

Building

EVALUATION

capital in government

Sarah Goswami & Vicki Lane | [AES Conference, Canberra](#) | 4 – 6 September 2017



Queensland
Government

Overview



The Queensland Financial Accountability Act 2009 requires that:

“accountable officers and statutory bodies achieve reasonable value for money by ensuring the operations of the department or statutory body are carried out efficiently, effectively and economically”

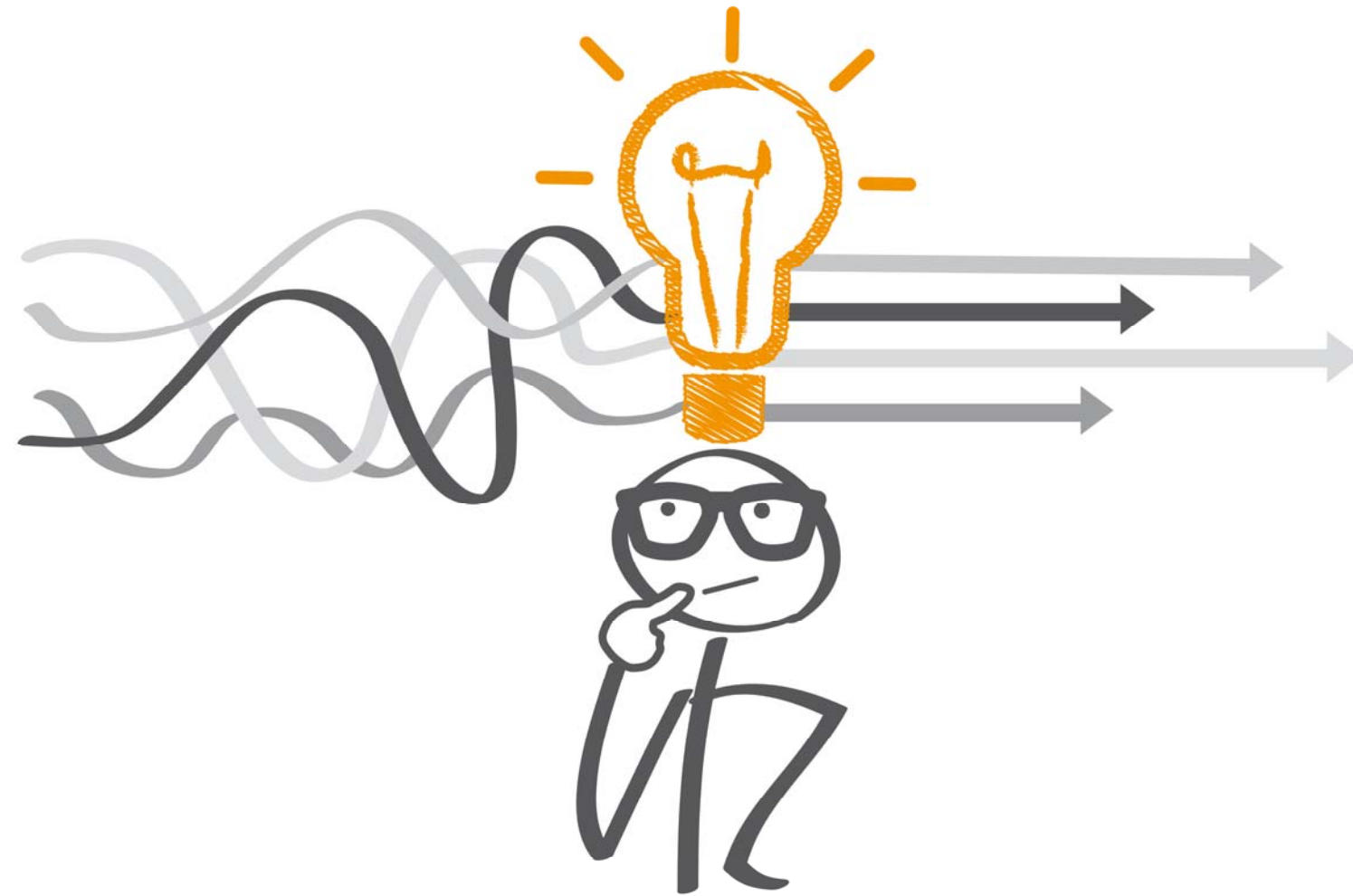
Outline

DAF's Impact and Investment Framework:

- Helping keep our work on track and improve decision making



Challenges to building evaluation capital



Building evaluation capital

Mainstreamed evaluation – Why have past attempts failed in practice?

- A lack of knowledge of the logic underpinning programs
- **Literature suggests:**
 - Lack of leadership, poor participation culture, path dependence, vested interest opposition (Picciotto 2001)
 - **Preskill and Boyle (2008)** state “participants must be provided with leadership support, incentives and opportunities to transfer their learning...to everyday work”.
 - **Heider (2011)** discusses the need for evaluation capacity at 3 levels; the individual, the environment and the institution

From theory to practice



The Framework

In 2016/17 we established a **DAF Impact and Investment Framework**

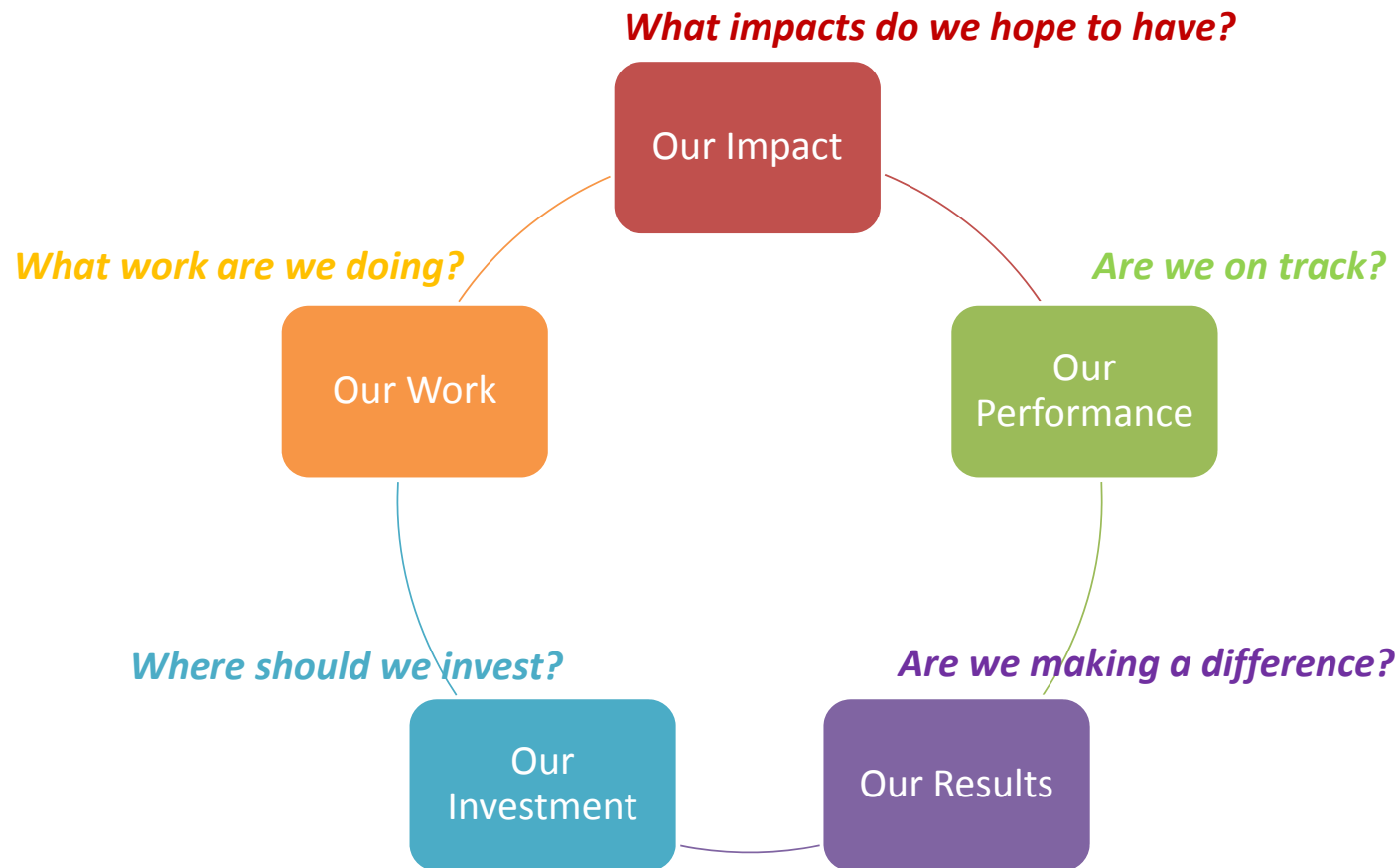
- It provides a **consistent, organisation-wide** approach to:
 - **identifying our work** and the **impacts** we seek to achieve
 - **monitoring and evaluating** our **performance**
 - deciding where we should **invest** in the future

The Framework

In 2016/17 we established a **DAF Impact and Investment Framework**

- It links **planning and performance** to the **delivery of impact**
- Its aims to embed **sustainable evaluation culture**
- It provides a clear **line of sight** for staff

The Framework



Evaluation building blocks

‘our work’ & ‘our impact’



‘Our work’

Describes the work undertaken within DAF in a consistent manner

- Data collected at the activity level on resources (financial and human)
- Data aligned to - impacts, industry, function and location

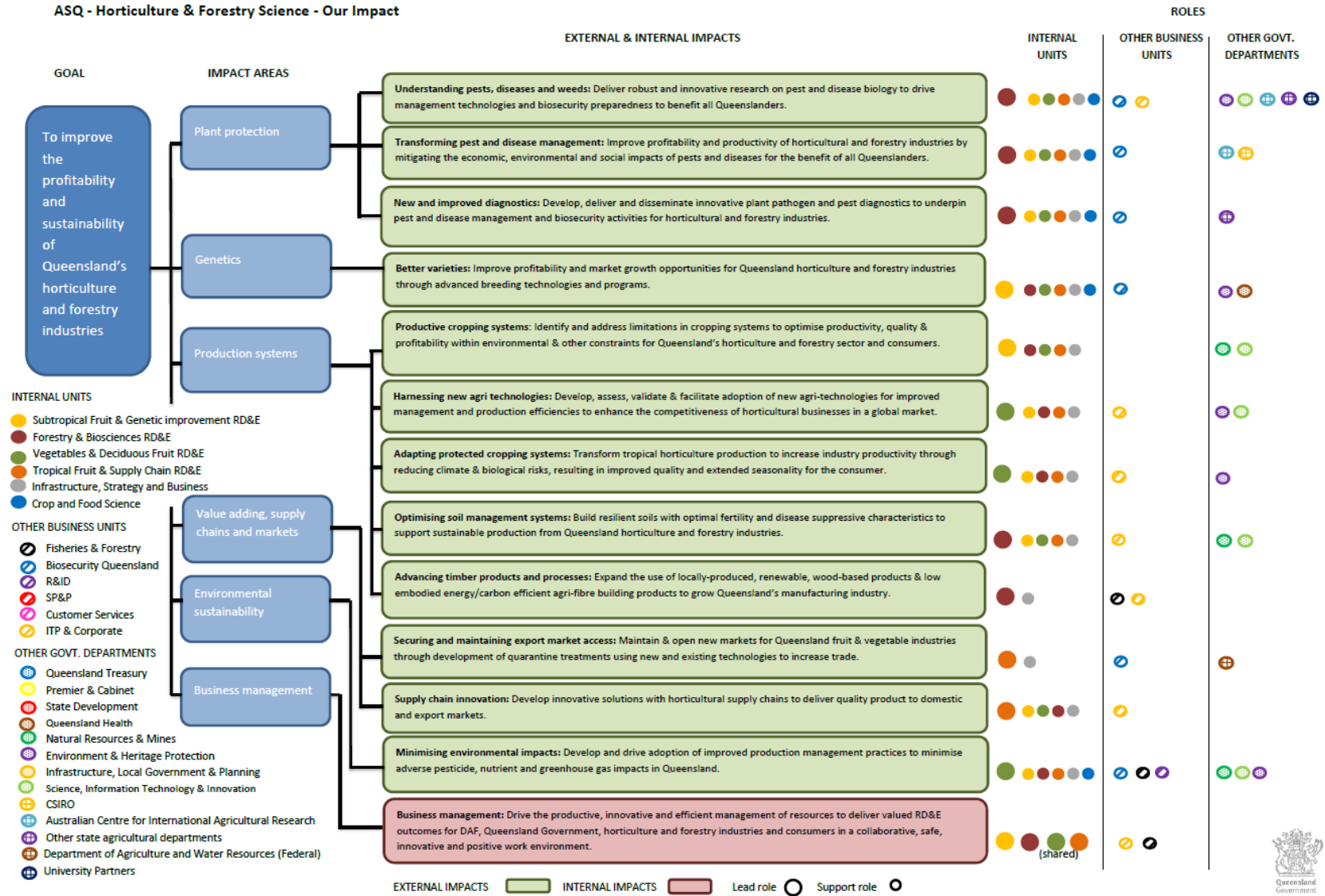
‘Our impact’

Describes the impacts that DAF seeks to achieve

- Impacts are documented in the DAF Impact Map.
 - **A customer centric visual tool, comprised of 15 pages**
- Underpinning each of the pages is a series of logic models describing how the programs of work will deliver impacts



ASQ - Horticulture & Forestry Science - Our Impact



Underpinning sustainable evaluation

‘our performance’, ‘our results’ & ‘our investment’



‘Our performance’

Provides a way to **monitor progress** to the delivery of impacts and **provides data for evaluation**

- Data collection is summarised in the DAF Performance Measurement Plan
- Key focus of measurement was – ‘meaningful’

ASQ – Horticulture & Forestry Science (H&FS) - Performance Measurement Plan

Service Description		Impact pathways	Internal Units			
<p>We add value by improving the profitability and sustainability of Queensland's horticulture and forestry industries. The areas where we deliver impact are:</p> <ul style="list-style-type: none">• Protect Queensland from plant pests and diseases• Maintain and facilitate trade and market access• Manage the risks associated with agricultural chemicals and food contaminants• Effective and accountable business management			Understanding pests, diseases and weeds	Subtropical Fruit & Genetic Improvement RD&E		
			Transforming pest and disease management		Forestry & Biosciences RD&E	
			New and improved diagnostics			Vegetables & Deciduous Fruit RD&E
			Better varieties			
			Productive cropping systems	External impact statement		
			Harnessing new agri technologies		Internal impact statement	
			Adapting protected cropping systems			
			Optimising soil management systems			
			Advancing timber products and processes			
			Securing and maintaining export market access			
	Supply chain innovation					
	Minimising environmental impacts					
	Business management					
Headline performance measures – what are they?			Targets	Unit		
Effectiveness	Average benefit cost ratio of independently evaluated RD&E projects.		≥ 3:1	All H&FS		
Efficiency	<ol style="list-style-type: none">1. Average external co-funding for priority RD&E attracted per dollar of State appropriation funds invested is within target range.2. Percentage of final reports delivered by agreed date that will improve the profitability and sustainability of Queensland's horticulture and forest industries		<ol style="list-style-type: none">1. \$0.80 to \$1.202. ≥ 95%	All H&FS		
What do they tell us?						
Effectiveness	This measure demonstrates that the research program is producing significantly valued new or improved varieties, technologies, etc, for industry.					
Efficiency	<ol style="list-style-type: none">1. Measures the amount of co-investment by (reflecting the level of agreement of) stakeholders in the cost of production of project outputs, per unit expenditure of DAF base Treasury appropriation – providing a useful measure of the efficiency of investment of Queensland Government funds. Target for headline efficiency will be set and regularly revised, with initial target of \$0.80-\$1.20 co-investment per \$1 base investment representing excellent efficiency in use of State funds. Going higher than this might represent even better efficiency but at the price of greater risk of research co-investors obtaining excessive influence over the research agenda, to the detriment of focus on government objectives.2. Measures how efficiently H&FS manages its research portfolio to achieve its commitments.					
How are we progressing?		Business unit coverage				
Insert graph		TBA from investment snapshot				
Impact pathway performance measures						
Impact Pathway	Measurement Category	Measure	Target	Unit		
Business management						
Understanding pests, diseases and weeds	Effectiveness	Number of pests, diseases or weeds for which biology is significantly better understood as a result of work completed during the reporting period	3			
	Efficiency	Average external co-funding for priority RD&E attracted per dollar of State appropriation funds invested	\$0.80 to \$1.00			
Transforming pest and disease management	Effectiveness	% change in profits reported by growers after using new IPDM practices (proposes pre and post surveys of growers – first results not likely to be available for 3+ years)	10%			
	Efficiency	Average external co-funding for priority RD&E attracted per dollar of State appropriation funds invested	\$0.90 to \$1.00			
New and improved diagnostics	Effectiveness	Number of crop-damaging microorganisms/pathovars/strains for which				

‘Our results’

Is all about evaluation – for improvement and decision making

- **It asks the questions:**
 - Is our work making a difference?
 - Are we delivering impacts?
 - What have we learnt?
 - How can we improve?

‘Our results’

Is all about evaluation – for improvement and decision making

- **It has two elements:**
 - A strategic program of evaluation
 - Online evaluation toolkit



‘Our investment’

Is all about investment decision making

- **It asks the questions:**
 - Where should we invest?
 - What changes do we need to make?
- It positions us to ask these questions **across business units** and **empowers business units to ask the questions** of themselves

Investing for Impacts – Horticulture & Forestry Science: Our Investment decision-making principles, processes and criteria

Our Investment approach: Horticulture & Forestry Science provides great science and innovative solutions to the Queensland Horticulture and Forest industries. We have a proud history of delivering practical, cost-effective and relevant RD&E outcomes, whilst providing an outstanding return on investment to government and other stakeholders.

Operating within the National Horticulture RD&E Framework, we undertake applied RD&E in partnership with supply chain participants and other research providers. We also commission research and collaborate with other agencies, as well as adapt national and international research findings to benefit Queensland industries.

Horticulture & Forestry Science invests in a project portfolio that balances long-term and short-term benefits, high-risk and low-risk activities, and strategic and adaptive research needs. We avoid duplicating and competing with work by other credible providers, instead seeking to complement others' capabilities. Our intent is to deliver critical step changes in productivity over time and significant short and medium term benefits to industry, whilst minimising the volatility of investment returns over time.

Our Principles

• The **principles** that guide our investment are:

- **Principle 1** - We deliver on government objectives
- **Principle 2** - We invest for impacts
- **Principle 3** - We deliver world-class results
- **Principle 4** - We operate where there is market failure
- **Principle 5** - We build capacity and collaborations for the future

Our Processes

• The **processes** that we undertake to make investment decisions include:

- Program planning and strategic investment discussions are held annually
- Areas of strategic priority are set by the management team each year with reference to DAF priorities and the RD&E Blueprint
- The Impact Map and Workforce Development Plan are updated accordingly
- Project investment decisions are made by the management team throughout the year
- Concept proposals are developed and screened against investment principles
- Formal proposals are developed for externally-funded projects
- Business cases are developed for internally-funded projects/activities
- These are assessed by the Management Team against investment criteria
- Approved proposals are submitted to funders
- Investment performance is reviewed annually
 - Alignment to investment principles is checked
 - Performance measurement data is captured and analysed

Our Criteria

• The **criteria** that help us compare investments include:

- Criteria 1a - Alignment to government objectives and DAF Impact Map
- Criteria 1b - Policy implications
- Criteria 2a - Expected return on investment (factors in size/scope of impact and cost)
- Criteria 2b - Alignment to industry objectives
- Criteria 2a - Likelihood of success
- Criteria 2a - Capacity and skills to undertake work
- Criteria 2b - Quality of research design
- Criteria 2d - Track record of success in area/field
- Criteria 4a - Addresses a gap in knowledge/understanding
- Criteria 4b - Ratio of public to private good
- Criteria 4b - Availability of stakeholder funding to offset delivery of private good
- Criteria 4c - Whether another agency/provider is better placed to undertake the work
- Criteria 5a - Alignment to H&FS Workforce Development Plan
- Criteria 5b - Alignment to National RD&E Framework
- Criteria 5c - Collaboration that provides access to innovation and skills.

ECB and Evaluation Principles

Underpinning the framework



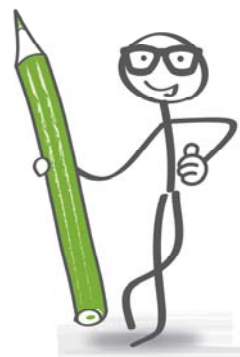
**Business empowerment
& learning**



Support



Utility



Independence

Bottom up empowerment

Harnessed & built on knowledge skills and resources of Business Units through **workshops**

- **Numbers**

- Approximately 400 participants, over 30 workshops
- 25+ trained table facilitators
- 10 investment focus groups



**Business empowerment
& learning**

Bottom up empowerment

Harnessed & built on knowledge skills and resources of Business Units through **workshops**



**Business empowerment
& learning**

- **Outcomes**

- Promoted group ownership of the outputs
- Increased skills in logic modelling and performance measurement
- Built up enthusiasm and buy-in for the Framework

Top down supports

To support ECB at the individual level, **supports, systems and structures** were developed at the **organisational level**



Support

- A '**priority project**' for DAF
- **DG as Champion**
- Cross-DAF Steering Committee
- Introduction of **mandated systems/processes**
- **Reinforced** at every Senior Leaders meeting

Usefulness

Throughout implementation of the Framework, **utility** was a central concept.



Utility

- **Most of the benefit was focused on the users**
- **Critical element to ensure ...** evaluation is an integral part of the everyday operations of the department (Sanders, 2002)

Usefulness

Throughout implementation of the Framework, **utility** was a central concept.



Utility

- **Impact maps** – fill a gap between strategic and project level documents, providing a line of sight
- **Performance measures** – focused on providing data for business improvement
- **Activity data** – Tableau dashboard for investment insights
- **3 above elements** – provide automated business plans
- Also met **accountability** requirements & addressed audit findings

Independence

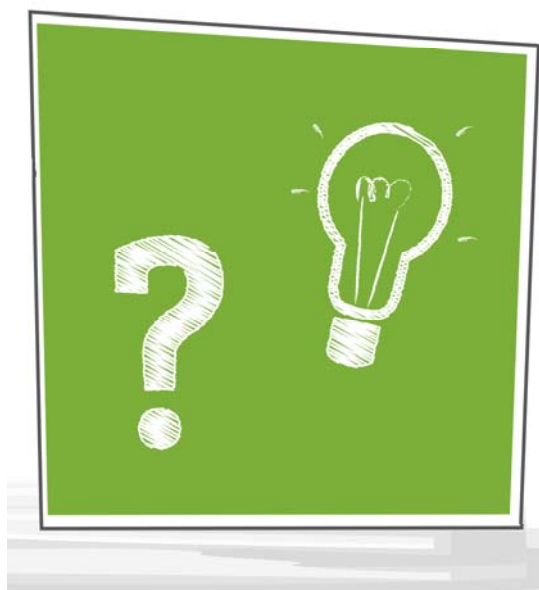
A fundamental principle of evaluation, ensuring creditability and providing quality assurance



Independence

- 'Impact and Investment' group established in the Office of the Director General
- **Modelled on the IFAD approach**
- **Ensured consistent rollout across DAF**
- Will enable evaluation across all business units

Questions, comments



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