TE WHARE WĀNANGA O TE ŪPOKO O TE IKA A MĀUI

# VICTORIA
### UNIVERSITY OF WELLINGTON

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# School of Government

# MMPM 527 / MAPP 554 MONITORING AND EVALUATION
### (15 Points)

## Trimester Two 2006

## COURSE OUTLINE

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## Contact Details

**Course Co-ordinator:**      **Kate McKegg**
PO Box 68
Te Awamutu
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Mobile: 021 475 919
Fax: (07) 870 - 1663
Email: kate.mckegg@xtra.co.nz

**Administrator:**      **Darren Morgan**
Room RH 802, Level 8, Rutherford House, Pipitea Campus
Telephone: (04) 463-5458
Fax: (04) 463-5454
Email: darren.morgan@vuw.ac.nz

## Course Dates, Times and Location

**Module Four:**      Thursday 31 August 2006      8.30am-6.00pm

**Module Five:**      Thursday 19 October 2006      8.30am-6.00pm

**Module Six:**      Thursday 23 November 2006      8.30am-6.00pm

**Location:**      The course will be held on the Pipitea Campus of Victoria University of Wellington.  You will be advised of your classroom one week prior to the course by email.

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## Course Objectives

At completion of this course, participants will have developed an understanding of:

- monitoring and evaluation approaches appropriate to a public sector context, and will be able to apply this understanding in the workplace.
- (i) purposes for policy and programme evaluation; and (ii) policy and programme evaluation planning, development and management and be able to apply this in the workplace.
- evaluation issues and challenges in a public sector environment including that of developing evaluative capacity and integrating monitoring, research and evaluation evidence into policy and practice.

## Course Content

### Module Four

**Monitoring and Evaluation in a Managing for Outcomes Context**

- Accountability, performance and outcome focussed management
- The role of evaluative information in an Outcomes Focussed context
- Planning for Strategic Information
- Research, Evaluation and Monitoring for decision making and accountability
- Developing performance expectations and performance measurement

### Module Five

**Evaluation Fundamentals for Designing and Managing Evaluation in a Public Sector Environment**

- Approaches and methodologies in evaluation
- The purposes and types of evaluation
- Planning for evaluation and evaluation use
- Doing and managing evaluation in New Zealand
- Ethics and professional responsibility
- Using evaluation - reporting and disseminating results

### Module Six

**Improving and Building Monitoring, Research and Evaluation Capacity**

- Integrating monitoring, research and evaluation evidence into the practice of policy - what are the challenges?
- How might we build 'evaluative cultures' in a public sector?
- How do we improve New Zealand's public sector monitoring, research and evaluation practice?

# Expected Workload

A total of 10 hours per week including class attendance would be considered an appropriate workload for this paper.

# Readings

## Required Text

Lunt, N., Davidson, C., and McKegg, K., (2003) *Evaluating Policy and Practice, A New Zealand Reader*, Pearson Education, New Zealand

## Additional Texts

Davidson, J., (2005) Evaluation Methodology Basics, The Nuts and Bolts of Sound Evaluation, Sage Publications, Thousand Oaks, California.

Patton, Michael Quinn, (1997) Utilization Focused Evaluation: The New Century Text, Sage Publications, Thousand Oaks, California.

Owen, J., with Patricia Rogers (1999) Program Evaluation, Forms and Approaches, 2nd Edition, Allen and Unwin, Sydney.

The Required Readings for this course will be provided in hard copy. Electronic copies of these readings are also available in the MPM Course Folders and in Blackboard.

Many of the further readings are also available electronically in the same places. Others in the further reading list are available from VUW and other libraries.

In relation to the readings, please note the following:

- This course is based on close reading of a relatively small number of documents. Most of the required readings are applied in nature, drawn from government or independent agencies but do not underestimate their quality. Many are equal in substance to their commercial and academic counterparts.

## Required Readings – Module Four

Mayne, J., (2003) Reporting on Outcomes: Setting Performance Expectations and Telling Performance Stories, Discussion Paper, Office of the Auditor General of Canada. http://www.oag-bvg.gc.ca/domino/other.nsf/html/200305dp1_e.html (July 2005)

Mayne, J., (1999) *Addressing Attribution Through Contribution Analysis: Using Performance Measures Sensibly*, Working Paper, Office of the Auditor General of Canada. http://www.oag-bvg.gc.ca/domino/other.nsf/html/99menu5e.html (July 2005)

Managing For Outcomes Steering Group (November 2003) *Learning from Evaluative Activity, Enhancing Performance through Outcome-focussed Management*, Department of Prime Minister and Cabinet, Te Puni Kokiri, State Services Commission, The Treasury, New Zealand http://www.ssc.govt.nz/display/document.asp?NavID=208&DocID=3580 (July 2005)

State Services Commission and The Treasury, (March 2006) *Guidance and Requirements for Departments, Preparing the Statement of Intent.* http://www.ssc.govt.nz/display/document.asp?NavID=253&DocID=5288

State Services Commission and The Treasury, (December 2005) *Getting Better at Managing for Outcomes: A tool to help organisations consider their progress in results based management and identify development objectives.* http://www.ssc.govt.nz/display/document.asp?NavID=253&DocID=4728

**Further Reading (Optional)**

*(The following are held as electronic files in the Course Folder and Blackboard)*

Review of the Centre (September 2003) *Doing the Right Things and Doing Them Right, Improving Evaluative Activity in the New Zealand State Sector*, State Services Commission and Treasury, New Zealand. http://www.ssc.govt.nz/display/document.asp?NavID=177&DocID=3506 (July 2005)

Office of the Auditor-General (NZ) (OAG) (2002) *Reporting Public Sector Performance*, 2nd ed., Wellington.

Perrin, B., (2002) *Towards a New View of Accountability,* Paper presented to the European Evaluation Society Annual Conference, Seville, Spain.

Ussher C. and Kibblewhite A. (2001) *Outcome-Focused Management in New Zealand – A Background Paper*, Treasury Working Paper 01/05, Wellington.

Department of Finance and Administration (2000) *The Outcomes and Outputs Framework: Guidance Document*, Canberra.

Affholter, D., (1994) 'Outcome Monitoring', pp 97-118 in *Handbook of Practical Program Evaluation,* Wholey, J., Hatry, H., Newcomer, K., (eds), Josey-Bass Inc, San Francisco.

HM Treasury, Cabinet Office, National Audit Office, Audit Commission, Office for National Statistics (March 2001) *Choosing the Right Fabric, A Framework for Performance Information*, United Kingdom

Ryan B. (1992) 'Monitoring Effectiveness in selected Social Policy Programs', in O'Faircheallaigh C. and Ryan B. (eds) *Performance Monitoring and Program Evaluation*, Sth Melbourne, Macmillan.

Treasury Board Secretariat (2001) *Guide for the Development of Results-based Management and Accountability Frameworks*, Ontario.

Chelimsky, V., (1985) 'Comparing and Contrasting Auditing and Evaluation, Some Notes on Their Relationship', *Evaluation Review,* Vol. 9, No. 4. pp 483-503.

Caracelli, V., Droitcour, J., (2000) *'Cross Discipline Reports: Providing Policy Information by Combining Audit and Evaluation',* Paper presented at the annual meeting of the American Evaluation Association, November 2, 2000, Hawaii.

**Required Readings – Module Five**

Lunt, N., Davidson, C., and McKegg, K., (2003) *Evaluating Policy and Practice, A New Zealand Reader*, Pearson, New Zealand - **Sections Two, Three and Four**

Australasian Evaluation Society Inc (2002) *Guidelines for the Ethical Conduct of Evaluations* Australia. www.aes.asn.au.

American Evaluation Association (2005) Program Evaluation Standards Summary, http://www.wmich.edu/evalctr/jc/

**Further Readings (Optional)**

Pathfinder *Building Block 3: Intervention Logic* http://io.ssc.govt.nz/pathfinder/documents/pathfinder-BB3-intervention_logic.pdf

Program Development and Evaluation, University of Wisconsin Extension, Logic Model resources (as at July 2005) http://www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html

Cabinet Office UK, *The Magenta Book: Chapter 1 – What is Policy Evaluation?* http://www.policyhub.gov.uk/magenta_book/  (July 2005)

Duignan, P., (2004) Intervention Logic: How to Build Outcomes Hierarchy Diagrams Using the OH Diagramming Approach, http://www.strategicevaluation.info/se/documents/124f.html  (July 2005)

Office of the Auditor-General (OAG) (2000) *First Report for 2000: Chapter 6, Impact Evaluation*, Wellington.

Canadian International Development Agency, 1997, *The Logical Framework, Making it Results Oriented* http://www.acdi-cida.gc.ca/CIDAWEB/acdicida.nsf/En/REN-218132726-PPN

Sue Funnell, '*Program Logic: an adaptable tool for designing and evaluating programs*' in Evaluation News and Comment, July 1997

**Required Readings – Module Six**

Lunt, N., Davidson, C., and McKegg, K., (2003) *Evaluating Policy and Practice, A New Zealand Reader*, Pearson, New Zealand  **Sections One and Five**

Mayne, J., Divorski, S., Lemaire, D., (1999) 'Locating Evaluation: Anchoring Evaluation in the Executive or the Legislature, or Both or Elsewhere?'  pp 23-52 in *Building Effective Evaluation Capacity, Lessons from Practice*, Boyle, R., and Lemaire, D., (eds), Transactions Publishers, New Jersey.

Cousins, B. J., (2004) 'Integrating Evaluative Inquiry Into The Organizational Culture: A Review and Synthesis of the Knowledge Base', *The Canadian Journal of Program Evaluation*, Volume 19, (2) pp 99-141.

Duignan, P., (2002) 'Building Social Policy Evaluation Capacity', *Social Policy Journal*, Issue 19. December, pp 179-194.

McDonald, B., Rogers, P., and Kefford, B., (2003) 'Teaching People to Fish? Building the Evaluation Capability of Public Sector Organizations', *Evaluation*, Volume 9 (1) pp 9-29.

**Further Readings (Optional)**

Ryan B. (2003) 'Death by Evaluation? Reflections on Monitoring and Evaluation in Australia and New Zealand', *Evaluation Journal of Australasia* Volume 3, No. 1. August, pp 6-16.

Owen, J., (2003) 'Evaluation Culture: A Definition and Analysis of its Development Within Organisations', *Evaluation Journal of Australasia,* Volume 3. No. 1. August, pp 43-47.

Sonnichsen, R., (1999) 'Building Evaluation Capacity within Organisations', pp 53-73 in *Building Effective Evaluation Capacity, Lessons from Practice*, Boyle, R., and Lemaire, D., (eds), Transactions Publishers, New Jersey.

Sonnichsen, R.C., (2000) *High Impact Internal Evaluation, A Practitioner's Guide to Evaluating and Consulting Inside Organisations*, Sage Publications, Thousand Oaks.

Preskill, H., and Torres, R., (1999) *Evaluative Inquiry for learning in Organisations, Sage Publications*, Thousand Oaks.

Walker, R., (2001) 'Great Expectations: Can Social Science Evaluate *New Labour's* Policies?' *Evaluation*, Vol. 7. No. 3 pp 305-330.

## Assessment Requirements

There are three items of assessment.  They are:

| Item | Marks | Due |
|------|-------|-----|
| Essay (2000 words) | 40% | 7 September |
| Essay (3000 words) | 50% | 8 November |
| Attendance and participation | 10% | A roll will be taken at each block course and credit will be given for individual and group participation during the year |

## Essay One (due 7 September)

Organisations that are managing for outcomes:

- have a clear vision of why they exist, what they want to achieve and how well they are achieving against this
- plan their work keeping in mind a clear set of outcomes, objectives, activities, outputs and measures of success
- deliver what they have planned, in a manner that is consistent with public service ethics, values and standards while meeting standards of timeliness, quality, accuracy etc
- take stock of their progress by monitoring, measuring, reviewing and evaluating as they go
- learn from success and failure and modify what they do and how they do it in response
- report publicly on their results, promoting transparency to Parliament and the public and providing a basis for dialogue about future decisions, and
- have an adaptive and innovative culture and seek continuous improvement.


**Write an essay of 2000 – 3000 words on the following topic:**

Select one public sector agency's most recent Statement of Intent. In 2000 – 3000 words, undertake a critical analysis, exploring whether the key criteria identified above as necessary in organisations managing for outcomes, are clearly articulated in the SOI. Key questions to ask and answer include:

- Is there a clear vision?
- Is it clear the organisation knows what they want to achieve?
- Are there clear linkages between the stated vision, outcomes, objectives and activities?
- Are there clear measures of success articulated?
- Does the organisation indicate how well they delivered what they planned the year before?
- Is there any attempt made to reflect on the previous years SOI?
- Does it appear that the agency is being transparent in reporting its results? Why? Why not?
- What evidence does the agency bring to bear on the development of its SOI? Which aspects of performance are being measured?
- What kind and range of measures are being used? Are they 'outcome' oriented? Will these measures provide sufficient information about the stated outcomes? Why / Why not?
- What seems good and useful about this organisation's approach?
- What are the weaknesses? What improvements would you suggest given the context of Managing for Outcomes?

All recent Statement of Intents can be downloaded from: http://www.treasury.govt.nz/budget2006/soi/


## Essay Two (due 8 November)

STEP ONE:

Prepare a comprehensive intervention logic or results-expectations chart for a programme or policy of your choice, perhaps one that you are familiar with.


STEP TWO:

Now consider the following questions. Provide an analysis of the programme or policy based on these questions.

1. What is the rationale and context for this programme or policy?
2. Who are the target group(s) for this policy or programme, and why?
3. What is the need that this policy or programme is trying to address?
4. What kind of evidence exists to support questions 1 – 3 above?
5. What are the intended immediate, intermediate and longer term outcomes for the programme or policy?  Why these and not others?
6. Are there clearly articulated performance expectations for this policy or programme?  Do you consider that these expectations are realistic?  Explain.
7. What factors might limit the ability of the policy or programme to achieve the intended stated outcomes?
8. What, in your view, would success look like for this programme or policy?  Explain.
9. How would you judge the quality or value this programme or policy makes?
10. What kind / range of evidence would you need to have to demonstrate this success to the Minister?

STEP THREE

Finally, compare your logic with the existing and current policy and programme information.  Critically analyse (i) how robust you believe the current evidence base is for this policy or programme; (ii) the extent to which the available evidence might be used to make judgements about the quality or value of the programme and used to adjust or improve the policy or programme settings.

**Please post / hand-in ALL assignments to:**

Francine McGee,
School of Government,
Victoria University of Wellington,
Level 8 Reception,
Rutherford House,
23 Lambton Quay,
P.O. Box 600,
Wellington.

**Students should keep a copy of all submitted work.**

ANZSOG candidates taking this course as an elective should note that they take it for 24 points, and not 15 points.  Accordingly, the learning outcomes to be achieved by ANZSOG candidates are wider and deeper than those expected for non-ANZSOG candidates.  The content of those learning outcomes, and the means whereby they will be assessed, will be negotiated and confirmed with the course co-ordinator at the start of the course.

## Penalties

It is the policy of this course for no extensions to be given.  Late assignments will attract an instant 10% deduction, and a further 5% reduction will occur for every subsequent week an assignment is late.

## Mandatory Course Requirements

To fulfil the mandatory course requirements for this course, you are required to:

1. submit all assignments by the due date, unless you have been granted an extension; and
2. attend all contact sessions of the course. If you are unable to attend a session, you must inform the course co-ordinator as soon as possible and you may be required to submit a further item of assessment.

## Communication of Additional Information

Most additional information will be provided by email, from Kate McKegg or Darren Morgan

## Faculty of Commerce and Administration Offices

Railway West Wing (RWW) - FCA Student and Academic Services Office
The Faculty's Student and Academic Services Office is located on the ground and first floors of the Railway West Wing.  The ground floor counter is the first point of contact for general enquiries and FCA forms.  Student Administration Advisers are available to discuss course status and give further advice about FCA qualifications.  To check for opening hours, call the Student and Academic Services Office on (04) 463-5376.

Easterfield (EA) - FCA/Education/Law Kelburn Office
The Kelburn Campus Office for the Faculties of Commerce and Administration, Education and Law is situated in the Easterfield Building - it includes the ground floor reception desk (EA 005) and offices 125a to 131 (level 1).  The office is available for the following:

- Duty tutors for student contact and advice.
- Information concerning administrative and academic matters.
- Forms for FCA Student and Academic Services (e.g. application for academic transcripts, requests for degree audit, COP requests).
- Examinations-related information during the examination period.

To check for opening hours call the Student and Academic Services Office on (04) 463-5376.

## General University Policies and Statutes

Students should familiarise themselves with the University's policies and statutes, particularly the Assessment Statute, the Personal Courses of Study Statute, the Statute on Student Conduct and any statutes relating to the particular qualifications being studied.  See the Victoria University Calendar available in hard copy or under 'About Victoria' on the VUW home page at www.vuw.ac.nz.

## Student and Staff Conduct

The Statute on Student Conduct together with the Policy on Staff Conduct ensure that members of the University community are able to work, learn, study and participate in the academic and social aspects of the University's life in an atmosphere of safety and respect.  The Statute on Student Conduct contains information on what conduct is prohibited and what steps are to be taken if there is a complaint.  For information about complaint procedures under the Statute on Student Conduct, contact the Facilitator and Disputes Advisor or refer to the statute on the VUW policy website at www.vuw.ac.nz/policy/studentconduct.  The Policy on Staff Conduct can be found on the VUW website at www.vuw.ac.nz/policy/staffconduct.

## Academic Grievances

If you have any academic problems with your course, you should talk to the tutor or lecturer concerned; class representatives may be able to help you in this.  If you are not satisfied with the result of that meeting, see the Head of School or the relevant Associate Dean; VUWSA Education Co-ordinators are available to assist in this process.  If, after trying the above channels, you are still unsatisfied, formal grievance procedures can be invoked.  These are set out in the Academic Grievances Policy which is published on the VUW website at www.vuw.ac.nz/policy/academicgrievances.

## Academic Integrity and Plagiarism

Academic integrity is about honesty – put simply, it means **no cheating**.  All members of the University community are responsible for upholding academic integrity, which means staff and students are expected to behave honestly, fairly and with respect for others at all times.

Plagiarism is a form of cheating which undermines academic integrity.  The University defines plagiarism as follows:

*The presentation of the work of another person or other persons as if it were one's own, whether intended or not.  This includes published or unpublished work, material on the Internet and the work of other student or staff.*

It is still plagiarism even if you re-structure the material or present it in your own style or words.

*Note: It is, however, perfectly acceptable to include the work of others as long as that is acknowledged by appropriate referencing.*

Plagiarism is prohibited at Victoria and is not worth the risk.  Any enrolled student found guilty of plagiarism will be subject to disciplinary procedures under the Statute on Student Conduct and may be penalised severely.  Consequences of being found guilty of plagiarism can include:

- an oral or written warning
- cancellation of your mark for an assessment or a fail grade for the course
- suspension from the course or the University.

Find out more about plagiarism, and how to avoid it, on the University's website at www.vuw.ac.nz/home/studying/plagiarism.html.

## Students with Impairments

The University has a policy of reasonable accommodation of the needs of students with disabilities.  The policy aims to give students with disabilities the same opportunity as other students to demonstrate their abilities.  If you have a disability, impairment or chronic medical condition (temporary, permanent or recurring) that may impact on your ability to participate, learn and/or achieve in lectures and tutorials or in meeting the course requirements, please contact the Course Co-ordinator as early in the course as possible.  Alternatively, you may wish to approach a Student Adviser from Disability Support Services (DSS) to discuss your individual needs and the available options and support on a confidential basis.  DSS are located on Level 1, Robert Stout Building, telephone (04) 463-6070, email disability@vuw.ac.nz.  The name of your School's Disability Liaison Person is in the relevant prospectus or can be obtained from the School Office or DSS.

## Student Support

Staff at Victoria want students to have positive learning experiences at the University.  Each Faculty has a designated staff member who can either help you directly if your academic progress is causing you concern, or quickly put you in contact with someone who can.  Assistance for specific groups is also available from the Kaiwawao Māori, Manaaki Pihipihinga or Victoria International.

In addition, the Student Services Group (email student-services@vuw.ac.nz) is available to provide a variety of support and services.  Find out more at www.vuw.ac.nz/st_services/.

VUWSA employs Education Co-ordinators who deal with academic problems and provide support, advice and advocacy services, as well as organising class representatives and Faculty delegates.  The Education Office (telephone (04) 463-6983 or (04) 463-6984, email education@vuwsa.org.nz) is located on the ground floor, Student Union Building.


## Manaaki Pihipihinga - Maori and Pacific Mentoring Programme (Faculty of Commerce and Administration)

This is a mentoring service for Maori and Pacific students studying at all levels.  Weekly one hour sessions are held at the Kelburn and Pipitea Campuses in the Mentoring Rooms, 14 Kelburn Parade, and Room 210 and 211, Level 2, Railway West Wing.  Sessions cover drafting and discussing assignments, essay writing, and any questions that may arise from tutorials and/or lectures.  A computer suite networked to Cyber Commons is available for student use.

To register with Manaaki Pihipihinga, please contact one of the following:

| | |
|---|---|
| Puawai Wereta | Fa'afoi Seiuli |
| Room 210, Level 2 | Room 109 B |
| Railway West Wing | 14 Kelburn Parade |
| Tel. (04) 463-8997 | Tel. (04) 463-5842 |
| Email: puawai.wereta@vuw.ac.nz | Email: faafoi.seiuli@vuw.ac.nz |