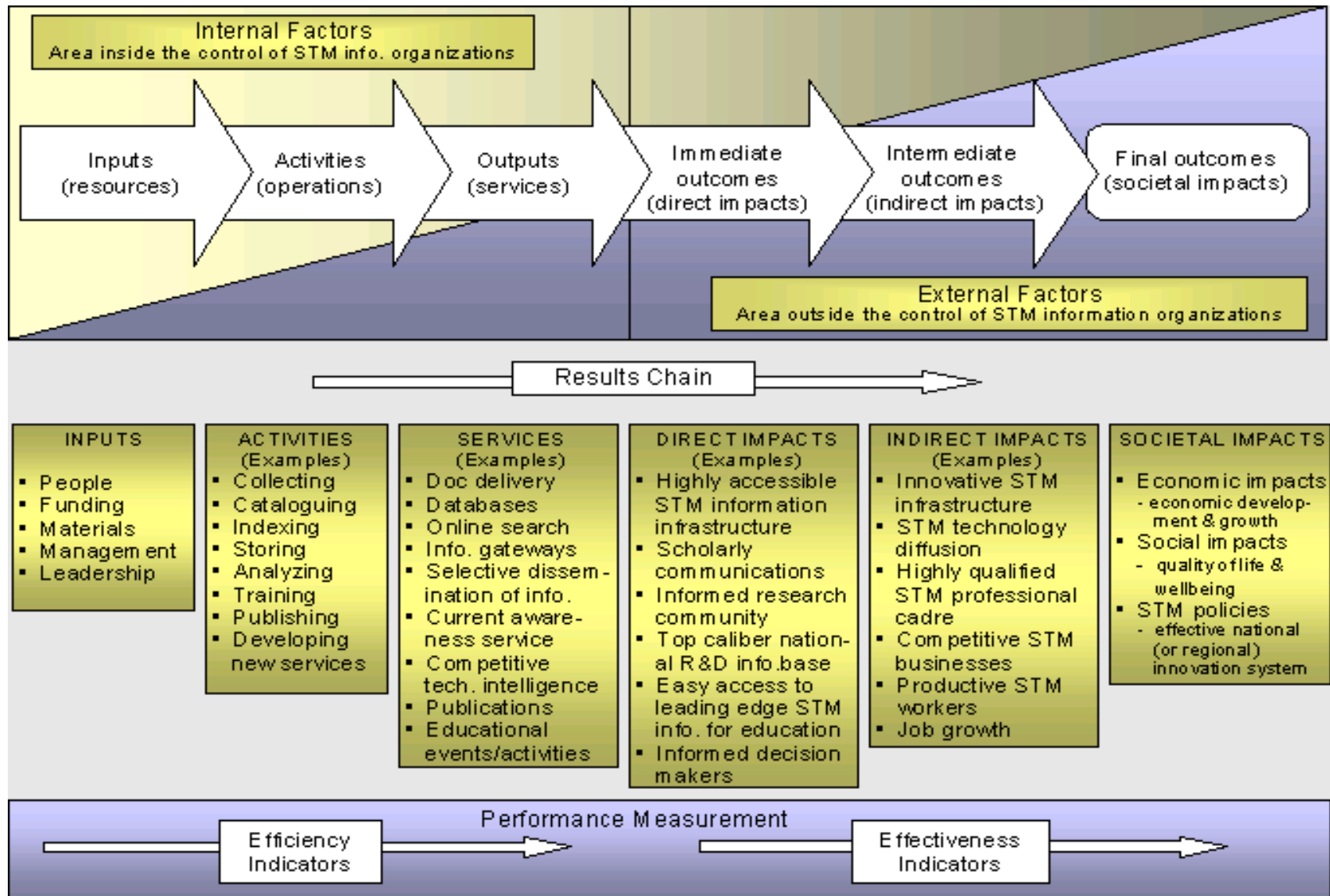Traditional results logic shows a linear depiction of cause-effect results. Most evaluation logic models still work in this mode, often without a strong reference to degrees of influence or control. Some 'evolved' examples follow:
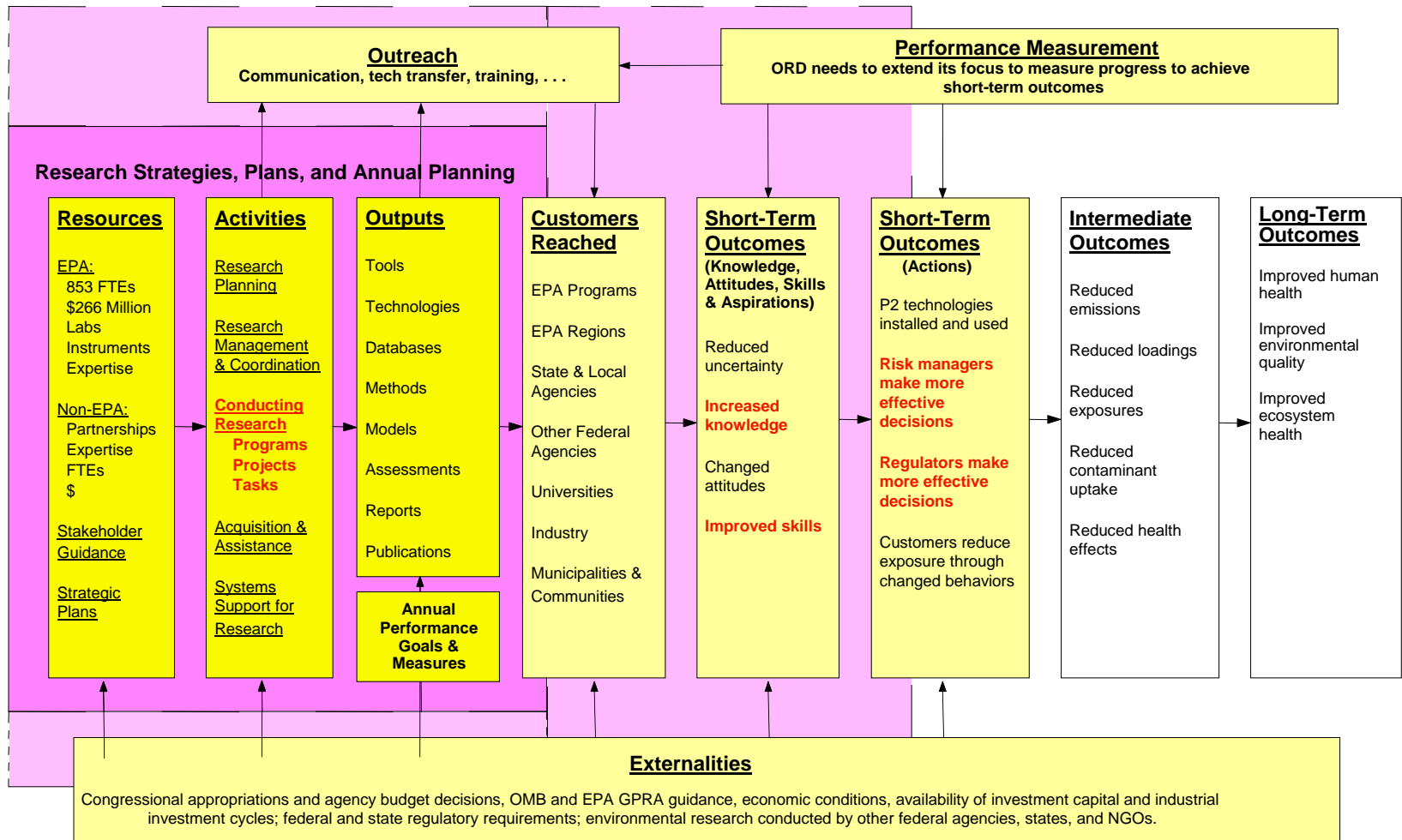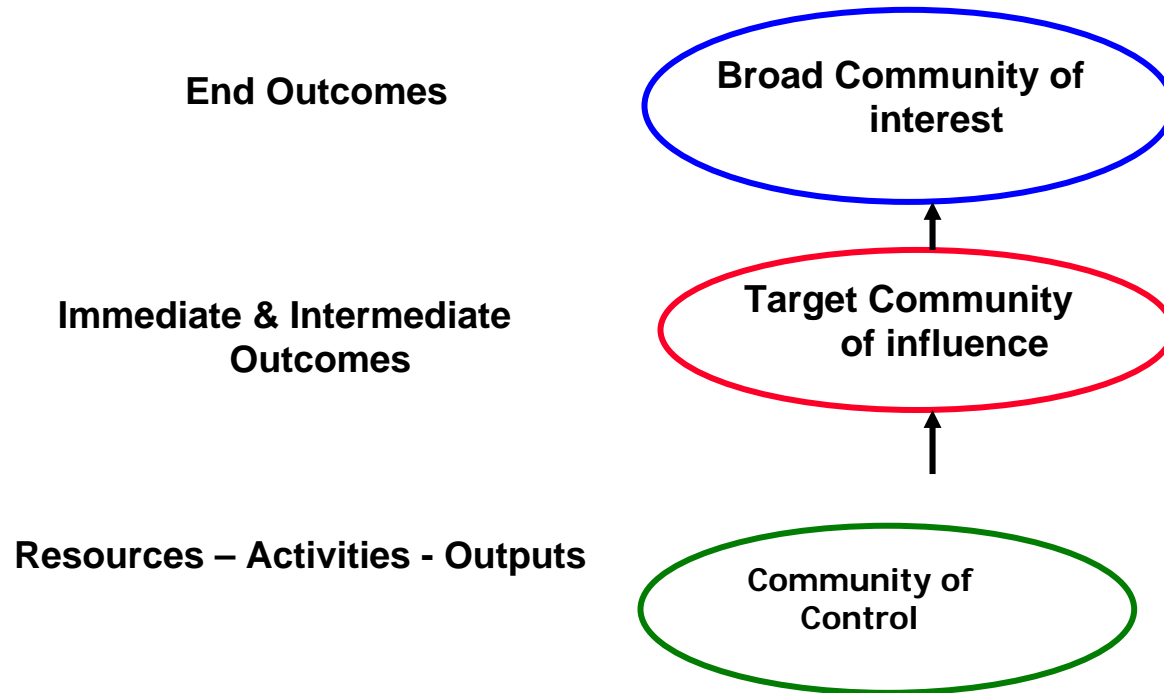
Extending the Focus from Outputs to Outcomes

To accomplish EPA's environmental research strategy, the OIG-ORD case study indicates that program designs for core research need to extend their focus from activities & outputs to short-term outcomes. -- Source: U. S. EPA OIG (November 2001)
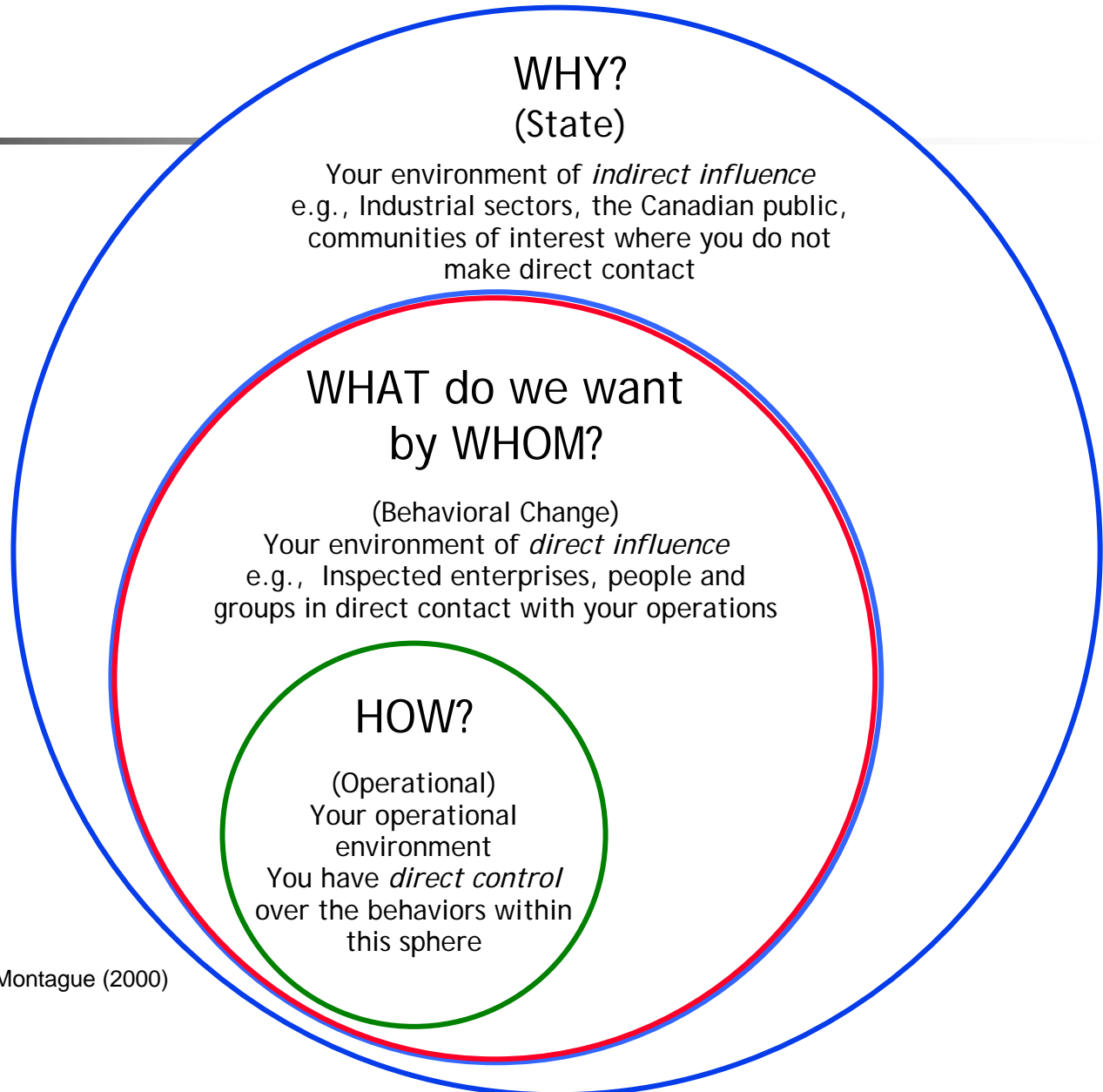
Outreach
Communication, tech transfer, training, . . .

Performance Measurement
ORD needs to extend its focus to measure progress to achieve short-term outcomes

Research Strategies, Plans, and Annual Planning

Resources	**Activities**	**Outputs**	**Customers Reached**	**Short-Term Outcomes (Knowledge, Attitudes, Skills & Aspirations)**	**Short-Term Outcomes (Actions)**	**Intermediate Outcomes**	**Long-Term Outcomes**
EPA: 853 FTEs $266 Million Labs Instruments Expertise	Research Planning	Tools	EPA Programs	Reduced uncertainty	P2 technologies installed and used	Reduced emissions	Improved human health
	Research Management & Coordination	Technologies	EPA Regions			Reduced loadings	Improved environmental quality
Non-EPA: Partnerships Expertise FTEs $	**Conducting Research Programs Projects Tasks**	Databases Methods Models	State & Local Agencies Other Federal Agencies	**Increased knowledge**	**Risk managers make more effective decisions**	Reduced exposures	Improved ecosystem health
Stakeholder Guidance	Acquisition & Assistance	Assessments	Universities	Changed attitudes	**Regulators make more effective decisions**	Reduced contaminant uptake	
Strategic Plans	Systems Support for Research	Reports Publications	Industry Municipalities & Communities	**Improved skills**	Customers reduce exposure through changed behaviors	Reduced health effects	

Annual Performance Goals & Measures

Externalities

Congressional appropriations and agency budget decisions, OMB and EPA GPRA guidance, economic conditions, availability of investment capital and industrial investment cycles; federal and state regulatory requirements; environmental research conducted by other federal agencies, states, and NGOs.

Need to Recognize That Results Occur In Different 'Communities'

End Outcomes

Broad Community of interest

Immediate & Intermediate Outcomes

Target Community of influence

Resources – Activities - Outputs

Community of Control

Certain 'Communities' Within Your Reach Can Be Considered 'Standards'

- Guardians vs. Traders – Jane Jacobs

- Partners / Intermediaries vs. Clients

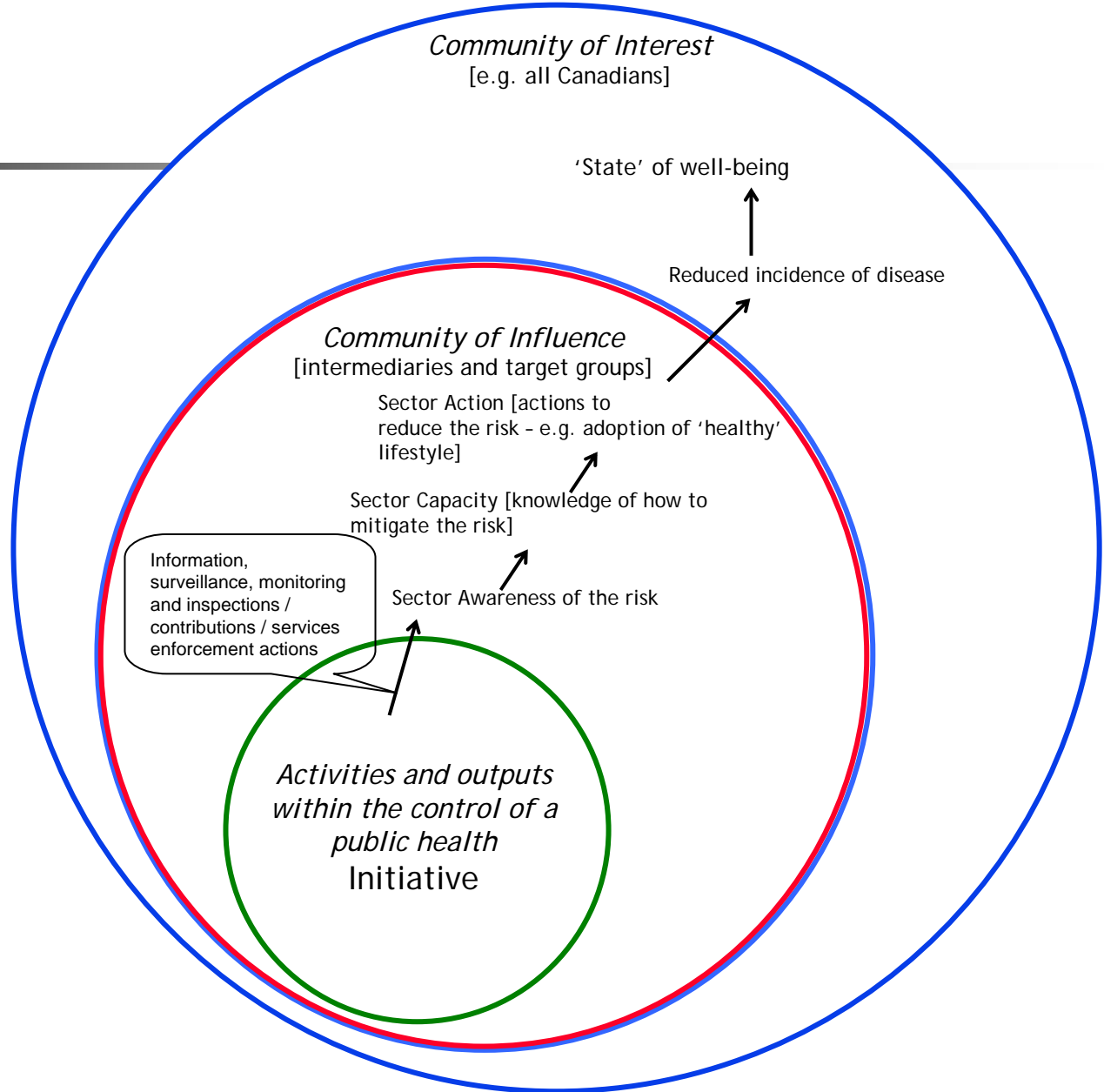- Support 'Climate' vs. Target Communities

- Users vs. Beneficiaries

Spheres of Influence

WHY?
(State)

Your environment of *indirect influence*
e.g., Industrial sectors, the Canadian public,
communities of interest where you do not
make direct contact

WHAT do we want
by WHOM?

(Behavioral Change)
Your environment of *direct influence*
e.g., Inspected enterprises, people and
groups in direct contact with your operations

HOW?

(Operational)
Your operational
environment
You have *direct control*
over the behaviors within
this sphere

Performance needs to be considered in terms of its differing spheres of influence. Actions in the operational sphere should directly lead to changes in targeted groups which should in turn affect the desired 'state'.
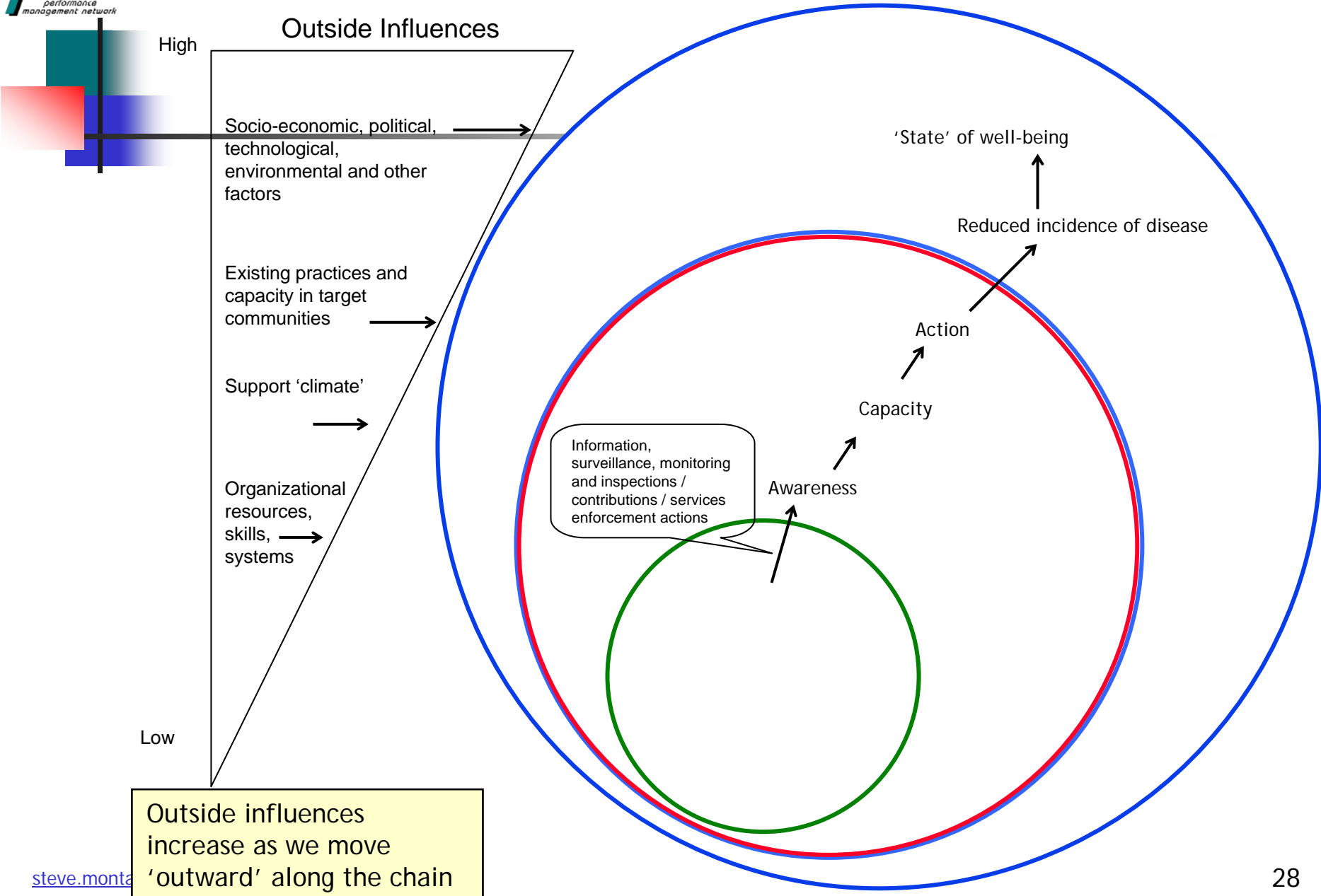
Sources: Van Der Heijden (1996), Montague (2000)

Spheres of Influence

Community of Interest
[e.g. all Canadians]

'State' of well-being

Reduced incidence of disease

Community of Influence
[intermediaries and target groups]

Sector Action [actions to
reduce the risk – e.g. adoption of 'healthy'
lifestyle]

Sector Capacity [knowledge of how to
mitigate the risk]

Information,
surveillance, monitoring
and inspections /
contributions / services
enforcement actions

Sector Awareness of the risk

Results
statements
can be
'placed' in a
chain within
these spheres

*Activities and outputs
within the control of a
public health*
Initiative

Spheres of Influence

Outside Influences

High

Socio-economic, political, technological, environmental and other factors

Existing practices and capacity in target communities

Support 'climate'

Organizational resources, skills, systems

Low

'State' of well-being

Reduced incidence of disease

Action

Capacity

Information, surveillance, monitoring and inspections / contributions / services enforcement actions

Awareness

Outside influences increase as we move 'outward' along the chain

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Towards an integration of systems thinking into results logic for complex initiatives

Steve Montague
November 7, 2003

Recognizing the relationship chain (or network) as well as the results chain can help gain perspective on the systems in 'play' for any given program, policy or initiative.

WHY we exist

WHO we reach & WHAT we want

HOW we operate

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SOCIETAL BENEFITS

Social, economic, safety, security, health, environmental

Sustained System change

| Policy / Rule Makers/ Governors: Supportive decisions Capacity Engagement | Partners/ Intermediaries Supportive actions Capacity Involvement | 'Supplier' target communities Actions/adoptions Capacity Involvement | 'User' target communities Actions/adoptions Capacity Involvement |

| Research & high intensity knowledge generation activities | Science & technical specialist support | Educational and advisory services | Communications/ information and awareness building |

CAPABILITY + TIME + $

The 'Practical' Public Manager's Reality Check

- What's all this systems nonsense?

- We <u>like</u> filling in boxes and using straight lines

- Real managers deal with problems and issues – not idealized outcome models

- Stop drawing circles and talking theories and give me something I can <u>use</u>!

Problem Solving and Results Logic

- Initiatives are in place to reduce risks and harms

- Expected results should be determined by analysis of the problems, risks and harms

- Problems, risks and harms can be sorted in a hierarchy related to spheres of influence

Problem / Risk or Harm Reduction Results Logic

1. ## Start with problems / gaps / risks / needs
   - 'Sort' from highest level conditions through to problematic community practices and capacity gaps down to involvement and participation.
   - Identify problematic agency (proponent) activities and resource gaps

2. ## Construct Results Chart – based on needs
   - Draw on key 'problems' to derive key results
   - Construct a logical chain or sequence from resourcing through activities / outputs up to immediate, intermediate and ultimate outcomes

Problems / Risks Determine Strategy and Results Logic

Environmental factors →

Specific behaviour Gaps, capacity and investment Problems in key target and intermediary groups →

Gaps or problems in proponent activities and capability Inappropriate use of resources →

Ultimate Outcome

↑

Intermediate Outcome

↑

Immediate Outcome

↑

Outputs, Activities, Inputs

Hypothetical Example: A Food Safety Initiative

- Global competition and rising costs putting pressure on food processors and distribution chain
- Biological risk factors increasing and more complex

- Food chain players inconsistent in handling practices (lack of compliance to requirements)
- Lack of safety culture
- Various policy and regulator groups inconsistent in practices and cooperation

- Gaps in coordination / coverage
- Gaps in regulation
- Gaps in skilled resources

Ultimate Outcomes

- Healthy citizens
- Safe food for consumers at a fair cost

Intermediate and Immediate Outcomes

- Improved overall compliance, deterrence, reduced recidivism
- Appropriate safety 'culture' activities (e.g. training, adoption of traceability practices etc.)
- Cooperation and consistent support from key stakeholders and partners

Outputs, Activities, Inputs

- Improved inspection and enforcement
- Improved coordination / surveillance
- Improved regulation
- Improved human resources

A Basic Problem Oriented Results Logic (Problems / Gaps Should Inform Results)

Problems / Gaps / Risks / Needs

End / Ultimate Outcomes

Intermediate Outcomes

Immediate Outcomes

Outputs

Activities

Inputs

A Case Study in [lack of] Health Accountability – The Walkerton Water Situation

Weather climate change – flooding

Economic pressure on agriculture

S&T developments in farming

Financial pressure on public infrastructure

E-coli: contaminated water leading to health crisis

"Factory" farming
– antibiotics
– fecal waste

Aging water infrastructure

Public (lack of) awareness, knowledge, and preventative action

Local Medical Officer

Brockton – Walkerton

Public Utilities Commission

Other Institutions: e.g., Health Canada, CFIA, AAFC

Private Testing Labs

Politicians

Ontario Government (MOE)

"Our role is only to test the water, not to fix the problems."
Palmateer and Patterson, Globe and Mail, May 29 / 00

"I didn't say we're responsible, I didn't say we're not responsible."
Premier Mike Harris, Globe and Mail, May 30 / 00

"We thought this was a disaster waiting to happen for the last four years."
Dr. Murray McQuigge, Yahoo news, May 30 / 00

Environment Minister announces regulatory changes:
1- Mandatory lab accreditation
2- Mandatory to inform MOE of lab testing changes
3- Review of testing certificates
4- Reinforce current notification procedures
May 29 / 00

A two year inquiry held two town officials almost completely to blame.
Deeper systems surrounding the situation were not extensively reviewed.

Source: Montague, Steve, A Regulatory Challenge Conference, 2000

Small Group Exercise

- Look at the Walkerton case

- Suggest some situational needs / risks

- Then consider some results

- What would be a logical sequence of related results? 'Who' and 'What' need to change?

A Results Framework (Logic) for Public Programs and Initiatives

- Start with problems, risks and needs

- Consider who and what needs to change

- Develop a sequence of changes to be made

- 'Map' the logic onto the results logic chart provided

Risk and Results

- Risks can be mapped to reach-results chains – showing spheres of influence

- Risk measures are the flipside of results measures

- A good reach-results chart helps set mitigation and consistency risk plans

Group Discussion

1. Consider a change initiative involving multiple partners – using the basic reach-results map.

2. Consider how risks 'map' onto this chart.

3. Discuss the risk mitigation measures / strategies which are possible

4. What are your observations?

5. What are the measurement implications?

The Next Steps: Needs-Results-Strategy Plan

- Moving beyond results logic

- Use needs / problems as 'current state'

- Plot desired results over time

Example: The Canadian Cancer Society

- Large charity (largest in Canada)

- High diversity and complexity

- Needed more consistency

- Need more strategic focus

Problem-Based Results Logic and a (Modified) Bennett Hierarchy

- Look at the prevention portfolio as a set of risk areas (tobacco control, pesticides use, obesity, sun exposure, lack of screening etc.)

- Set research up on problems and trends – then construct desired results and indicators

- Impact evaluation to fill gaps – directly inform strategies

A Basic Results Chain

Program (Results) Chain of Events
(Theory of Action)

Key Questions

	Program (Results) Chain		Key Questions	
Indirect Influence	7. End results	▲	7. What is our impact on 'ends'?	**WHY?**
	6. Practice and behavior change	▲	6. Do we influence [behavioural] change?	
Direct Influence	5. Knowledge, attitude, skill and / or aspirations changes	▲	5. What do people learn? Do we address their needs?	**WHAT?**
	4. Reactions	▲	4. Are clients satisfied? How do people learn about us?	
	3. Engagement / involvement	●	3. Who do we reach? Who uses / participates?	**WHO?**
Control	2. Activities and outputs	■	2. What do we offer? How do we deliver?	
	1. Inputs	■	1. How much does our program cost? ($, HR etc)	**HOW?**

Source: Adapted from Claude Bennett 1979. Taken from Michael Quinn Patton, <u>Utilization-Focused Evaluation: The New Century Text</u>, Thousand Oaks, California, 1997, p 235.

A Related Sequence of Needs / Problems

A related sequence of problems:

Summary: Thousands of members of Community Y put themselves at risk of skin cancer due to excessive exposure to the sun's UV rays. This can be shown as a sequence of issues as follows:

- The incidence of sun-related cancers is rising in Community Y.
- Community Y shows self-assessed ratings of sun-safe precautions (e.g. clothing, sunscreen etc.) for given UV exposures which are lower than the national average.
- Community Y does not currently have a shade policy for public spaces.
- Market research data shows that X% of Community Y members are unaware of what appropriate precautions to take at 'high' or 'medium' levels of UV exposure.

Situation / Needs Assessment	
Conditions What is the current 'state' of cancer? (Health-incidence, mortality, morbidity, quality of life, *social, technological, economic, environmental, political* [S.T.E.E.P], trends) What broad need or gap can / should CCS be trying to fill?	⌨ The incidence of sun-related cancers is rising in Community Y.
Practices What are the current (problematic) practices in place re: cancer support in the target communities of interest? What are the coping difficulties?	⌨ Sunsafe precautions taken by members of Community Y are below the national average. ⌨ Tanning bed use – especially among young adults – continues to suggest risks of inappropriate exposure.
Capacity Are there gaps in delivery support? What gaps exist in the CCS's target communities in terms of knowledge, abilities, skills and aspirations?	⌨ Community Y does not currently have a shade policy. ⌨ X% of Community Y members are not aware of the appropriate precautions to take at given UV levels.
Awareness / Reaction Are there gaps in terms of target community awareness of and / or satisfaction with current information, support services, physical support, laws and regulations, or other initiatives to support needs? What are the perceived strengths and weaknesses?	⌨ X% of Community members are aware of the risks of UV and the risks of tanning bed exposure. This is low compared to possible levels (reference: Australia)
Participation / Involvement Are there problems or gaps in the participation, engagement or involvement of groups who are key to achieving the CCS's desired outcomes?	⌨ Groups of concerned citizens or professionals have not yet been mobilized in this community. ⌨ No other group has yet picked up this cause. ⌨ Media attention has not been given to this subject.
CCS Activities / Outputs Are there activities or outputs which the CCS does which represent barriers or gaps to achieving its objectives?	⌨ CCS has not focussed attention on this area, other than distributing pamphlet information.
CCS Resources What level of financial, human and technical resources are currently at the CCS's disposal? Are there gaps?	⌨ Minimal human and $ support has been invested in this area.

From Needs / Situation Assessment to Results

Move from Needs to Results		
Needs / Situation		**Desired Results**
Conditions • Increasing incidence of sun related cancer	⇒	**End Result** • Reduced rate of sun related cancer
Practices • Problematic level of unsafe sun and tanning behaviours	⇒	**Practice and Behavior Change** • Improved / increased 'Sunsafe' behaviours • Reduced risky tanning practices • Shade policies implemented for public areas
Knowledge, Abilities, Skills and Aspirations • Key segments do not know appropriate Sunsafe precautions for various UV levels	⇒	**Knowledge, Abilities, Skills and Aspirations** • Understanding of what precautions to take at various UV levels
Awareness / Reactions • Lack of awareness / reactions to UV warnings • Lack of apparent awareness of need for shade in public spaces	⇒	**Reactions** • Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions
Engagement / Involvement • Lack of public / institutional / other related agency involvement in Sunsafe promotion • Lack of opportunity for concerned group involvement	⇒	**Engagement / Involvement** • Media pick-up of Sunsafe messaging • Involvement of physicians groups in sun safe cases
Activities • Gap in promotional / educational activities	⇒	**Activities** • Promotional / educational activities and information / communication to key target groups
Resource Inputs • Gaps in resources committed to area	⇒	**Inputs** • Level of people, skills, knowledge, $ applied to Sunsafe area

Results Chain		Time Periods – Usually Fiscal Years			
		T0 [Current Needs]	**T1** [Desired]	**T2** [Desired]	**T3**[(+)] [Desired]
WHY?	'End' Result ⭐ *Describe the overall trends with regard to the CCS mission and Board Ends.*	Recent cancer trends (incidence, mortality, morbidity, Q of L) including S.T.E.E.P. factors			▪ Observed health effects and broad system changes (incidence, mortality, morbidity, Q of L)
WHAT BY	Practice and Behaviour Change *Describe the practices and behaviour of individuals, groups, and partners over time.*	Current level of practices re: need/problem area		▪ Observed behaviour changes, adaptation, action	▪ Observed behaviour changes, adaptation, action
	Knowledge, Ability, Skill and / or Aspiration Changes *Describe the level of knowledge, abilities, skills and aspirations / commitment of individuals, groups, and/or communities.*	Current level of knowledge, ability, skills and/or aspirations re: issue area and services etc		▪ Observed or assessed learning / commitment	▪ Observed or assessed learning / commitment
WHOM?	Reactions ☺ *Describe feedback from individuals, groups, and partners: satisfaction, interest, reported strengths and weaknesses.*	Current awareness + satisfaction level with information, services etc.	▪ Reactions (satisfaction level)	▪ Reactions (satisfaction level)	▪ Reactions (satisfaction level)
	Engagement / Involvement *Describe the characteristics of individuals, groups, and co-deliverers: numbers, nature of involvement*	Current level of usage / participation / involvement by key groups (including other deliverers)	▪ Level of usage / engagement / participation	▪ Level of usage / engagement / participation	▪ Level of usage / engagement / participation
HOW?	Activities / Outputs *Describe the activity: How will it be implemented? What does it offer?*	Current activities + outputs (type and level)	▪ # Outputs ▪ Milestones Achieved	▪ # Outputs ▪ Milestones Achieved	▪ # Outputs ▪ Milestones Achieved
	Inputs / Resources $ *Resources used: dollars spent, number and types of staff involved, dedicated time.*	Current and historical$ and HR spent Needs re: CCS capacity	▪ $ and HR spent ▪ Improvements to CCS capacity	▪ $ and HR spent ▪ Improvements to CCS capacity	▪ $ and HR spent ▪ Improvements to CCS capacity

48

AREA OF CCS MISSION / OBJECTIVES: Reduce incidence and mortality from cancers associated with U.V. exposure					
	Results Chain	**Needs-Results Plan Worksheet**			
		T0 [Current Needs]	**T1 [Desired]**	**T2 [Desired]**	**T3 [(+)] [Desired]**
WHY?	**'End' Result** ★ *Describe the overall trends with regard to the CCS mission and Board Ends.*	• Increasing incidence of sun related cancer			• Reduced rate of sun related cancer
WHAT BY **WHOM?**	**Practice and Behaviour Change** *Describe the practices and behaviour of individuals, groups, and partners over time.* **Knowledge, Ability, Skill and / or Aspiration Changes** *Describe the level of knowledge, abilities, skills and aspirations / commitment of individuals, groups, and/or communities.*	• Problematic level of unsafe sun and tanning behaviors • Key Segments do not know appropriate sunsafe precautions for various UV levels		• Improved / increased 'sunsafe' behaviors • Reduced risky tanning practices • Shade policies implemented for public areas • Understanding of what precautions to take at various UV levels	• Improved / increased 'sunsafe' behaviors • Reduced risky tanning practices • Shade policies implemented for public areas • Understanding of what precautions to take at various UV levels
	Reactions ☺ *Describe feedback from individuals, groups, and partners: satisfaction, interest, reported strengths and weaknesses.* **Engagement / Involvement** *Describe the characteristics of individuals, groups, and co-deliverers: numbers, nature of involvement*	• Lack of awareness / reactions to UV warnings • Lack of apparent awareness of need for shade in public spaces • Lack of public / institutional / other related agency involvement in sunsafe promotion • Lack of opportunity for concerned group involvement	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions • Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions • Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions • Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause
HOW?	**Activities / Outputs** *Describe the activity: How will it be implemented? What does it offer?*	• Gap in promotional / educational activities	• Promotional / educational activities and information / communication to key target groups	• Promotional / educational activities and information / communication to key target groups	• Promotional / educational activities and information / communication to key target groups
	Inputs / Resources 🚶 $ ❋ *Resources used: dollars spent, number and types of staff involved, dedicated time.*	• Gaps in resources committed to area	• Level of people, skills, knowledge, $ applied to sunsafe area	• Level of people, skills, knowledge, $ applied to sunsafe area	• Level of people, skills, knowledge, $ applied to sunsafe area

From Needs-Results Logic to Planning

- Start with needs-results chart

- Plot desired results over time

- Consider measurement and evaluation strategy

Developing Indicators

- Relate directly to results

- As specific as possible

- Targets related to problems

Example: British Columbia-Yukon Pesticides Strategy (Developed by Prevention Team November, 2007)

	RESULTS CHAIN PLAN				PROGRESS MEASUREMENT STRATEGY	
	2007/08 [Current Situation]	**2008/09 [Desired Results]**	**2009/10 [Desired Results]**	**2010/11 + [Desired Results]**	**Indicators**	**Data Source**
7. 'Ultimate' Result/End				Decrease in E&O related cancers	Cancer incidence rates	Annual Canadian Cancer Statistics
6. Practice and Behaviour Change	▪People still exposed to pesticides ▪Of 157 municipalities: 8 have cosmetic pesticide use bylaws, 5 have draft bylaws, 12 are considering bylaws ▪Regional issues exist ▪Agriculture exposure (workers/residents) ▪Quebec only province with a province-wide pesticide ban, which includes ban on sales	▪Additional municipalities pass bylaws ▪Reduction in involuntary exposure ▪Increased adoption of healthy behaviours related to pesticide use	▪Continued results from 08/09 ▪Education provided at points of purchase	▪Continued results from 09/10 ▪Provincial by-law enacted	▪Increase # of municipal bylaws and legislation passed ▪Decrease in non-essential use by general public	▪Environmental scan of existing external data sources
5. Knowledge, Attitude, Skill and/or Aspiration Changes	▪Knowledge gaps ▪Need more research and acceptance of other kinds of research ▪Community norms ▪Growing awareness among some health authorities ▪Growing awareness of precautionary principal	▪Increased understanding of issue among general public ▪Increased knowledge and support of policy among decision-makers ▪Improved knowledge of CCS as a trusted source	▪Continued results from 08/09 ▪Improved knowledge about issue among general public	▪Continued results from 09/10 ▪Increased knowledge and support of policy among decision-makers continues	Increase in general public knowledge	▪Market research
4. Reactions	▪Not an important issue for some in scientific & medical community ▪Not everybody has an awareness of or sees the importance of the issue ▪Pesticides still being sold and bought ▪Disconnect between people's concern and practice	▪Increased media coverage on CCS position and stories ▪Increased expression of interest by decision makers ▪CCS reaches key opinion leaders	▪Continued results from 08/09 ▪Positive reaction among general public to CCS pesticide message ▪Platforms for 2009 Municipal Election influenced	Continued results from 09/10	▪Increase in media attention ▪Attendance at community forums ▪# requests for meetings and briefings from government officials ▪# requests for CCS presentations and displays	▪Media tracking service ▪Prevention Strategy Reporting Template
3. Engagement / Involvement	▪Growing interest in issue from environmental groups	▪General public and government decision makers engaged in issue ▪Targeted audiences engaged in issue	▪Continued engagement of general public and government ▪Targeted audiences engaged in issue	▪Continued engagement of general public and government ▪Targeted audiences engaged in issue	▪# meetings & briefings with government officials ▪# partnerships and collaborations ▪# website visits ▪# CIS pesticide inquiries	▪Prevention Strategy Reporting Template ▪Web usage statistics ▪CIS usage statistics
2. Activities / Outputs	▪CCS activities involve education, community action, advocacy ▪National CCS position on ornamental use of pesticides on lawns and gardens ▪Brochure – Pesticides and You	▪Education, displays and workshops provided ▪1st annual Prevention Forum and community forums organized ▪Market research/focus groups undertaken ▪Municipal and MLA breakfasts attended ▪Discussions with Rev Dev re: use of pesticide-free daffodils	▪Continued results from 08/09 ▪2nd annual Prevention Forum organized ▪CCS offers pesticide-free daffodils ▪Work to align CCS internal positions/policies	▪Continued results from 09/10 ▪3rd annual Prevention Forum organized ▪CCS internal position/policies and practices are aligned	▪# education workshops/sessions given to staff and volunteers ▪# presentations provided to general public ▪# displays ▪Prevention Forum held ▪Municipal and MLA breakfasts attended ▪# communities holding public forums	▪Prevention Strategy Reporting Template
1. Inputs	▪25% of Prevention Strategy focus ▪18 FTEs (Division office and regions) ▪Consultants ▪$	▪20-25% of focus ▪18 FTEs ▪Contract staff ▪Budget $	▪% of focus TBD ▪Other inputs same as 09/10	Same as 09/10	▪FTEs ▪$ spent	▪HR records ▪Financial statements

A Basic Results Chain Measurement 'Menu'			
Initiative Chain of Results	**Hierarchy of Evaluation Criteria / Evidence**	**Typical Indicators**	**Typical Sources / Methods**
End outcomes	Measures of impact on overall problem, ultimate goals, side effects, social and economic consequences	Cancer statistics (incidence, mortality, morbidity, quality of life)	Specialized analyses / evaluations* Statistical agency data Analytical and policy groups (e.g. CBRPE, CSCC, WHO)
Practice and behaviour change	Measures of adoption of new practices and behaviour over time	Observed physical behaviours / actions Observed / recorded policies, protocols Observed compliance to requirements Self-assessed practice / behaviour	Physical observation Inspections, reviews Surveys Evaluation studies*
Knowledge, attitude, skill and aspiration change	Measures of individual and group changes in knowledge, abilities, skills and aspirations	Demonstrated capability Preparatory actions (policies, training sessions) Self-assessed learning Level of recall of key knowledge	Independent review of target group Content analysis of evaluation* information Survey, group self-assessment Testing / certification
Reactions	What participants and clients say about the program; satisfaction; interest, strengths, and weaknesses	Repeat / increased use of service, participation in initiative Complaints Observed / solicited feedback	Usage / participation tracking Correspondence content analysis Survey(s)
Engagement / participation	The characteristics of program participants and clients; number, nature of involvement, and background	Downloaded material Participation (quantity and quality) in online, or physical events Attendance at meetings Enquiries / questions received	Web use tracking Correspondence content analysis Observation of meetings / events Meeting attendance records Client relationship management / tracking
Activities & outputs	Implementation data on what the program actually offers	Number of outputs Achievement of delivery milestones	Project / initiative tracking Project reports Content analysis or records
Inputs	Resources expended; number and types of staff involved; time expended	Dollars expended by activity area Time expended by activity area	Budget analysis Time, reporting and budget / plan review Activity-based costing

* While evaluation studies are noted as particularly relevant at the higher levels of the chain, they can and should be used to vertically 'connect' all levels of performance.

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What Made This Work for Management Was:

- No logic model or evaluation jargon

- Positioning work as a management tool for streamlining Ends Report

- Building results logic into planning

The 'Emerging' Solution?

- Build systems thinking, emergent goals and recursive loops 'into' conventional tools like plans

- Keep language simple, structure consistent and allow for changes over time

- Monitoring and evaluation built in to management processes

- Program logic as an heuristic within results planning

Canadian Cancer Society Use of Evaluation

- Results chains used to map current situation (problem / need), expected results and progress measurement

- Deductive and inductive reasoning (program theory fundamentally informed by empirical evidence of the current situation)

- Evaluation slots in to address any gaps and contribution / attribution questions

The Evaluator's Role in Public Management

- Changing paradigms

- Future evaluation

- Conclusions / recommendations / further questions

Continuous Cycle of a Performance Management Framework

Strategic Planning:
- set strategic directions
- identify organizational context, goals and objectives
- develop strategies to achieve goals/objectives
- discuss risk and how to mitigate risk

Learning & Adjusting

Annual Planning:
- set specific objectives for the year
- identify inputs, processes, activities and outputs
- allocate resources
- plan strategies

Performance Reporting:
- report results against plans
- state why information is credible and balanced
- demonstrate use of and learning from results

Program Delivery

Monitoring, Measuring and Assessing Results:
- monitor and assess progress towards planned results
- compare actual results to planned results
- explain variances between planned and actual results

The traditional evaluation function addresses the cycle here

The above diagram represents an ongoing continuous cycle. There is no start and finish.

Source: CICA-PSAB 2005

Continuous Cycle of a Performance Management Framework

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Modern thinking suggests that the evaluation function plays a central role in the cycle

Program Delivery

Monitoring, Measuring and Assessing Results:
- monitor and assess progress towards planned results
- compare actual results to planned results
- explain variances between planned and actual results

Conclusions

- Performance Measurement and evaluation in complex program areas vitally need to be informed by deeper systems thinking – but easier said than done

- In order to contribute to strategic thinking, management and policy, evaluation logic should directly incorporate problem analysis into it's approach

- A reach chain (or relationship network) should be recognized along with the results chain

- With achievement of the above elements, Performance Measurement and Impact Evaluation can then 'slot in' as necessary and complementary management tools

Recommendations

- Use a structured needs assessment and a reach-results chain to:
  - Plan
  - Refine results
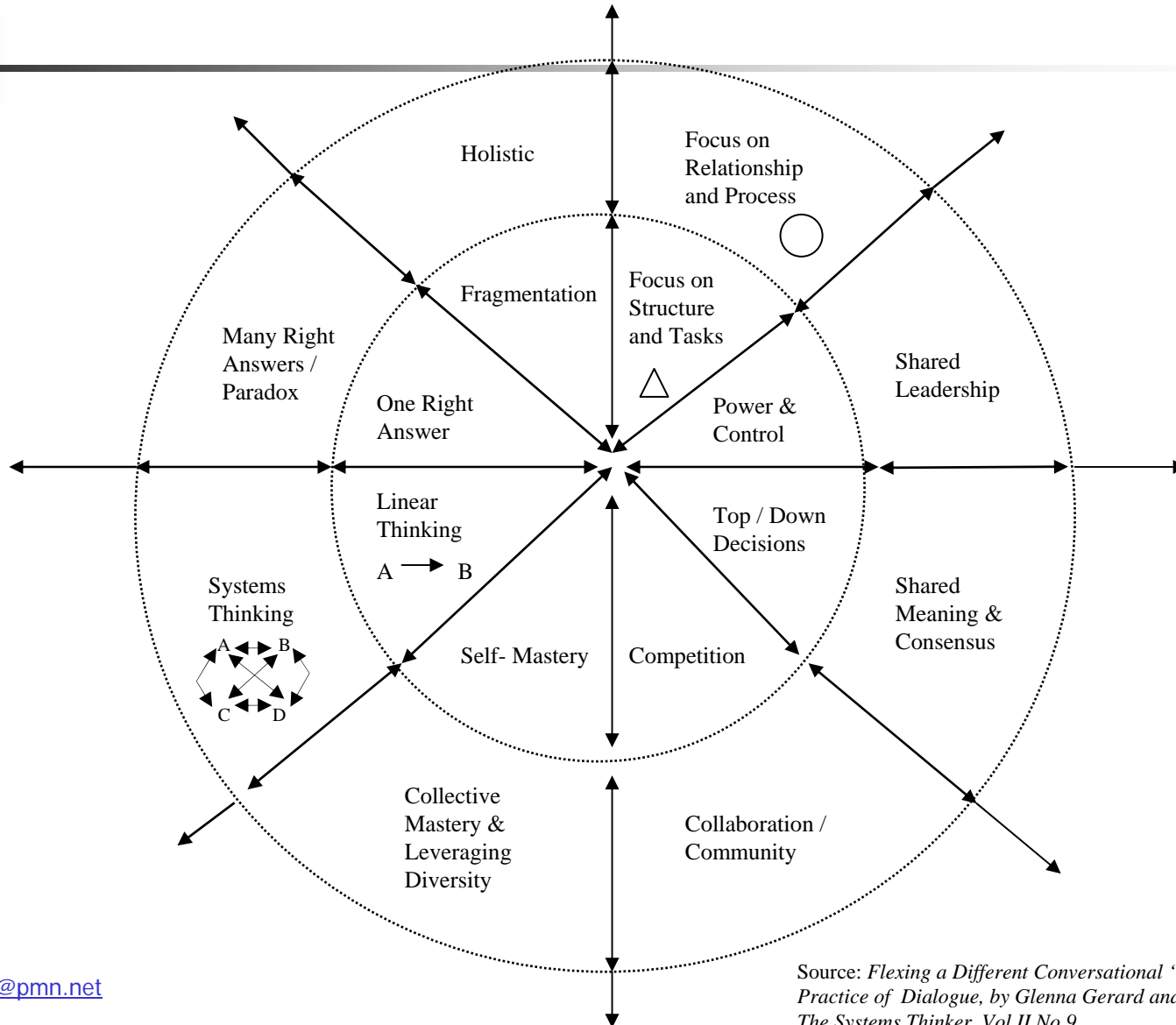 - Set targets
  - Define measures

- Integrate:
  - Approaches
  - Stakeholders
  - Processes

- Cultivate (rather than engineer) the process

Questions

- Can evaluation become invisible?

- Does a function as 'threatening' as evaluation have a chance to survive at strategic levels?

- Can evaluative thinking and conceptual use take hold in systems without the closed loop of the Canadian Cancer Society?

- Does evaluative thinking (as demonstrated in this case) have the potential to change management approaches?

Holistic

Focus on Relationship and Process

Fragmentation

Focus on Structure and Tasks

Many Right Answers / Paradox

One Right Answer

Power & Control

Shared Leadership

Linear Thinking

A → B

Top / Down Decisions

Systems Thinking

A ↔ B
C ↔ D

Self- Mastery

Competition

Shared Meaning & Consensus

Collective Mastery & Leveraging Diversity

Collaboration / Community

Source: *Flexing a Different Conversational "Muscle": The Practice of Dialogue, by Glenna Gerard and Linda Ellinor, The Systems Thinker, Vol II No 9*

63

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64

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