



Policy Analysis and Decision Making

with Emphasis on Chronic Non-communicable Diseases

Bridgetown, Barbados

October 15-17, 2007

Policy Monitoring and Evaluation


Instruments of Public Accountability

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Increasing importance of monitoring and evaluation


- Monitoring and evaluation are no longer simple measurement exercises.
- Increasing requirements for modern societies: transparency and accountability of governments, demands by better informed and organized citizens.
- Improve quality and results in social areas.
- Media and communication/information technologies have contributed to increase the public's expectations and channel their opinions.



Evaluation in Policy Analysis

- “Evaluation is concerned with establishing the value premises necessary to produce information about the performance of policies.”
- “... evaluation refers to the production of information about the value or worth of policy outcomes.” Dunn, W. 1994. Public Policy Analysis. 2nd Edition.
- The purpose of evaluation is to measure and explain the effects of a program against the goals it set out to accomplish. Does it work? Why?, providing information for later decisions about the program
- Program: an organized response to eliminate or reduce one or more problems

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Program Evaluation vs. Policy Analysis

Program evaluation uses research designs with explicit designation of comparison groups to determine effectiveness

Policy analysis uses different frameworks to answer one or more questions about a policy.

- Policy analysis often relies on policy/program evaluations
- Program evaluation tools can be used to assess the effectiveness of policies, however this is not policy analysis

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Definitions of Evaluation

“...evaluation is an activity that involves the systematic application of theory, methods and tools from the social sciences to identify and assess the processes and impacts of public policies and programs. It can be retrospective or prospective, secret or public, by government organizations or by others who are not associated to the government.” Pollitt C., 1993

“...the systematic collection of information about the activities, characteristics, and outcomes of programs to make judgments about the program, improve program effectiveness, and/or inform decisions about future programming” Patton, M. Q.1996.

“Evaluation is the systematic assessment of the operation and/or the outcomes of a program or policy, compared to a set of explicit or implicit standards, as a means of contributing to the improvement of the program or policy.” Weiss, C. 1998.


“conceive, obtain and provide information which decision makers in their various forms (voters, opinion-leaders, stakeholders, policy-makers, social planners or administrators) can use to make decisions about the future of specified programs or policies.” Norris (1990)

“Evaluation research is the systematic application of social research procedures in assessing the conceptualization and design, implementation, and utility of social intervention programs.” Rossi and Freeman (1982)




What does evaluation do?

- Evaluation offers information about
 - the performance of the policy
 - the goods and services received by groups or beneficiaries
- Contributes to clarify the values that underlie the selection of alternatives, goals and objectives.
- Evaluation results can become useful inputs to future policy analyses or development of programs.
- The impact of a policy is measured by the real changes in behaviors and ultimately on outcomes



The products of evaluation are useful only when they inform and guide decision making, and when they complement the activities of monitoring.



Policy evaluation constraints

- Frequently, evaluation activities are not assigned adequate financial and human resources.
- Often, countries may not have personnel with evaluation skills.
- The objectives and targets for certain programs are difficult to measure.
- Measuring the impact of certain interventions may result to be challenging and costly.
- The use of evaluation results in decision-making is limited.
(Also, evaluation is political!!)

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Major purposes and types of evaluation

Formative Evaluation:

- Its purpose is continuous program improvement; it collects different types of information about program activities, outputs, client satisfaction, obstacles to implementation, etc.
- Sometimes the term "formative" is used interchangeably with "process." May include for example needs assessments, evaluability assessments, implementation evaluation and process evaluations.

Summative Evaluation:

- Its purpose is to learn whether the policy, program or intervention actually works, and focus on demonstrated program outcomes and impacts only. Monitoring is a concurrent activity.
- Sometimes they are also called "impact" evaluations, but can also include outcome evaluations, cost effectiveness and cost benefit analysis, secondary and meta-analysis.



Types of Evaluations

- **Impact evaluations** focus on the program outcomes and impacts. They answer questions such as: did the program worked? Did it have its intended effects? If so, who was helped and what activities or characteristics of the program created the impact? Did the program have any unintended consequences, positive or negative?
- **Process evaluations** document the procedures and activities undertaken in service delivery and respond to questions about how the program operates. They help identify problems faced service delivery and strategies to address these problems. They are useful to practitioners and service providers in replicating or adapting program strategies.
- **Cost evaluations** address how much the program or program components cost, preferably in relation to alternative uses of the same resources and to the benefits being produced by the program. When applied to existing programs, CBA and CEA are also considered forms of program evaluation. They compare a program's outputs or outcomes with the costs (resources expended) to produce them.



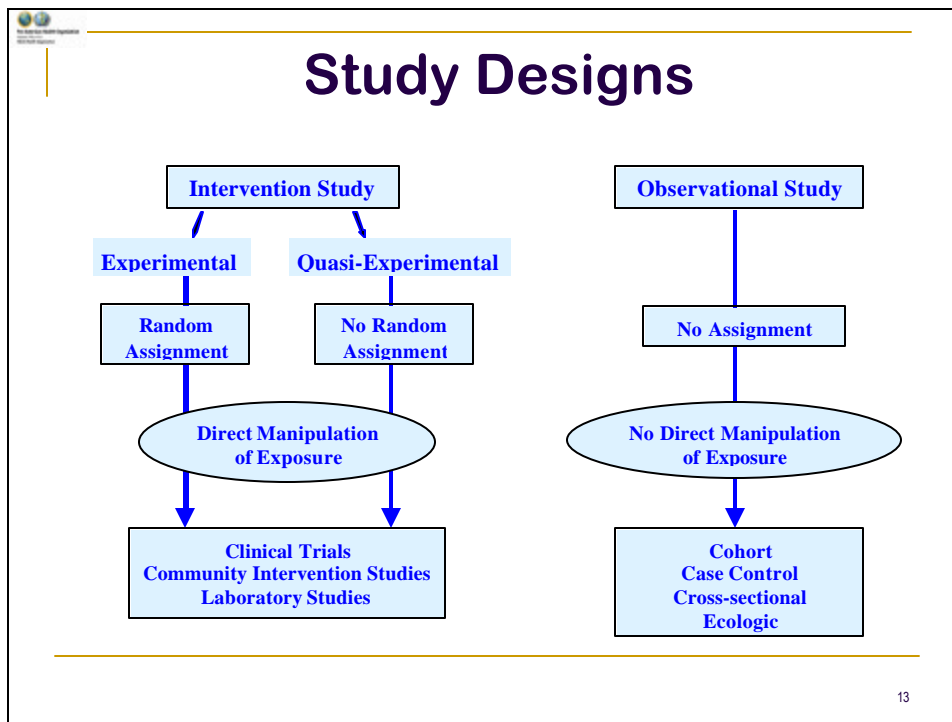
Selecting the evaluation model

- Clarify the questions that evaluation will answer.
- The design of the evaluation requires a clear definition of what the evaluation (research) needs to respond, who and when.
- Develop a logic model to establish causal linkages between the policy/programs and the goals/outcomes. (see further)
- Verify that the program is ready for evaluation.



Examples of Evaluation Designs

- **Experimental Designs**
- **Clinical Trials in Epidemiology**
- **Quasi-Experimental Designs**
- **Observational Epidemiologic Designs**



- ## Reasons Why Evaluations May Demonstrate No Policy/Program Effect
- Program theory is incorrect. The program/policy is not causally linked with the hypothesized outcomes (sometimes because true cause of problem not identified)
 - Program/policy was not targeted for an appropriate population (theory about who will benefit is incorrect)
 - Program/policy theory is not sufficiently detailed to allow for the development of a program plan adequate to activate the causal chain from intervention to outcomes
- Program/policy theory is "the plausible model of how program/policy works, demonstrates cause and effect relationships, shows links between a program's/policy's inputs, processes and outcomes)."
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Reasons Why Evaluations May Demonstrate No Policy/Program Effect (cont.)

- Program/policy goals and objectives were not fully specified during the planning process.
- Program/policy was not fully delivered.
- Program/policy delivery did not adhere to the specified protocol.
- Delivery of treatment deteriorated during program implementation.
- Program/policy resources were inadequate
- Program/policy delivered under prior experimental conditions was not representative of treatment able to be delivered in practice.



The political nature of evaluation

- Evaluation, as the application of social sciences to human problems is paved with decisions. (Weiss).
- Policy denotes relationships of power and influence and some type of resource allocation by those individuals/entities that have authority over those resources.
- Some stakeholders and relevant actors have particular interests about what type of evaluative data/information they are interested in and want to be public.

See Weiss, C. H. Where politics and evaluation research meet. In: D. J. Palumbo. Ed. *The politics of program evaluation*. Newbury Park: Sage. 1987.



Good practices of evaluation

(Everitt, 1996)

- Recognize the moral debate and that everyone has the right to their legitimate opinions.
- Recognize that there is power, lack of power and empowerment.
- Develop a genuine dialogue between organizations and users.
- Promote openness to criticism, complaints, questions.
- Enable and promote that groups give their opinion about the program/policy.


Democratic and honest processes of evaluation are essential to ensure good and fair practices.

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Before taking on an evaluation, a good monitoring system established during the planning process needs to be in place...




Performance Indicators

"A performance indicator provides a concrete measure of a specific capacity, process or outcome related to an accountable entity that is part of a defined health improvement strategy for a specific health issue."

IOM. Improving Health in the Community. A Role for Performance Monitoring, National Academy Press, Washington DC, 1997, pp. 140


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Example of Uses of Performance Indicators

<ul style="list-style-type: none"> ■ Payors <ul style="list-style-type: none"> ■ Purchasing decisions ■ Monitoring the performance specified in the contract ■ Consumers <ul style="list-style-type: none"> ■ Enrollment/reenrollment decisions ■ Choosing providers ■ Monitoring quality and responsiveness of plans and providers ■ Providers <ul style="list-style-type: none"> ■ Quality management 	<ul style="list-style-type: none"> ■ Managed care organizations <ul style="list-style-type: none"> ■ Provider selection/retention ■ Marketing to payors ■ Quality improvement ■ Accreditation agencies <ul style="list-style-type: none"> ■ Monitoring regulations and standards ■ Governmental bodies <ul style="list-style-type: none"> ■ Policy-making ■ Purchasing decisions ■ Accountability
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Draft Requirement Analysis.
<http://www.minsip.org/ds2000/sect10.pdf> 20



Performance :


- refers to results obtained from processes and administrative and technical services that allow monitoring, evaluation and comparison relative to goals, standards, past results and other organizations.

Performance measures

- qualitative or quantitative characteristics of performance used to measure results and ensure accountability; they report on the achievement of the objectives and effectiveness of a program.
- may address the type or level of program activities conducted (process), the activities, products and services (outputs), and/or the benefits derived (outcomes).

A performance indicator provides a concrete measure of a specific input, process or outcome related to an accountable entity, as part of an improvement strategy for a particular issue.

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A word of caution..

- In general, performance indicators do not have targets while performance measures do.
- Often the terms performance indicator and performance measure are used interchangeably.
- When a performance indicator is used as a quantitative or qualitative factor to measure program results against a goal or objective, that is, when the indicator is used as a measure, then they may be considered as synonymous.
- When a performance indicator is an interim step toward achieving the measure of performance, then they are different.
- Note that some indicators may use more than one measure.

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Performance measurement/monitoring and program evaluation are complementary but different

Performance measurement is the analysis of periodically collected data, which may be carried out by a program, an organization or an agency that reports on progress of pre-established goals and any gaps between those planned and those achieved.

Performance monitoring is often compared to the dashboard of a car, which gives regular readings. By informing policy makers, service providers, managers and/or donors about the degree of achievement of specific program objectives with respect to the operation of a system or program, it helps assess the program's performance.

Program evaluation is more inclusive. It answers the "why" questions about a program. It informs about how well a program delivers and how the outcomes relate to the inputs or outputs of the program. Program evaluations may be prospective (e.g. policy analyses, evaluability studies, program or project assessments) or retrospective (e.g. health services research, process or outcome evaluations).

KidsWalk-to-School Example: Focus the Evaluation and Gather Credible Evidence

Evaluation Questions	Indicators	Data Sources	Performance Indicators
To what extent does program implementation use community resources?	<ul style="list-style-type: none"> Number of volunteers Longevity of volunteers Total volunteer time Description of volunteer activities School resources contributed to program 	<ul style="list-style-type: none"> Administrative records Volunteer activity logs Key Informant Interviews 	<ul style="list-style-type: none"> 25 volunteers total, including five core volunteers Total volunteer time meets need Volunteer activities meet need School contributed to program
What effects has the program had on school-children?	<ul style="list-style-type: none"> Number of days walked or biked to school in past week Children's attitudes towards walking to school (three-question scale for parents and children) Children's scores on traffic safety test 	<ul style="list-style-type: none"> Surveys of parents and children (before and after the program) 	<ul style="list-style-type: none"> 15% increase in number of days/week children walked or biked to school 20% increase in Likert scale average of three attitude questions 30% increase in children's traffic safety test scores from baseline
Has the program had any effect on other community members?	<ul style="list-style-type: none"> Community members' knowledge of physical activity recommendations Community members' intentions to exercise Community members' exercise in past 7 days Community cohesion scale 	<ul style="list-style-type: none"> Community household survey (before and after the program or after the program only) Key Informant Interviews 	<ul style="list-style-type: none"> 50% increase in community members' knowledge of physical activity recommendations 20% increase in community members' intentions to exercise 10% increase in community members' exercise in past 7 days 15% increase in community cohesion scale
How has the program affected the community's barriers to walking?	<ul style="list-style-type: none"> Description of original barriers to walking Description of barriers to walking after the program Quantity and quality of advocacy efforts 	<ul style="list-style-type: none"> Walkability survey (observations) Key Informant Interviews Volunteer questionnaires 	<ul style="list-style-type: none"> Qualitative improvement in walkability barriers Planned advocacy efforts were conducted

Types of Measures

Capacity/Input
Identify the amount of resources needed to provide a particular product or service (e.g. labor, materials, equipment and supplies, may represent demand factors such as characteristics of target populations).

Process
What is done to, for, with, or by defined individuals or groups as part of the delivery of services

Output measures
Focus on the level of activity in providing a particular service, that is, amount of products or services provided (e.g., workload measures). Do not indicate whether goals have been accomplished, or reveal quality or efficiency of service provided.

Outcome measures
Reflect whether the service meets its goals and whether actual results are achieved. That is, change (or lack of change) in the health of a defined population related to an intervention (health status outcome, social functioning, consumer satisfaction)

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That is...

INPUT
Resources (human, financial, infrastructure) needed to provide the services.

PROCESS
What is done to, for, with, or by defined individuals or groups as part of the delivery of services

OUTPUT
Product associated with an activity (like service delivery)

OUTCOME
Change (or lack of change) in the health of a defined population related to an intervention.

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Desirable Features of Performance Measures

- MEANINGFUL: significant, related to the mission and goal.
- RESPONSIBILITY LINKED: matched to an organizational unit responsible for achieving the measure.
- ORGANIZATIONALLY ACCEPTABLE: valued by those within the organization.
- CUSTOMER FOCUSED: reflect the point of view of the customers and stakeholders.
- COMPREHENSIVE: include all key aspects of performance.
- BALANCED: include several types of measures, i.e., outcome, efficiency, and quality measures.
- TIMELY: use and report data in a reasonable timeframe.
- CREDIBLE: based on accurate and reliable data.
- COST EFFECTIVE: based upon acceptable data collection and processing costs.
- COMPATIBLE: integrated with existing financial and operational systems.
- COMPARABLE: useful for making comparisons with other data over time.
- SIMPLE: easy to calculate and interpret.



Issues with Performance Measurement

- Deciding what to measure
- Determining needed data elements
- Using evidence or other bases to build consensus around the measures
- Establishing what the measure is actually measuring what it is intended to measure
- Evaluating the reliability and cost-effectiveness of the measure
- Translating the resulting data into actionable information



Policy/Program Monitoring

Monitoring is a process that registers changes in the key variables after implementation of a particular policy or program. Its purpose is to document whether there were changes due to the policy or program.

- It requires the identification of variables, targets and indicators to measure changes, and the means to assess whether the process is free of bias (e.g. related to the design, the process, influence of those who support or those that are against that particular policy/program, etc.)

Performance monitoring informs policy makers, service providers, managers, and donors about the extent to which specified program objectives are being attained with respect to the operation of a system or program. It helps them assess the program's performance and achievements. Performance monitoring is often compared to the dashboard of a car, which gives regular readings.



If information is used, it can contribute to:

- Compliance (standards and procedures established by legislation, regulatory agencies and/or professional associations).
- Accounting (resources and services)
- Verification (social and economic changes due to the policy/program)
- Explain (why the results and outcomes of a particular policy or program are what they are, why they differ between groups or localities).

Logic Models

- Graphic instrument that represents a “logic” chain of the theory and actions of the program to be designed and evaluated, linking inputs to results and outcomes.
- Useful to summarize and communicate complex programs.
- Great variation in the types of logic models
- Focuses on expected outcomes
- Many factors influence process and outcomes
- However:
 - Establishing causality is a challenge
 - It does not address whether we are doing the right thing to address a particular problem.
- Time consuming to prepare, BUT
 - Can standardize activities and outcomes
 - Great guide for evaluation (just develop data collection around outputs and outcomes)
 - Essential for program planning and evaluation.
 - Identifies moments of the evaluation, gaps and uncertain assumptions.

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    graph LR
      Inputs[Inputs] --> Process[Process]
      Process --> Outputs[Outputs]
      Outputs --> Outcomes[Outcomes]
  
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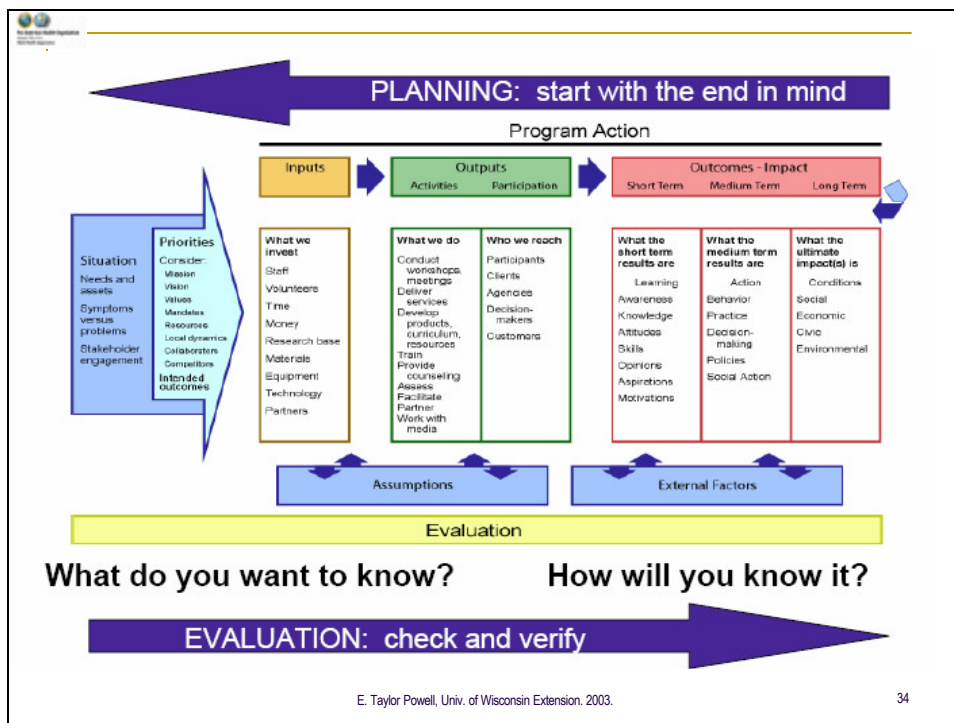
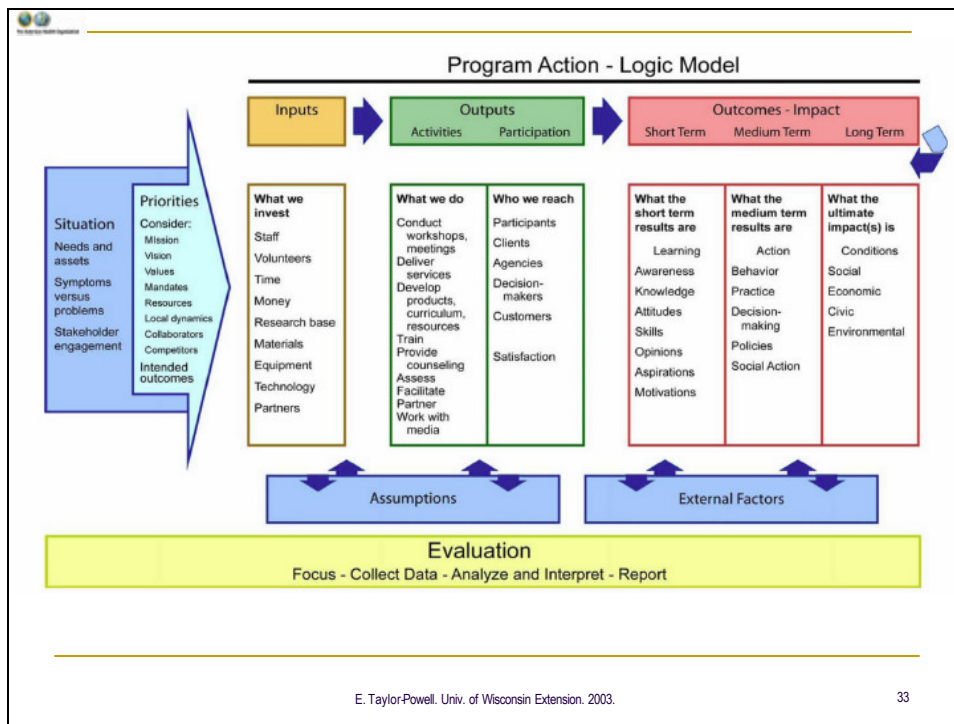
Template for a Logic Model

Logic Model of _____

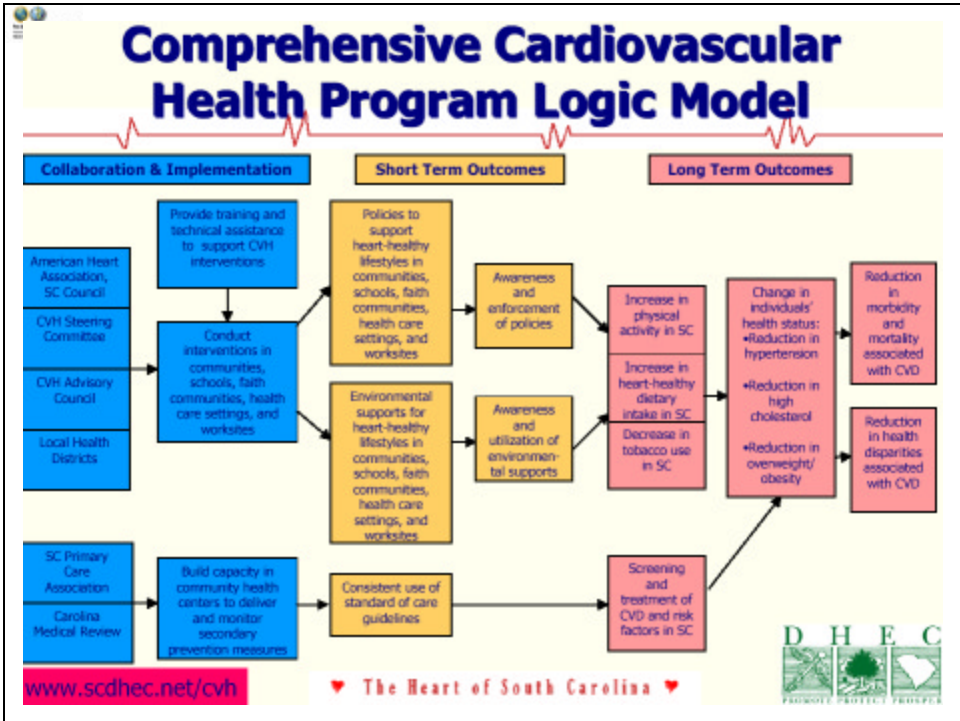
Situation: _____

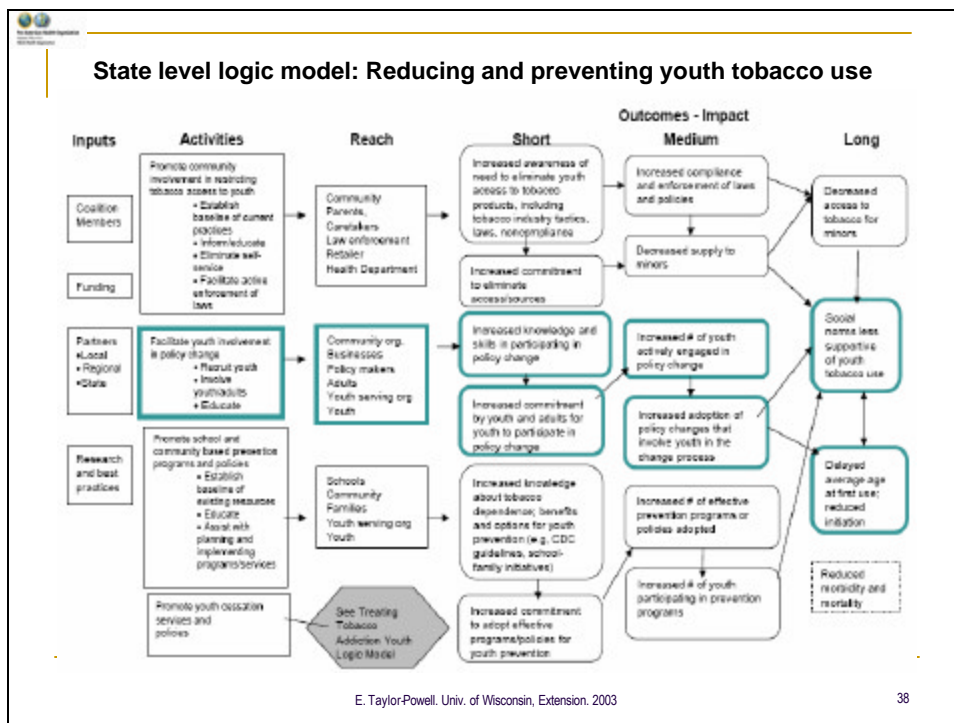
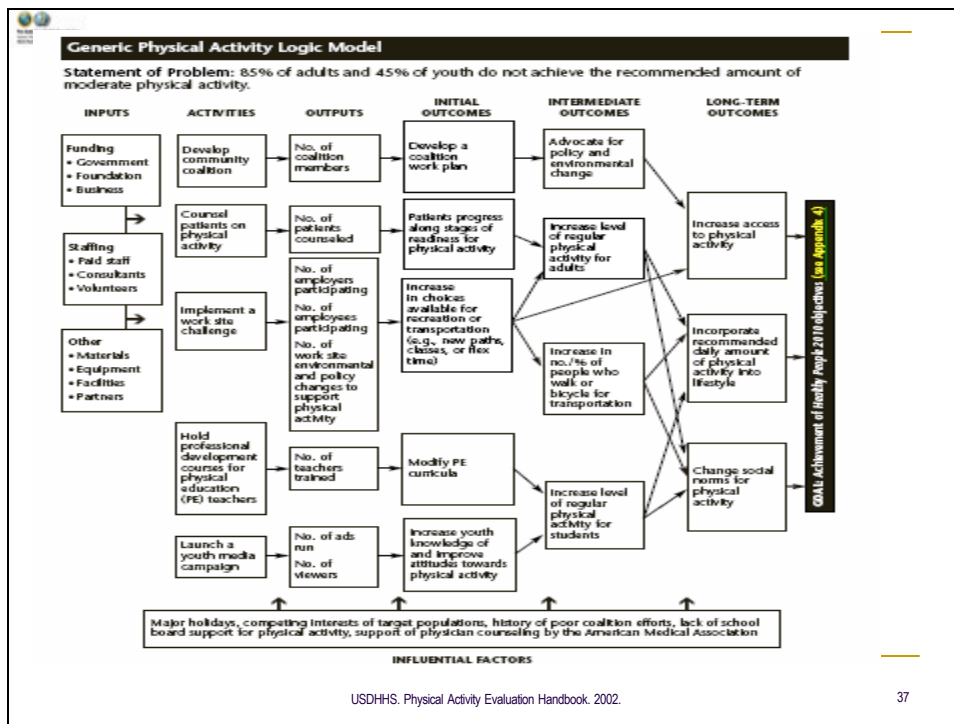
Inputs	Outputs Activities Participation	Outcomes - Impact Short Term Medium Term Long Term
What we invest:	What we do: Who we reach:	<div style="display: flex; justify-content: space-between;"> <div style="width: 33%; padding: 5px;">What the short term results are:</div> <div style="width: 33%; padding: 5px;">What the medium term results are:</div> <div style="width: 33%; padding: 5px;">What the ultimate impact(s) is:</div> </div>
Assumptions		External Factors

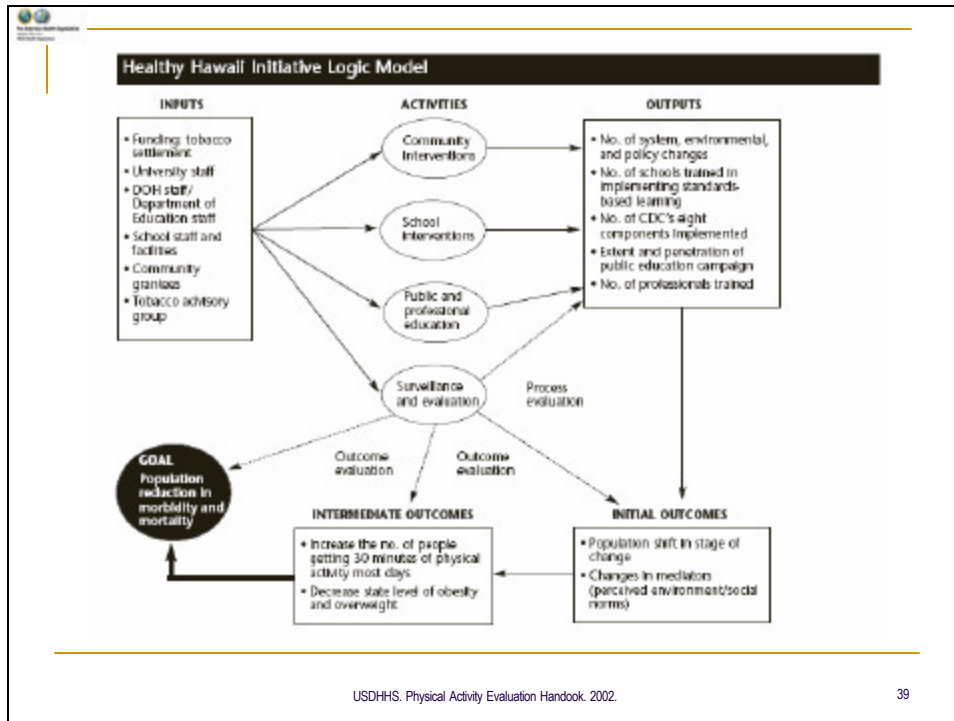
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Examples of Logic Models



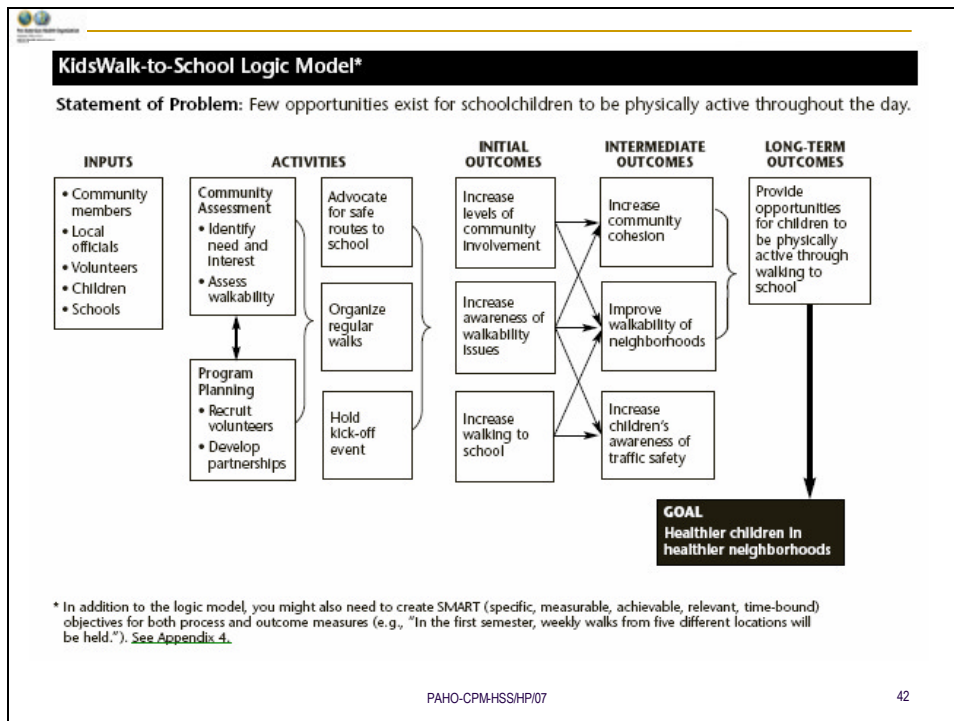
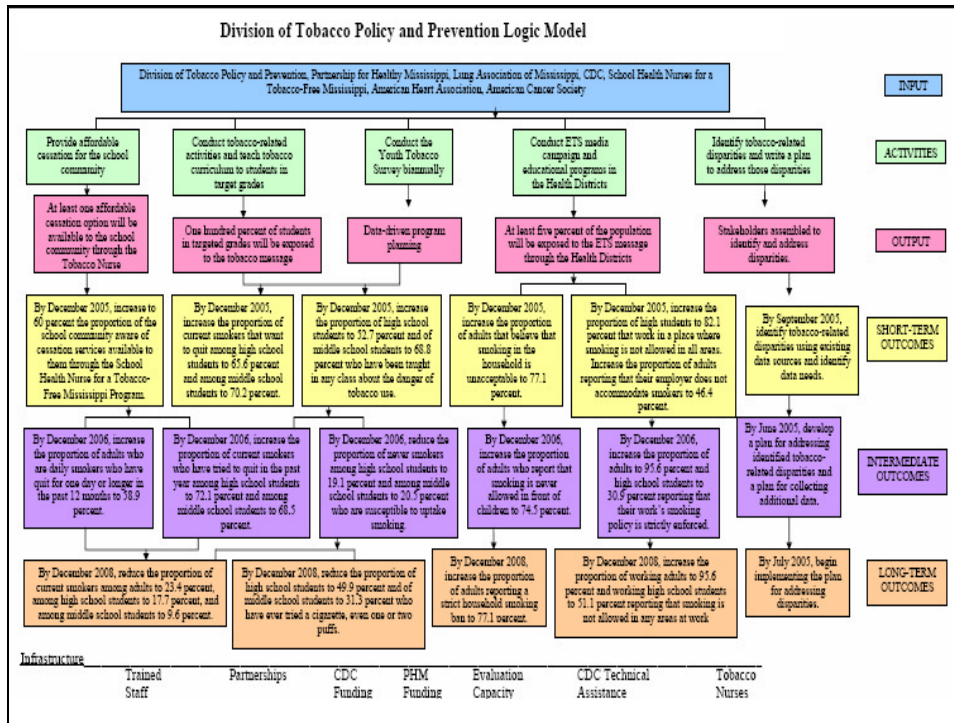




Draft Logic Model for Breast Cancer Screening Recruitment in Elk County

1. Problem/Opportunity	Resources	Community Intervention and Activities	Target Audience(s) Participation	KASI	Immediate Impacts Behavior	KASI	Intermediate Impacts Behavior	Extended Impacts
PRIMARY High Breast Cancer Mortality Rate Contributing factors: • High percentage of late stage diagnosis • Low screening rate SECONDARY Certain members do not have sufficient community connections to increase screening on their own.	Coalitions Members Coalition Funding ACS Training Local Community organizations and businesses to reach uninsured and underinsured women ACS "Adding a Women to Get a Mammogram - Because Women Say No—And What You Can Say in Response" ACS Tail A Pinned Tackling Logo TAP like Training for coalition members to make calls Evidence from previous literature on motivational phone calls, tailored messages and letters to low income women	Distribute 200+ mammography habit questionnaires to take to an local beauty shop, one senior center, one drug store, and one food bank at a meeting lunch at the Kappan Kettle Restaurant in Johnstown on September 8, 2005. Mail letters to women who have not had mammograms in the past year by October 10. Make follow-up phone calls to women who have not had mammograms in the past year after October 27. Provide incentives to make calls Luncheon for women and/or friends or family by Spring of 2006.	PRIMARY 20 uninsured and underinsured income women between the ages of 40 and 64 SECONDARY 9 local community organizations and business representatives that serve uninsured and underinsured income women	The Breast Cancer Subcommittee Members and volunteers will: • identify the barriers to mammography for low income women (knowledge) • feel confident regarding to the "Because Women Say No" (attitude) • will agree to read letters regarding women of the importance of screening and inform them of upcoming motivational calls (intention) • will agree to make motivational phone calls to counsel women (intention) Local community organizations and business representatives that serve uninsured and underinsured women will: • be able to reach breast cancer screening guidelines • be able to identify where uninsured women can receive these screenings at low cost or no cost • be able to explain that treatment is covered then the Breast and Cervical Cancer Treatment Act (knowledge or skill)	The Breast Cancer Subcommittee Members and volunteers will: • and letters • will make motivational phone calls • communicate the importance of mammography in early detection • counsel women to overcome barriers • invite women to call for an appointment Local community organizations and business representatives that serve uninsured and underinsured women will inform clients about: • the importance of screening guidelines and early detection to improve breast cancer survival • local availability of low cost/ no cost programs • mailed tickets to support recruitment efforts	Women will: • recognize screening guidelines (knowledge) • identify locations where uninsured women can receive these screenings at low cost or no cost (knowledge) • know that early detection can find small cancer when it is most treatable (knowledge) • believe that mammograms are important (attitude) • plan to schedule an appointment for screening (intention) • believe in the importance of the healthy option in convincing women to get screened (attitude)	Women will schedule and keep an appointment for mammogram. Women screened will bring one or more friends and family members between the ages of 40 and 64 to a learning lunch Women who participate in screening will plan to call one or more friends and family between the ages of 40 and 64 to invite them to a ladies luncheon to hear more about the breast cancer screenings (intention)	Increased screening numbers at two sites in Elk County Reduced percent of late stage diagnosis of breast cancer Reduced breast cancer mortality
2. INDICATORS & Data Source	List of members • roles • donations	Raffle tickets and Gift certificates Log of women receiving letters, women receiving calls, and uninsured women	List of representative agreeing to participate	Commitment forms Evaluation	Log of letters sent Tail A Pinned tracking sheets Call observations of barriers	Reservations for the luncheon	Office records Sign-in sheets for luncheon	Office records
3. EXTERNAL INFLUENCES: On Local community organizations and businesses: time, opportunity for training. On Women: social, physical, and psychological needs of family members, time off from work, transportation								
4. Test acceptance of the logic in the program: make IF THEN statements about components in the model and see if you agree and others agree with the assumption. If not, make changes. <i>It isn't all possible!</i>								

Marcy Deschamps, PHM Coordinator, Elk County September 2005





Suggested Reading(s)

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