Telling the Regulatory Performance Story

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Agenda

- The Regulatory (Risk Management) Results Story
- The Needs / Current Situation
- Needs-Results Logic
- Measurement
- Risk Considerations
- Conclusions

The Regulatory Results Story

- Problem solving, risk and harm reduction as the key focus
- Success is defined by the behaviours of target communities (e.g. compliance)
- Given the above – concepts like deterrence and improved compliance are key – but very difficult to show attribution

Source: Sparrow, Malcolm K. (2000), The Regulatory Craft: Controlling Risks, Solving Problems, and Managing Compliance, Brookings Institution

Tensions Between the Regulatory Story and Convention

- Problem solving vs. organizational efficiency
- Ability to sum the accounts
- Integration vs. balance
- ‘Partnerships’ and other relationships

Table 8-1. Classifications of Business Results

Tier 1. Effects, impacts, and outcomes (environmental results, health effects, decline in injury and accident rates)

Tier 2. Behavioral outcomes

a. Compliance or noncompliance rates (significance…)
b. Other behavioral changes (adoption of best practices, other risk reduction activities, "beyond compliance," voluntary actions, and so on)

Tier 3. Agency activities and outputs

a. Enforcement actions (number, seriousness, case dispositions, penalties, and so on)
b. Inspections (number, nature, findings, and so on)
c. Education and outreach
d. Collaborative partnerships (number established, nature, and so on)
e. Administration of voluntary programs
f. Other compliance-generating or behavioral change-inducing activities

Tier 4. Resource efficiency, with respect to use of

a. Agency resources
b. Regulated community's resources
c. State authority

Source: Sparrow, Malcolm K. (2000) The Regulatory Craft Controlling Risks, Solving Problems, and Managing Compliance, The Brookings Institution, Washington

Table 7-1. Characteristics of Partnerships with the Regulated Community

Characteristic	*Customer service focus*	*Compliance focus*
Whom partnerships are formed with	Whoever asks for help	Whoever needs to be involved or has something to offer
Who partners tend to be	Good actors, responsible mentors, and leaders	Bad actors, locus of significant problems
Stance of regulatory agency	Reactive, responsive	Proactive, seeking out appropriate partners
Objective of partnership	Response to citizen/ industry's requests; meeting their needs	Compliance with regulations, collaborative risk reduction
Method of avoiding public embarrassment	Dealing only with responsible parties	Limited use of immunity and amnesty in partnership design
Motivation for forming partnership	Mutual advantage	Formed under duress

Source: Sparrow, Malcolm K. (2000) The Regulatory Craft Controlling Risks, Solving Problems, and Managing Compliance, The Brookings Institution, Washington

Table 9-2. Distinguishing Characteristics of Process Improvement and Problem Solving

Characteristic	*Process improvement*	*Problem solving*
Work addressed	Existing core operational high-volume processes	External risks, threats, or noncompliance problems
Objective	Improve agency machinery or processes	Eliminate or mitigate external problems
Focus	Internal; efficiency	External; effectiveness
Scope	Broad, long-term changes in agency-wide procedures	Context specific, tailor-made solutions, sometimes temporary
Staff responsible	Process owners and multifunctional process improvement teams	Project teams formed around specific external problem
Definition of success	Greater productivity, timeliness, efficiency in routine processes	Specific external risk or patterns of noncompliance mitigated or eliminated
Nature of tool	Management method	Operational method

Source: Sparrow, Malcolm K. (2000) The Regulatory Craft Controlling Risks, Solving Problems, and Managing Compliance, The Brookings Institution, Washington

Table 14-1. Distinguishing Characteristics of Balanced and Integrated Compliance Strategies

Characteristic	*Balanced strategy*	*Integrated strategy*
Strategy	— Identifies range of tools desirable	— Identifies important risks
	— Decides overall resource allocation (balance)	— Develops coordinated, multifunctional responses
	— Each functional tool finds its own targets	— Often invents new tools, techniques, solutions
Organization	— Work organized around tools	— Tools organized around work
Key phrases	— "Opportunities for use"	— "Identify problems"
	— "Identify targets"	— "Invent solutions"
	— "Right mix of tools for the agency"	— "Impact" / "effect"
		— "Mix of tools that work"
Organizational challenges	— Competing styles or orientations	— Lateral coordination
	— On-site conflicts	— Project-based approach
	— Mixed signals to outside world	— Dynamic resource allocation
		— Budgetary flexibility
Impacts or effects	— Functionally specific credit for direct effects of actions	— Shared credit for major accomplishments

Source: Sparrow, Malcolm K. (2000) The Regulatory Craft Controlling Risks, Solving Problems, and Managing Compliance, The Brookings Institution, Washington

The Current [Typical] Policy / Program Situation:

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

Simple-Complicated-Complex

Simple

Following a Recipe

- The recipe is essential
- Recipes are tested to assure replicability of later efforts
- No particular expertise; knowing how to cook increases success
- Recipes produce standard products
- Certainty of same results every time

Complicated

A Rocket to the Moon

- Formulae are critical and necessary
- Sending one rocket increases assurance that next will be ok
- High level of expertise in many specialized fields + coordination
- Rockets similar in critical ways

Complex

Raising a Child

- Formulae have only a limited application
- Raising one child gives no assurance of success with the next
- Expertise can help but is not sufficient; relationships are key
- Every child is unique

(Zimmerman 2003)

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

Measurement and Evaluation

MEASUREMENT MONITORING	EVALUATION
Continuous	Periodic: at important milestones such as the mid-term of program implementation; at the conclusion of the program, or after a substantial period of time following program conclusion (3-5 years)
Keeps track of programmatic evolution; analyses and documents progress	In-depth analysis; compares planned with actual achievements
Focuses on inputs, activities, outputs, implementation processes, continued relevance, likely results at purpose level Answers what activities were implemented and what results were achieved	Focuses on: outputs in relation to inputs; results in relation to cost; processes used to achieve results; overall relevance; impact; and sustainability Answers why and how results were achieved; contributes to building theories and models for change
Alerts managers to problems and provides options for corrective actions	Provides managers with strategy and policy options
Self-assessment by program managers, supervisors, community stakeholders, and donors	Internal and / or external analysis by programme managers, supervisors, community stakeholders, donors, and/or external evaluators

Sources: UNICEF, 1991; WFP, May 2000, World Bank International Finance Corporation, January 2006

Problem: The Reasons for Doing Performance Planning, Measurement and Evaluation

- Contrasting World Views and Paradigms

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

- Most Performance Measurement is "disaggregationist", while strategic management requires synthesis
- Balanced vs. integrated thinking (Sparrow)
- Tendency to emphasize linear thinking
- Standardized metrics (e.g. speed, compliance level – Sparrow)
- Implied command and control
- Efficiency over effectiveness (Sparrow)

Case Example: Walkerton

- Thousands rendered ill, 7 die from ecoli contaminated municipal water
- Regulations 'stiffened' almost immediately – lots of risk shifting and paper burden to small community well operators
- 2 year O'Connor enquiry
- Blame essentially laid on local officials
- Assessment of water regulations? / risk management?
- Was this a deeper systems problem?

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)

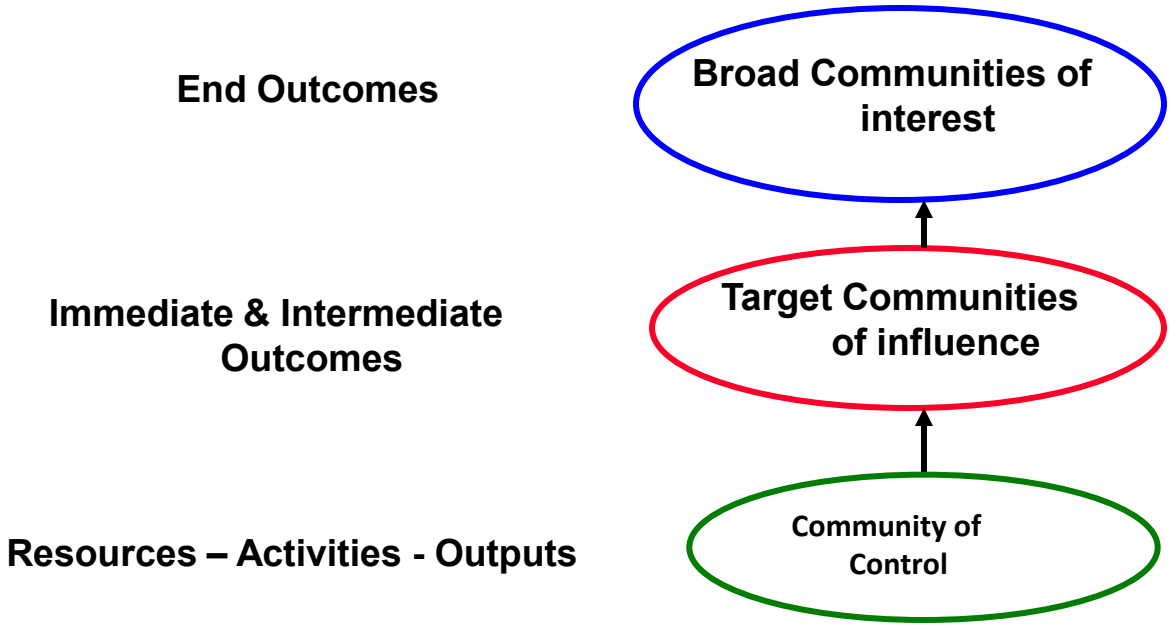
- Tell a Performance Story
  - How, Who, What, Why

- 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 complex or too simple
  - Miss key community behaviours
  - Analysis vs. synthesis
  - Miss an important question: What problem(s) are we solving?

Need to Recognize That Results Occur In Different 'Communities' or Levels



In fact, these communities are related and interact with each other.

Sparrow's Classification of Regulatory Results

Table 8-1. Classifications of Business Results

Tier 1. Effects, impacts, and outcomes (environmental results, health effects, decline in injury and accident rates)

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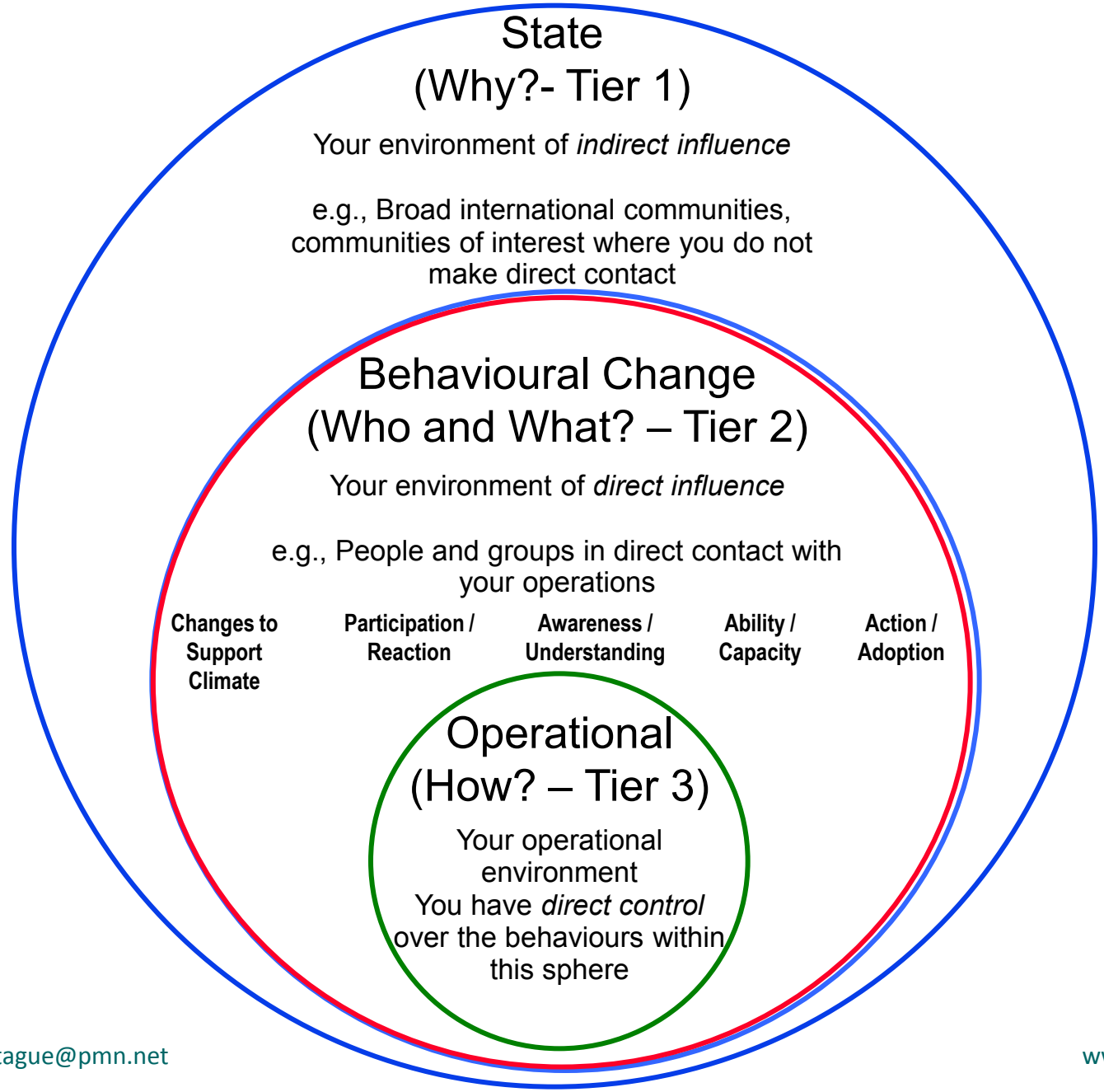
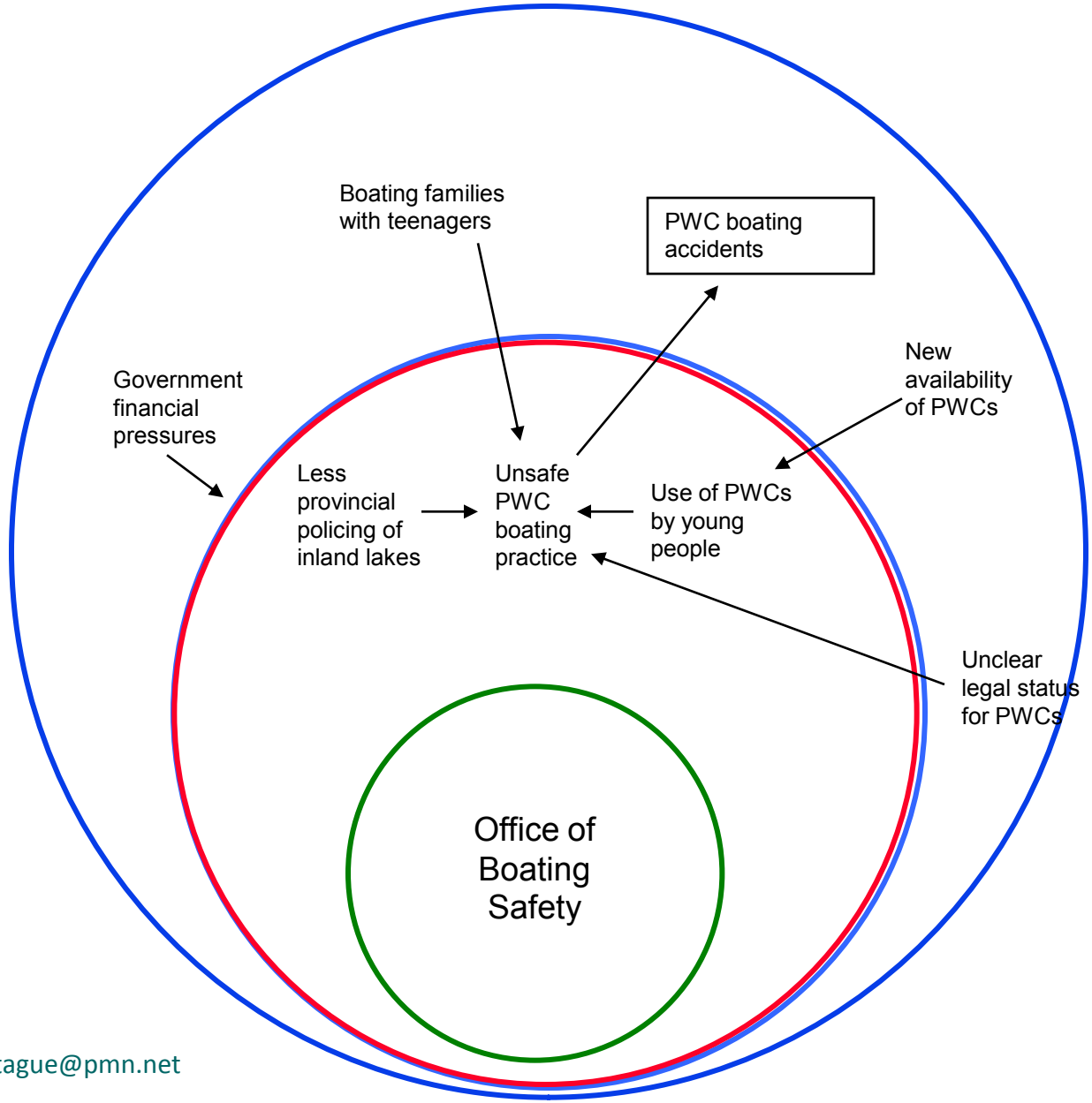
Source: Sparrow, Malcolm K. (2002) The Regulatory Craft Controlling Risks, Solving Problems, and Managing Compliance, The Brookings Institution, Washington, p119

Spheres of Influence (Sparrow meets Van Der Heijden)



Personal Water Craft (PWC) Safety – Early 2000s External Assessment



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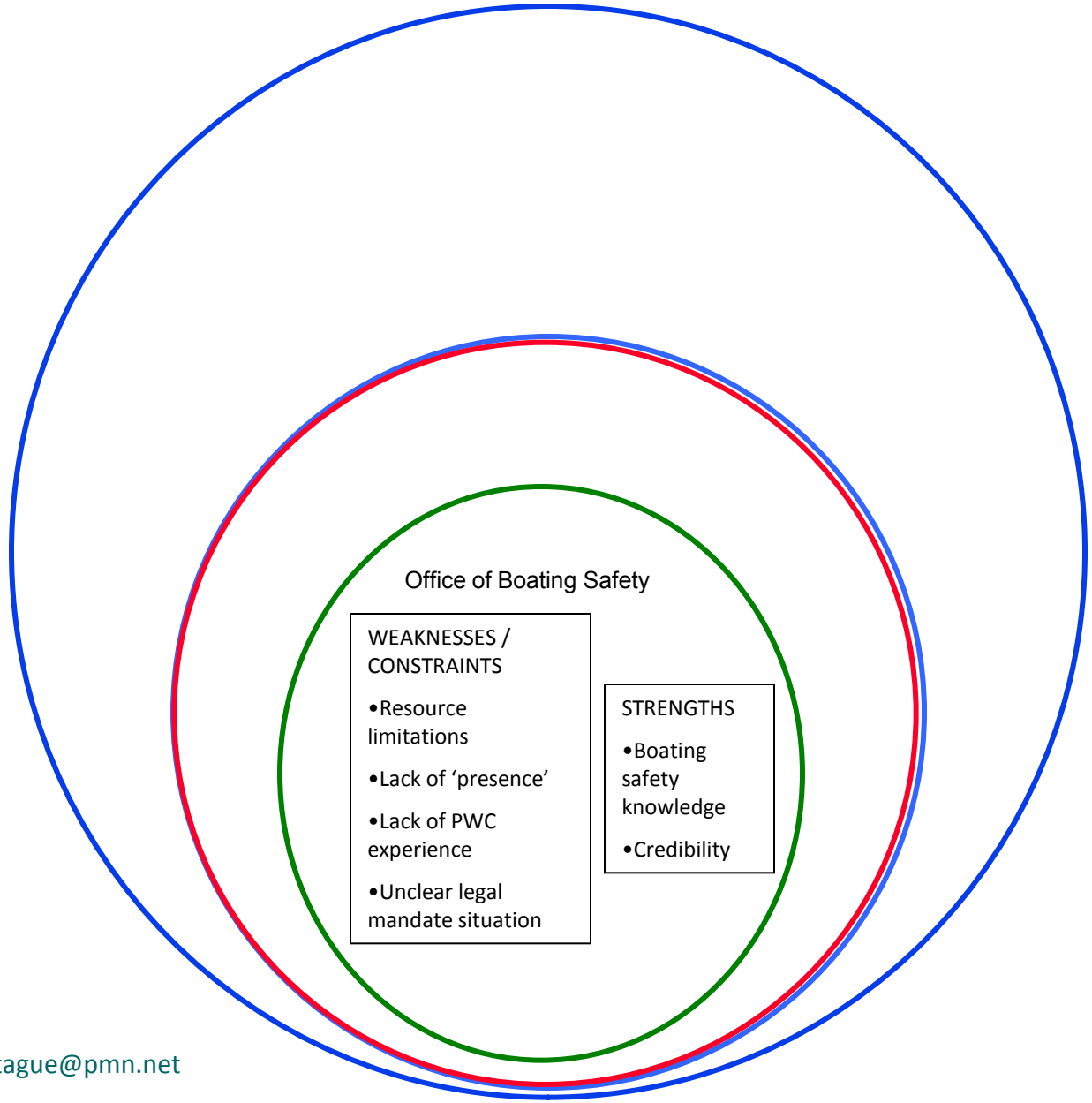
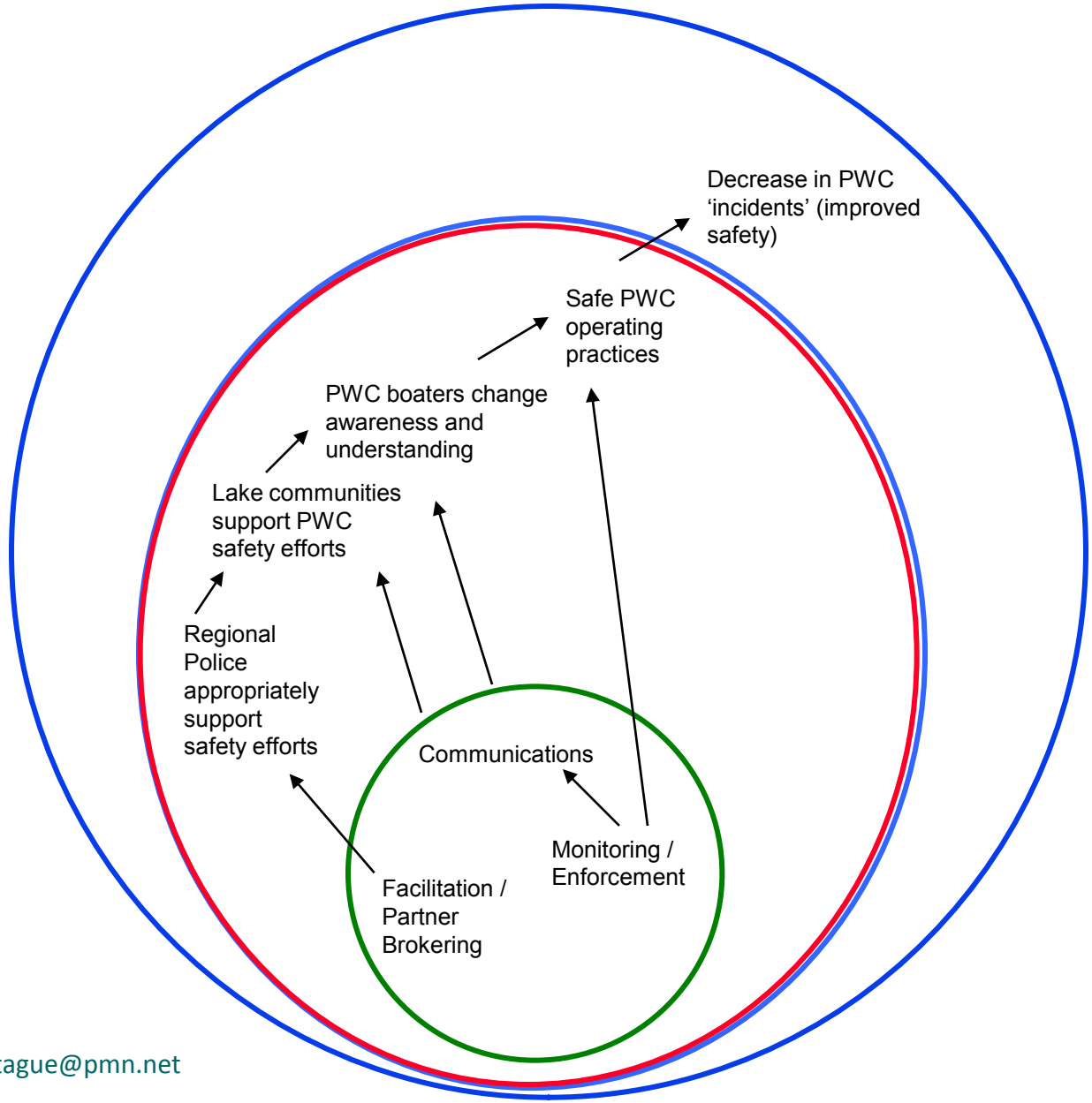


Personal Water Craft (PWC) Safety Strategy

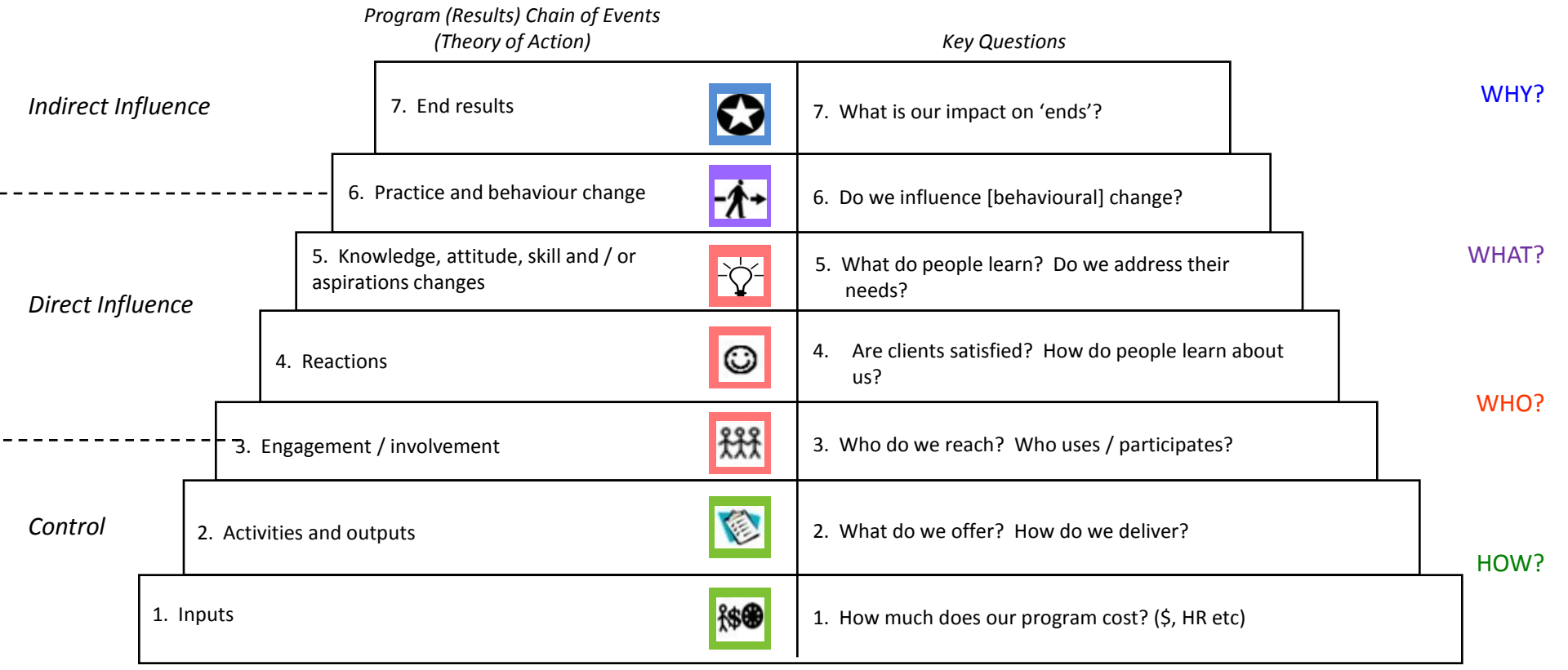


Note that the above logic involves garnering regional police and community support to help influence PWC operators. Also note that as the behaviours occur farther and farther away from the operational circle, an organization's ability to influence change is reduced. In this fact lies the analogy of behavioural 'wave' – sharp and forceful near the origin, broader and weaker (subject to disruption by other forces) as it moves outward.

Developing a Needs-Results Hierarchy as a 'Front End'

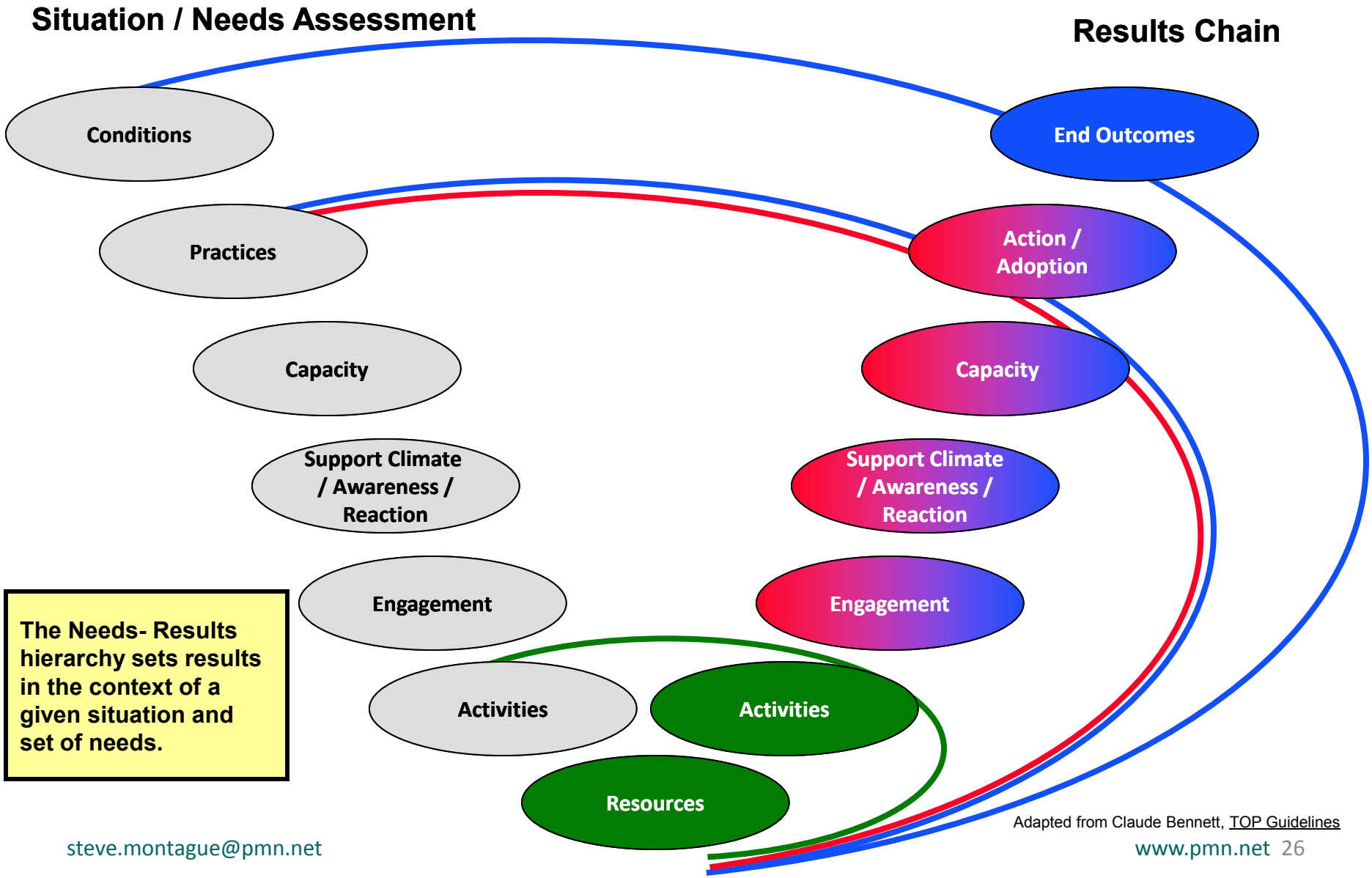
- Focus on important problems and priorities
- Develop a chain of results leading to outcomes
- Focus on human change
- Distinguish control from influence

A Basic Results Chain



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

A Needs-Results Hierarchy Approach



The Needs- Results hierarchy sets results in the context of a given situation and set of needs.

Adapted from Claude Bennett, TOP Guidelines

Example: Storage and Transportation of Dangerous Goods

(Source: Transportation of Dangerous Goods, Transport Canada, 2002)

Situation/ Needs Assessment

1997

Conditions

- Unsafe transportation and storage of anhydrous ammonia

Practices

- 100% non-compliance in all 43 high priority (C1) sites
- Few facilities voluntarily registered with the Association

Capacity

- Little knowledge of the program and lack of understanding of the technical aspects of compliance requirements by individual nurse tank owners

Support Climate / Awareness / Reaction

- Lack of awareness, engagement and support by high priority sites

Engagement

- Little cooperation with Ammonia Safety Council and TC headquarter specialist to improve the Ammonia Field Tank Safety Program

Activities

- Lack of audit compliance rigor
- Outreach activities highly IPS-based
- High number of repeat inspections

Resources

- 10 Inspectors for 43 anhydrous sites
- High travel dollars

Results Chain

2002

End Outcomes

- Safe transportation and storage of anhydrous ammonia
- Anhydrous nurse tank operators are self-regulating

Action / Adoption

- 95% compliance with the TDG regulations, the Ammonia Safety Council Program
- All facilities in Ontario operating nurse tanks in anhydrous service are registered with the Association

Capacity

- Individual nurse tank owners have the tools to comply and self-regulate

Support Climate / Awareness / Reaction

- Increased awareness, engagement and support by high priority sites

Engagement

- Increased cooperation with the Ammonia Safety Council and TC headquarter specialist to improve the Ammonia Field Tank Safety Program

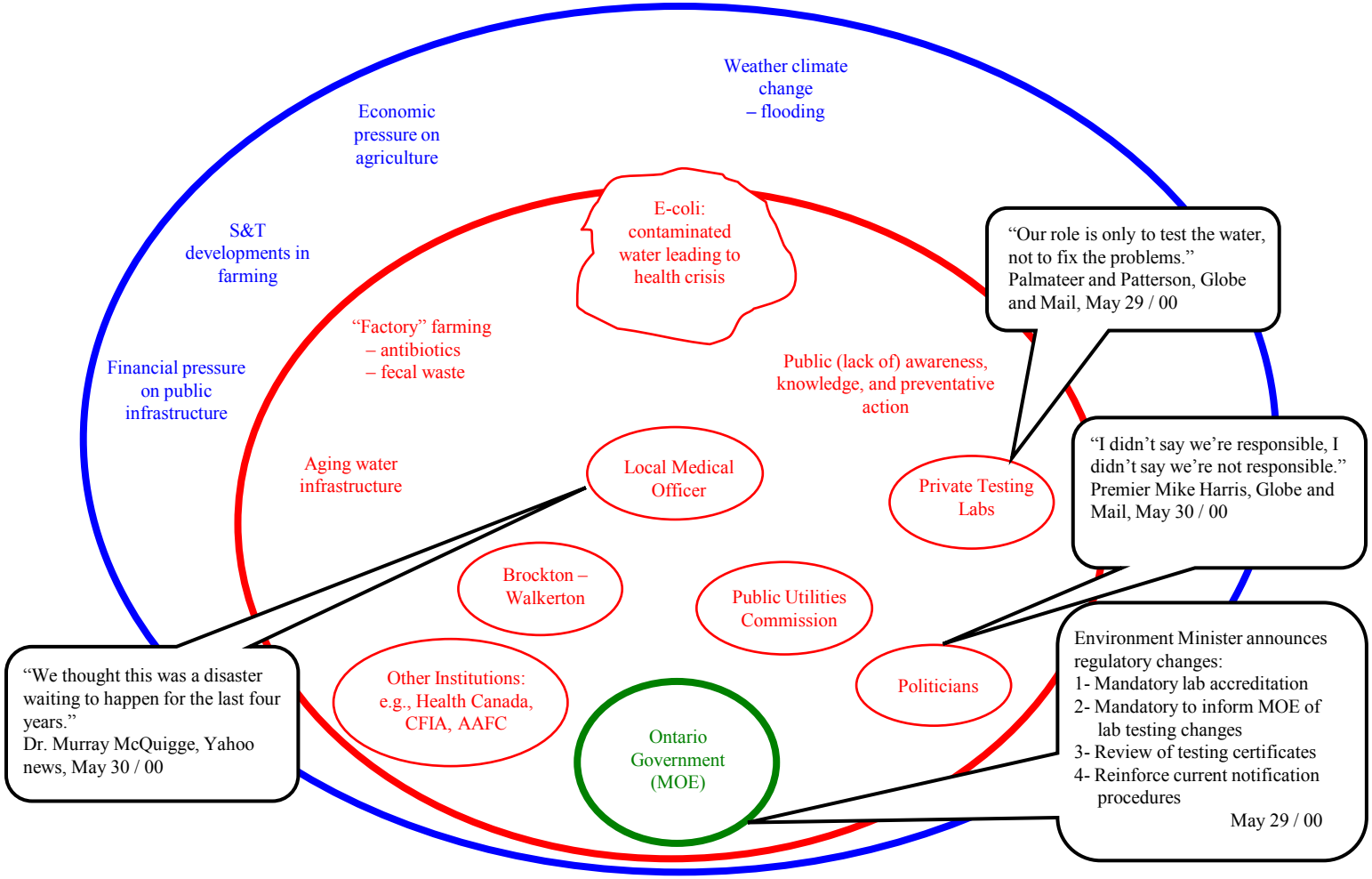
Activities

- Improved audit function to verify compliance and revoke certificates
- Continued outreach activities especially in terms of awareness building workshops
- Decrease in inspections

Resources

- 1 Inspector for 43 anhydrous sites
- Decrease in travel dollars

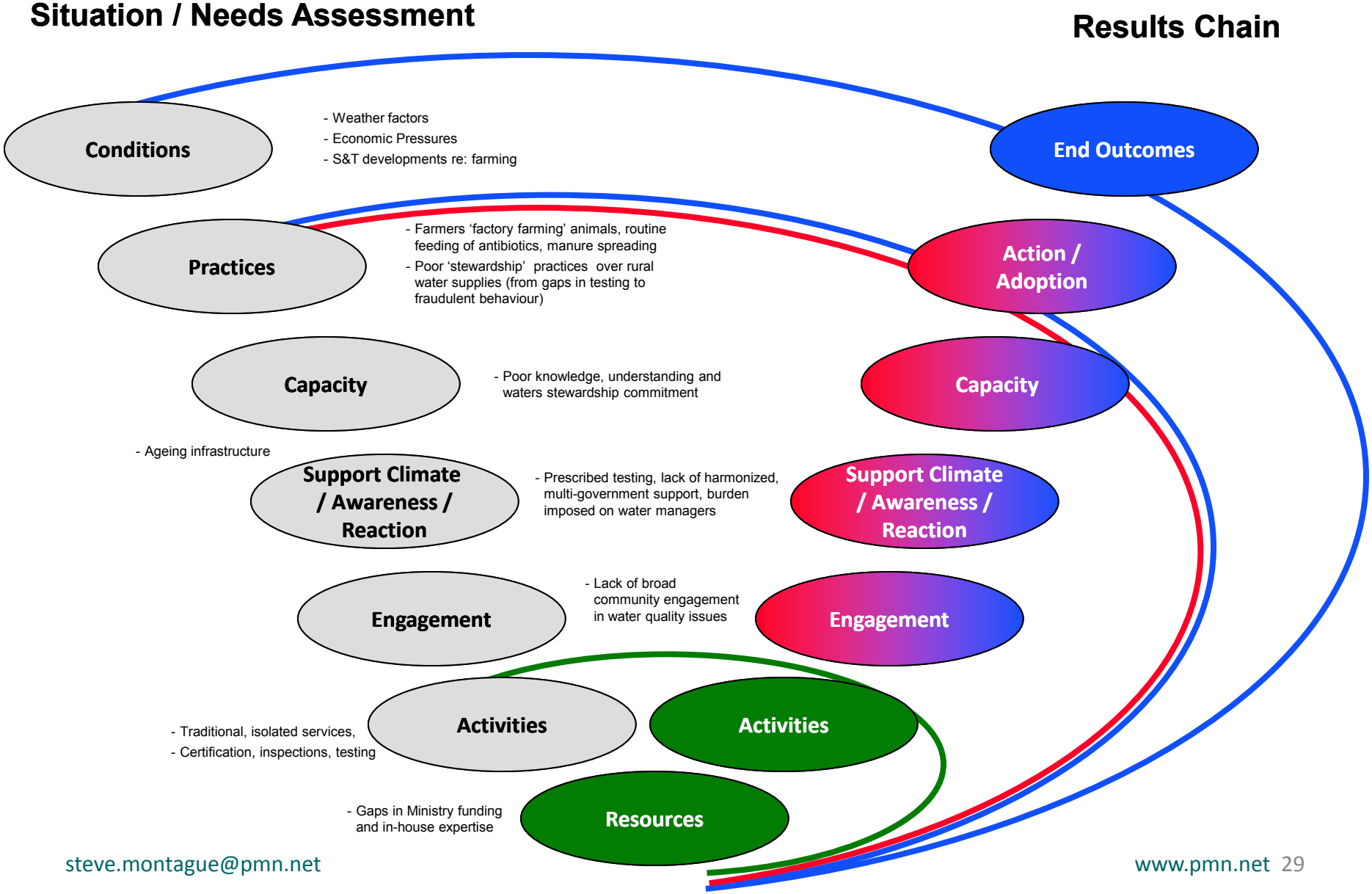
A Case Study in [lack of] Complex Systems Thinking / Problem Solving – The Walkerton Water Situation



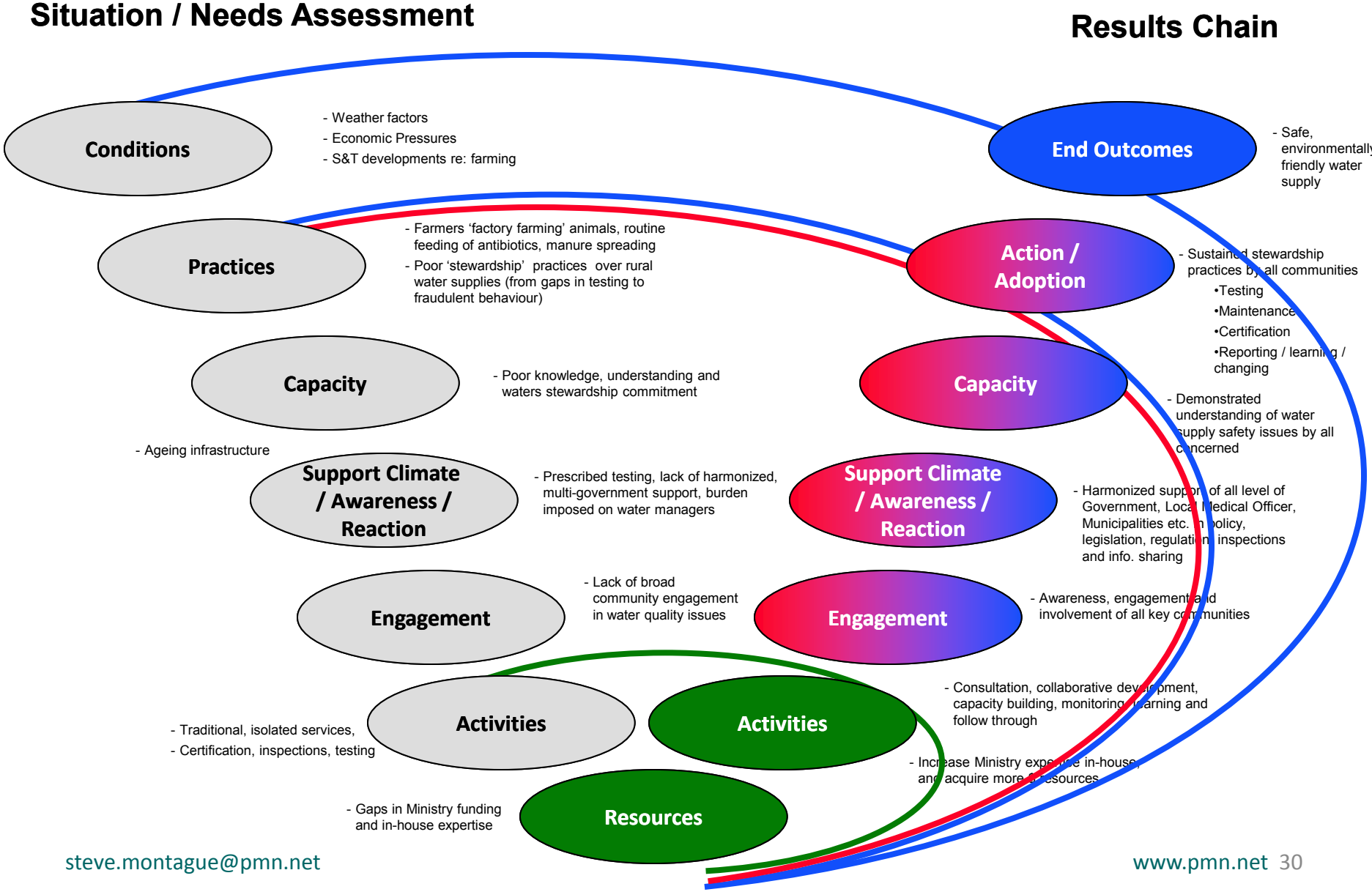
A two year inquiry held two town officials almost completely to blame. Deeper systems surrounding the situation were not extensively reviewed.

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

A Needs-Results Hierarchy Approach – Walkerton



A Needs-Results Hierarchy Approach – Walkerton



Needs – Questions

Conditions	**What need/gap is your group/policy/program trying to fill?** **What is the current state of affairs?**
Practices	What are the practices currently being employed? How do your partners and those you are trying to reach influence the current state of affairs?
Capacity	What gaps exist in your key reach groups Knowledge? Abilities? Skills? Aspirations?
Support Climate/ Awareness /Reaction	What is the current state of the support climate? What gaps exist in terms of support climate? (i.e., Are there gaps in legal rules, current international, federal, provincial, regional (governmental or non-governmental) institutional policies, etc...?) What is the level of awareness and reaction?
Engagement	Are there problems or gaps in the participation/engagement of groups which are key to achieving your objectives?
Activities/Outputs	Are there activities or outputs which represent barriers or gaps to achieving your objectives? (e.g., inappropriate delivery practices, incomplete or inappropriate assessment criteria, gaps in communications, etc).
Resources	What level of financial, human, and “technical” resources are currently at your disposal? Are there gaps?

Results – Questions

End Outcomes

What is the ultimate state that your group is contributing towards?

What is your vision of a “perfect world”, as it relates to your area of work?

Action / Adoption

What are the practices that are required to reach this ultimate goal?

How would your partners and those you are trying to reach act in a “perfect world”?

Capacity

What knowledge, aspirations, skills, and abilities would your partners / intermediaries + target groups have in a “perfect world”?

Support Climate / Awareness / Reaction

What partner / intermediary support do you need to achieve / address your goals?

What kind of a support climate would you need to achieve / address your goals?

What is the level of awareness and reaction needed to achieve / address your goals?

Engagement

Whose participation/engagement do you need to address the identified gaps?

Activities

What tasks need to be done by your group in order to address this issue?

What outputs should be produced by your group?

Resources

What resources are required to accomplish your activities?

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.
Practice and Behaviour Change 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 (Knowledge, Abilities, Skills and Aspirations) 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.
Support Climate / 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)
Engagement / 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.

Example Needs-Results Chart – Sun Safety

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

*Source: Canadian Cancer Society with permission

Results Plan

	Results Chain	Time Periods – Usually Fiscal Years			
		T0 [Current Needs]	**T1 [Desired]**	**T2 [Desired]**	**T3(+) [Desired]**
WHY?	7. '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 **WHOM**?	6. 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
	5. 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
	4. 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)
	3. 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?	2. 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
	1. 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

Sunsafe Example

	Results Chain	Needs-Results Plan Worksheet			
		T0 [Current Needs]	T1 [Desired]	T2 [Desired]	T3(+) [Desired]
AREA OF CCS MISSION / OBJECTIVES: Reduce incidence and mortality from cancers associated with U.V. exposure					
WHY?	7. '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**?	6. Practice and Behaviour Change *Describe the practices and behaviour of individuals, groups, and partners over time.* 5. Knowledge, Ability, Skill and / or Aspiration Changes *Describe the level of knowledge, abilities, skills and aspirations / commitment of individuals, groups, and/or communities.* 4. Reactions *Describe feedback from individuals, groups, and partners: satisfaction, interest, reported strengths and weaknesses.* 3. Engagement / Involvement *Describe the characteristics of individuals, groups, and co-deliverers: numbers, nature of involvement*	• Problematic level of unsafe sun and tanning behaviours • Key Segments do not know appropriate sunsafe precautions for various UV levels • 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		
HOW?	2. 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		
	1. 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		

Sunsafe Example

AREA OF CCS MISSION / OBJECTIVES: Reduce incidence and mortality from cancers associated with U.V. exposure

	Results Chain	Needs-Results Plan Worksheet			
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WHAT BY **WHOM**?	6. Practice and Behaviour Change *Describe the practices and behaviour of individuals, groups, and partners over time.*	• Problematic level of unsafe sun and tanning behaviours	→	• Improved / increased 'sunsafe' behaviours • Reduced risky tanning practices • Shade policies implemented for public areas	
	5. Knowledge, Ability, Skill and / or Aspiration Changes *Describe the level of knowledge, abilities, skills and aspirations / commitment of individuals, groups, and/or communities.*	• Key Segments do not know appropriate sunsafe precautions for various UV levels	→	• Understanding of what precautions to take at various UV levels	
	4. Reactions *Describe feedback from individuals, groups, and partners: satisfaction, interest, reported strengths and weaknesses.*	• Lack of awareness / reactions to UV warnings • Lack of apparent awareness of need for shade in public spaces	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions	
	3. Engagement / Involvement *Describe the characteristics of individuals, groups, and co-deliverers: numbers, nature of involvement*	• Lack of public / institutional / other related agency involvement in sunsafe promotion • Lack of opportunity for concerned group involvement	• Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause	• Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause	
HOW?	2. 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	
	1. 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	

Sunsafe Example

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?	7. '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**?	6. Practice and Behaviour Change *Describe the practices and behaviour of individuals, groups, and partners over time.*	• Problematic level of unsafe sun and tanning behaviours		• Improved / increased 'sunsafe' behaviours • Reduced risky tanning practices • Shade policies implemented for public areas	• Improved / increased 'sunsafe' behaviours • Reduced risky tanning practices • Shade policies implemented for public areas
	5. Knowledge, Ability, Skill and / or Aspiration Changes *Describe the level of knowledge, abilities, skills and aspirations / commitment of individuals, groups, and/or communities.*	• Key Segments do not know appropriate sunsafe precautions for various UV levels		• Understanding of what precautions to take at various UV levels	• Understanding of what precautions to take at various UV levels
	4. Reactions *Describe feedback from individuals, groups, and partners: satisfaction, interest, reported strengths and weaknesses.*	• Lack of awareness / reactions to UV warnings • Lack of apparent awareness of need for shade in public spaces	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions	• Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions
	3. Engagement / Involvement *Describe the characteristics of individuals, groups, and co-deliverers: numbers, nature of involvement*	• Lack of public / institutional / other related agency involvement in sunsafe promotion • Lack of opportunity for concerned group involvement	• Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause	• Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause	• Media pick-up of sunsafe messaging • Involvement of physicians groups in sunsafe cause
HOW?	2. 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
	1. 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

Small Group Exercise

- Look at a regulatory case
- Suggest some situational needs / risks
- Then consider some results

Needs-Results Chart

Needs / Situation		Desired Results
Conditions		End Result (WHY)
Practice and Behaviour Change		Practice and Behaviour Change (WHO & WHAT)
Capacity (Knowledge, Abilities, Skills and Aspirations)		Capacity (Knowledge, Abilities, Skills and Aspirations) (WHO & WHAT)
Support Climate / Awareness / Reaction		Support Climate / Awareness / Reaction (WHO & WHAT)
Engagement / Participation / Involvement		Engagement / Participation / Involvement (WHO & WHAT)
Activities		Activities (HOW)
Resource Inputs		Inputs (HOW)

(Source: 2009 TBS PMEP handbook pgs 20-21)

Logic Model Component	Ask yourself about the problem	Examples	Ask yourself about the result you want	Examples
Ultimate/End Outcomes Societal/ Cultural Situation	• What is the social or cultural problem? • What is the risk to public health, the environment, public safety, the economy, etc.? • What is the severity of the risk?	Rate of health incidents, hectares of land contaminated, rate of injuries/ deaths caused by airplanes	• When will the problem/ risk no longer be an issue? • What will the problem/ risk look like when it is no longer an issue? • How does the program line-up with the department's Strategic Objectives?	Reduced rate of health incidents, hectares of land remediated, reduced rate of injuries/ deaths caused by airplanes
Intermediate Outcomes Stakeholder Behaviour	• How do stakeholder behaviours influence the social/ cultural situation? • What behaviours are having a negative impact on the social/cultural situation?	Industry is not adhering to voluntary guidelines Canadians are putting toxic cleaning products down the drain	• What behaviours would you like to see change? • How do the behaviours need to change?	Industry compliance with new regulations Reduction in % of Canadians putting toxic cleaning products down the drain
Immediate Outcomes Stakeholder Knowledge	• What gaps exist in your target population's knowledge? Abilities? Skills? Aspirations?	Poor industry awareness and acceptance of standards Poor Canadian knowledge of risks	• How do we expect our target audience(s) to react immediately to the deliverables? • How will the target audience's knowledge, abilities, skills, and/or aspirations change?	Industry awareness and understanding of new regulations Canadian awareness and acceptance of risks and need for new rules
Reach Stakeholder Participation	• Are there gaps in the participation or engagement of groups which are critical to achieving your objective?	Low industry participation Low engagement from Canadians	• Who is this initiative intended to reach or who will be affected? • Whose behaviour needs to change? (group/population) • How will the participation or engagement of important groups change as a result of your program?	Increase in participation and engagement from: Canadians, industry, stakeholders, other governments/ jurisdictions
Outputs Programs/ supports in place for Addressing the Problem	• Are there gaps in the current suite of supports/ programs/ services in place to address the problem or risk?	Industry is under no legal obligation to comply with the voluntary standards currently in place Information bulletins to advise Canadians about certain risks are not resulting in a significant enough change in the number of incidents	• What product or service will we deliver in order to fill the gaps?	Regulations, inspection reports, information campaigns
Activities Internal practices	• Are there problems with the current delivery practices? • Are there programs or services being offered in other jurisdictions that are demonstrating better results than our programs or services?	Inefficient delivery practices, incomplete assessment of criteria, gaps in communication	• What will we do? • What actions or work will be done? • What services will be delivered?	Conduct research, publish documents, provide advice, draft regulations, conduct inspections, provide information to the public (possibly with a focus on particular target groups)
Inputs Internal resources	• Are there gaps in the financial, human, or technical resources available? • Is data availability a problem?	Lack of resources, lack of data/ information	• What resources do we have for this regulatory initiative? • What additional information would you like to know to improve delivery?	Staff, funding, better access to information

Logic Model Component	Ask yourself about the problem	Current	Ask yourself about the result you want	
Ultimate/End Outcomes Societal/ Cultural Situation	• What is the social or cultural problem? • What is the risk to public health, the environment, public safety, the economy, etc.? • What is the severity of the risk?		• When will the problem/ risk no longer be an issue? • What will the problem/ risk look like when it is no longer an issue? • How does the program line-up with the department's Strategic Objectives?	
Intermediate Outcomes Stakeholder Behaviour	• How do stakeholder behaviours influence the social/ cultural situation? • What behaviours are having a negative impact on the social/cultural situation?		• What behaviours would you like to see change? • How do the behaviours need to change?	
Immediate Outcomes Stakeholder Knowledge	• What gaps exist in your target population's knowledge? Abilities? Skills? Aspirations?		• How do we expect our target audience(s) to react immediately to the deliverables? • How will the target audience's knowledge, abilities, skills, and/or aspirations change?	
Reach Stakeholder Participation	• Are there gaps in the participation or engagement of groups which are critical to achieving your objective?		• Who is this initiative intended to reach or who will be affected? • Whose behaviour needs to change? (group/population) • How will the participation or engagement of important groups change as a result of your program?	
Outputs Programs/ supports in place for Addressing the Problem	• Are there gaps in the current suite of supports/ programs/ services in place to address the problem or risk?		• What product or service will we deliver in order to fill the gaps?	
Activities Internal practices	• Are there problems with the current delivery practices? • Are there programs or services being offered in other jurisdictions that are demonstrating better results than our programs or services?		• What will we do? • What actions or work will be done? • What services will be delivered?	
Inputs Internal resources	• Are there gaps in the financial, human, or technical resources available? • Is data availability a problem?		• What resources do we have for this regulatory initiative? • What additional information would you like to know to improve delivery?	

Consider your Case

- Can you expand your needs-results hierarchy into a results plan?
- Form work teams
- Use post-it notes to develop a 3 year (+?) results plan using the placemat

	Results Chain	Needs-Results Plan Worksheet			
		T0 [Current Situation/Needs]	T1 [Desired]	T2 [Desired]	T3(+) [Desired]
WHY?	**7. 'End' Result** *Describe the overall trends with regard to the mission.*				
WHAT BY WHOM?	**6. Practice and Behaviour Change** *Describe the practices and behaviou individuals, groups, and partners over time.* **5. Knowledge, Ability, Skill and / or Aspiration Changes** *Describe the level of knowledge, abilities, skills and aspirations / commitment of individuals, groups, and / or communities.* **4. Reactions** *Describe feedback from individuals, groups, and partners: satisfaction, interest, reported strengths and weaknesses.* **3. Engagement / Involvement** *Describe the characteristics of individuals, groups, and co-deliverers: numbers, nature of involvement*				
HOW?	**2. Activities / Outputs** *Describe the activity: How will it be implemented? What does it offer?*				
	1. Inputs / Resources *Resources used: dollars spent, number and types of staff involved, dedicated time.*				

Measurement Implications

1. Think of it as ‘progress’ measurement, rather than performance measurement.
2. Multiple stages = Multiple metrics over time.
3. Focus on concrete human behaviours.
4. Indicators directly relate to Needs-Results statements.

Sun Safety – from Results to Measures

Desired Results		Measures
End Result (WHY) • Reduced rate of sun related cancer		Level of UV related melanoma (and non-melanoma)
Practice and Behaviour Change (WHO & WHAT) • Improved / increased 'Sunsafe' behaviours • Reduced risky tanning practices • Shade policies implemented for public areas		% of adults applying sun-screen (and other precautionary measures)
Capacity (Knowledge, Abilities, Skills and Aspirations) (WHO & WHAT) • Understanding of what precautions to take at various UV levels • Improved awareness of UV levels and their implications • Pick-up of need for shade messaging by media and various public institutions		% of public knowing safety precautions at various UV levels
Support Climate / Awareness / Reaction (WHO & WHAT) • Improved institutional support for shade and tanning bed policies		Shade policy passed, legislation and / or regulations / instruments passed (and monitored / enforced)
Engagement / Participation / Involvement (WHO & WHAT) • Media pick-up of Sunsafe messaging • Involvement of physicians groups in sun safe cases		Level of media pick-up (# stories, space, reflection of message) Demonstrated support from Physicians groups
Activities (HOW) • Promotional / educational activities and information / communication to key target groups		# of activities conducted, milestones and deliverables met
Inputs (HOW) • Level of people, skills, knowledge, $ applied to Sunsafe area		Level of $ and FTE's invested

*Source: Canadian Cancer Society with permission

From Results to Measures

Desired Results		Measures
End Result (WHY)		
Practice and Behaviour Change (WHO & WHAT)		
Capacity (Knowledge, Abilities, Skills and Aspirations) (WHO & WHAT)		
Support Climate / Awareness / Reaction (WHO & WHAT)		
Engagement / Participation / Involvement (WHO & WHAT)		
Activities (HOW)		
Inputs (HOW)		

Small Group Work – Progress Indicators

- Consider your case
- What would you see or hear if this is working?

What About Risk?

- Can risk ‘map’ onto the results plan?
- Can ‘outside-in’ (outcome oriented) thinking help risk management?

Results – Risks – Mitigation / Contingency Plans and Responsibilities					
Desired Results	**Particular Concerns / Risks and Impacts** (Damages & Liabilities, Operational Effects, Reputation loss)	**Existing Mitigation* Measures**	**Risk Level**	**Incremental Mitigation* Measures**	**Responsible Party**

* Note that mitigation strategies become contingency plans when risks are beyond the sphere of direct influence.

Conclusion

- Risk management – regulatory initiative story is different from conventional (G+C and service) story lines
- Agencies engage intermediaries in key systems to achieve behaviour change / adoption / compliance goals
- Regulatory stories can be told moving from problem space to solution space