



Evaluation in the Australian Public Sector:

After 25 years of federal Government Departments' involvement in evaluation - what have we learnt?

2 September 2009

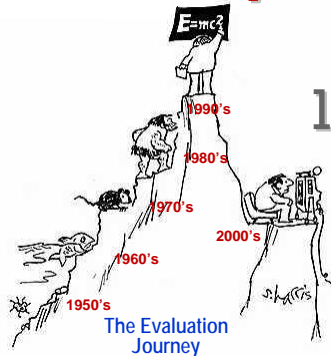
Prof. Peter Bycroft

Managing Director
Corporate Diagnostics Pty Ltd
Adjunct Professor
Faculty of Arts and Social Sciences
University of the Sunshine Coast



31 years in 35 minutes!

1978 to 2009



A personal view





1. Brief personal introduction
2. Public sector reform in Australia - the journey to evaluation
3. Setting the agenda for measurement
4. The emergence of Program Logic and logical-functional analysis
5. The emergence of evaluation frameworks
6. The emergence of balanced scorecards
7. The emergence of the science of organisations
8. What is the marketplace telling us?
9. What are client Agencies telling us?
10. What have we learnt?
11. Where to from here?

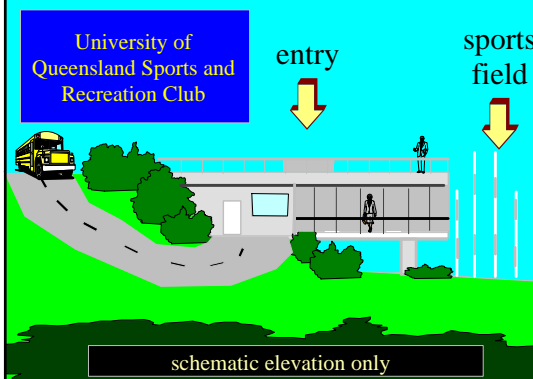


A personal view



1978 - Post-Occupancy Evaluation

R.A.I.A. Award-winning building

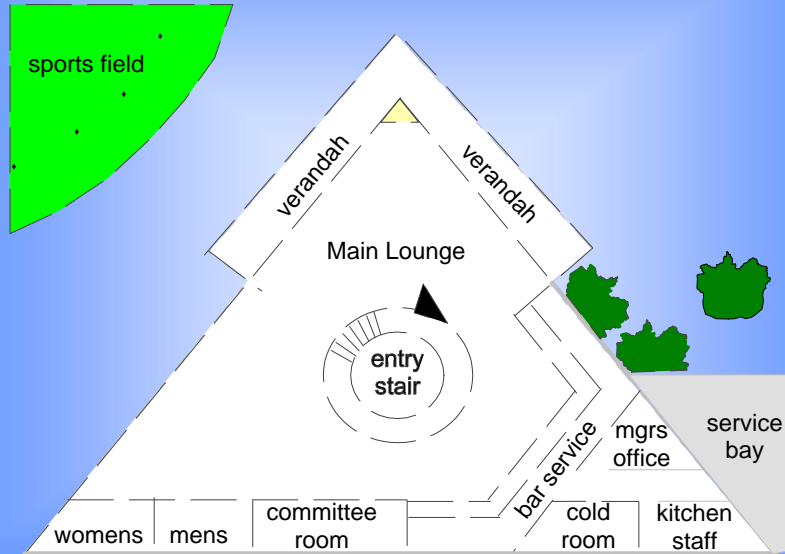


award jury's comments

This building which is to provide social recreation for University sporting bodies has an unusual triangular floor plan with a well expressed strong plan...a controlled solution on a difficult site which is happily related to the sporting field.

The building's unique main entry from the roof terrace by a pleasantly planted circular stair shaft has allowed it to be integrated with steeply banked landscaping.

1978 - Post-Occupancy Evaluation



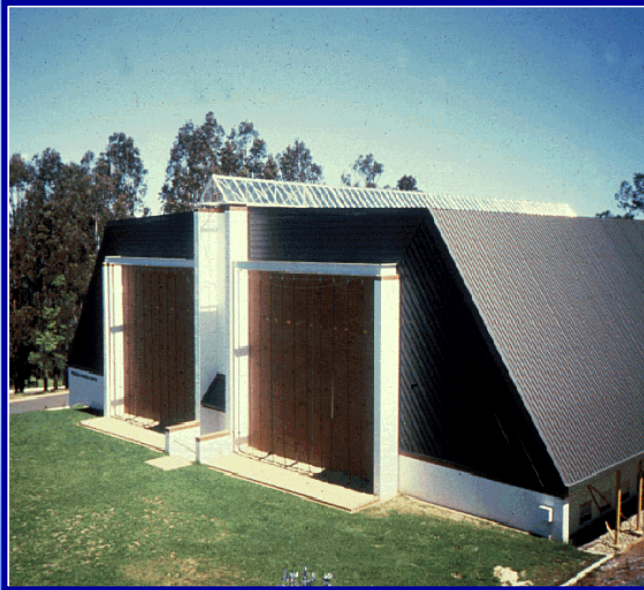
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1986 - Post-Occupancy Evaluation

Duntroon
Gymnasium

**Australian
Construction
Services**

(formerly Department
of Housing and
Construction)



6

1986 - Post-Occupancy Evaluation

Duntroon
Gymnasium

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of Housing and
Construction)



7

1986 - Post-Occupancy Evaluation

Auditor General's Report
April 1989

Described the ACS POE Program
as:

"A valuable and innovative mechanism for reviewing the quality and effectiveness of major construction activities and, in particular, the acceptability of completed works...(and having) considerable potential for improving product and client satisfaction...."

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Public sector reform in Australia - the journey to evaluation -

8 Major Reform Initiatives Internationally

Key movements in public sector reform	Service delivery implications
1. Downsizing (1970's) – desire to reduce the size of government	Introduced the concept of accountability & measurement of performance against objectives
2. Continuous improvement (1980's) – emerging from the quality movement	Implications for internal processes by engaging staff in decision making & quality processes
3. Re-engineering (early 1990's) – introduction of private sector ideas	1 st introduction of a profit metaphor , shift towards private sector modes of operation and out-sourcing

Public sector reform in Australia - the journey to evaluation -

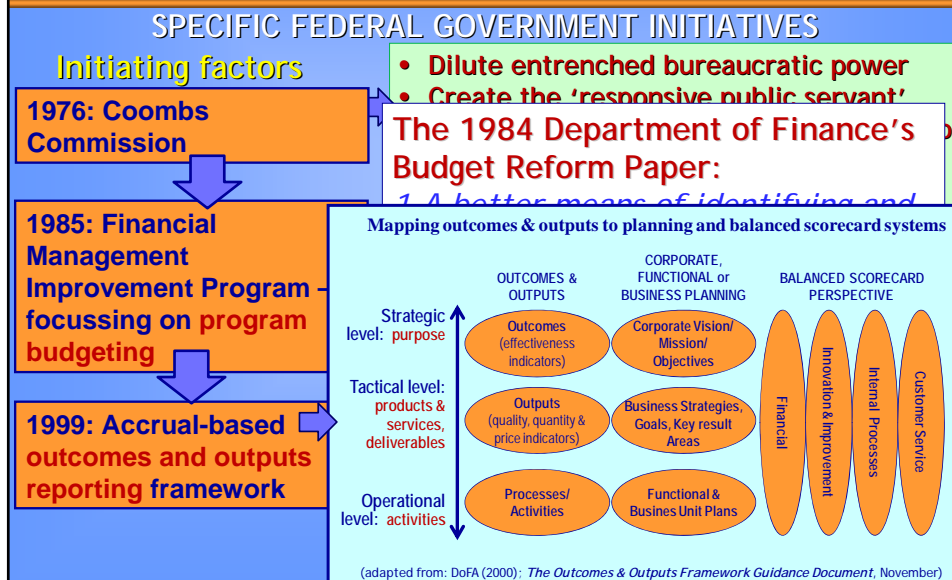
Key movements in public sector reform	Service delivery implications
<p>4. Re-invention (early 1990's) – based on entrepreneurial government</p> <p>Osborne & Gaebler (1993); Reinventing Government; Plume Book; London</p>	<p>Move from input to outcome thinking, entrepreneurial thinking and multiple methods of service delivery</p>
<p>5. Delaying (early 1990's) – based on reducing the layers of management</p>	<p>Devolving decision-making and introduction of “matrix management” – from “top floor to shop floor”</p>
<p>6. Virtual integration (early 1990's) – knowledge and information revolution</p>	<p>Increased focus on client/market segments through decentralised structures and public-private partnerships</p>

Public sector reform in Australia - the journey to evaluation -

8 Major Reform Initiatives Internationally

Key movements in public sector reform	Service delivery implications
<p>7. Balanced scorecard reporting (mid-1990's) – based on internal and external, efficiency and effectiveness measures</p>	<p>Raising awareness of the role of the different performance indicators – financial, non-financial; lead and lag indicators,</p>
<p>8. The experience economy (late-1990's) – based on the realisation that the consumers of government services do not differentiate experience into Agency-based parcels</p>	<p>The emergence and strengthening of concepts of joined-up government and wrap-around service provision</p>

Public sector reform in Australia - the journey to evaluation -



Public sector reform in Australia - the journey to evaluation -

So from the mid-1980's to 2000, the federal public sector had set the scene for a greater focus on **performance, evaluation and measurement of outcomes**.

The next problem was how to set up a system of measurement



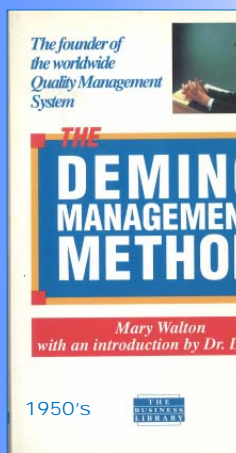


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A personal view

Setting the agenda for measurement



1. Create **constancy of purpose**;
2. Adopt a **quality philosophy**;
3. Cease dependence on mass inspection;
4. Don't operate on price tag alone;
5. **Continuously improve your processes**;
6. Institute **training and retraining**;
7. Institute **leadership**;
8. Remove fear;
9. **Break down internal silos**;
10. Eliminate slogans, exhortations and targets;
11. Eliminate numerical quotas;
12. **Remove barriers to pride in workmanship**;
13. Introduce a vigorous program of **education and training**;
14. Take action to **accomplish the transformation**.

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INTERNATIONAL CONFERENCE
31 AUGUST - 4 SEPTEMBER 2009

Clarity of direction by locating the three functions logically in your strategic plan

OBJECTIVES
Strategic Operational Administrative

STRATEGIES

A logical functional cascading of objectives

Strategic decisions/ functions
ROI to-morrow

Operational decisions/ functions
Return on Investment (ROI) today

Administrative decisions/ functions
Infrastructure

CORPORATE STRATEGY
AN ANALYTIC APPROACH TO BUSINESS POLICY FOR GROWTH AND EXPANSION
1965

H. IGOR ANSOFF

TABLE
Strategic
To select product mix which opt firm's ROI* pe

*ROI stands for "return on investment" (this concept will be explored fully in Chap. 3).

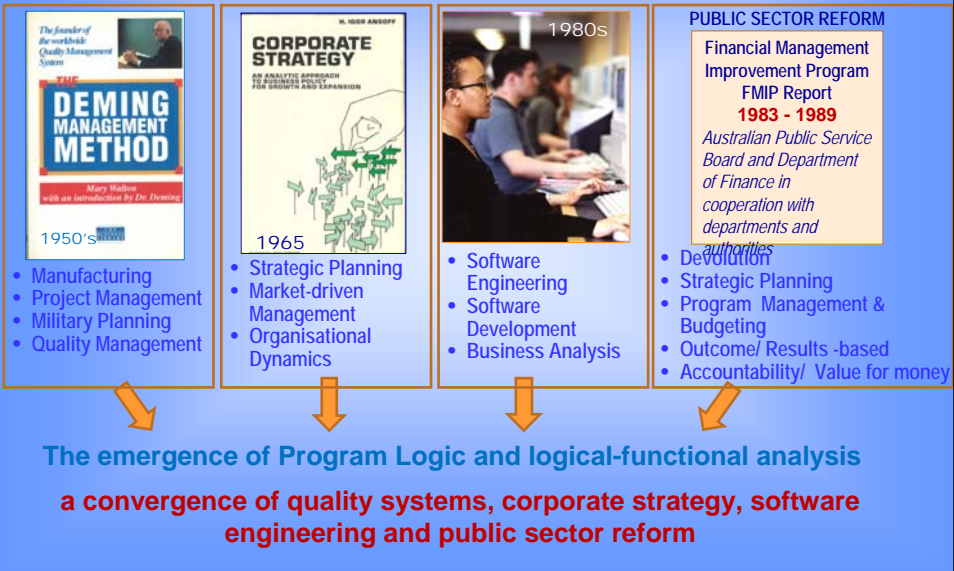
Setting the agenda for measurement

1980's the technology arrived: from Typing Pool to the Data Entry Pool

The Typing Pool The Mainframe The Data Entry Pool

From 1970s to 1980's Mainframe computers relying on cardpunch data. Mainframes with interactive computers. Simultaneous business analysis in real time. Users gained access through terminals or, later (mid to late 1980s), from personal computers.

Moving from data storage to data manipulation and business analysis in real time

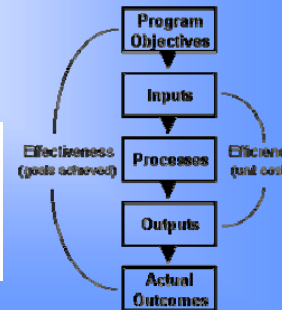
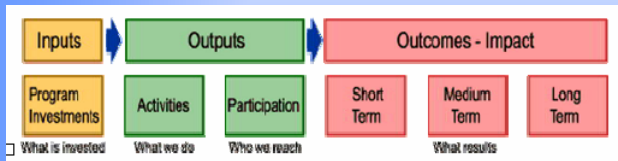
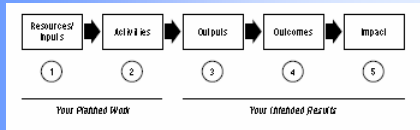
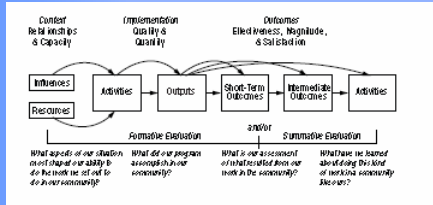


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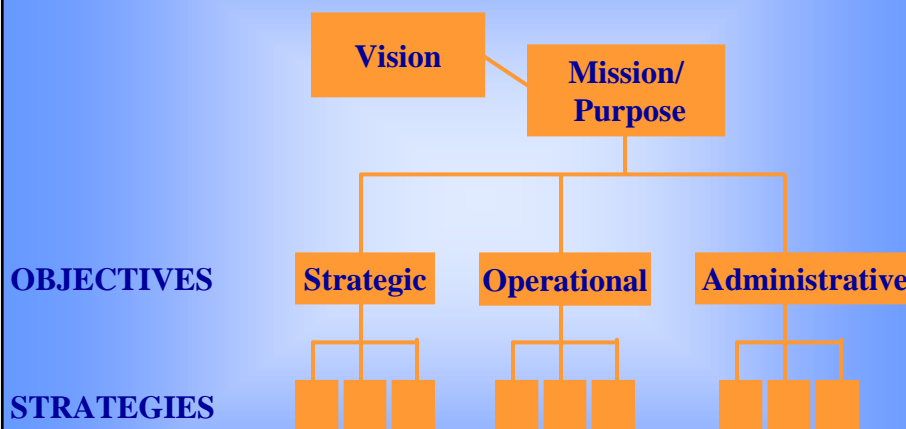


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The emergence of Program Logic and logical-functional analysis



The emergence of Program Logic and logical-functional analysis

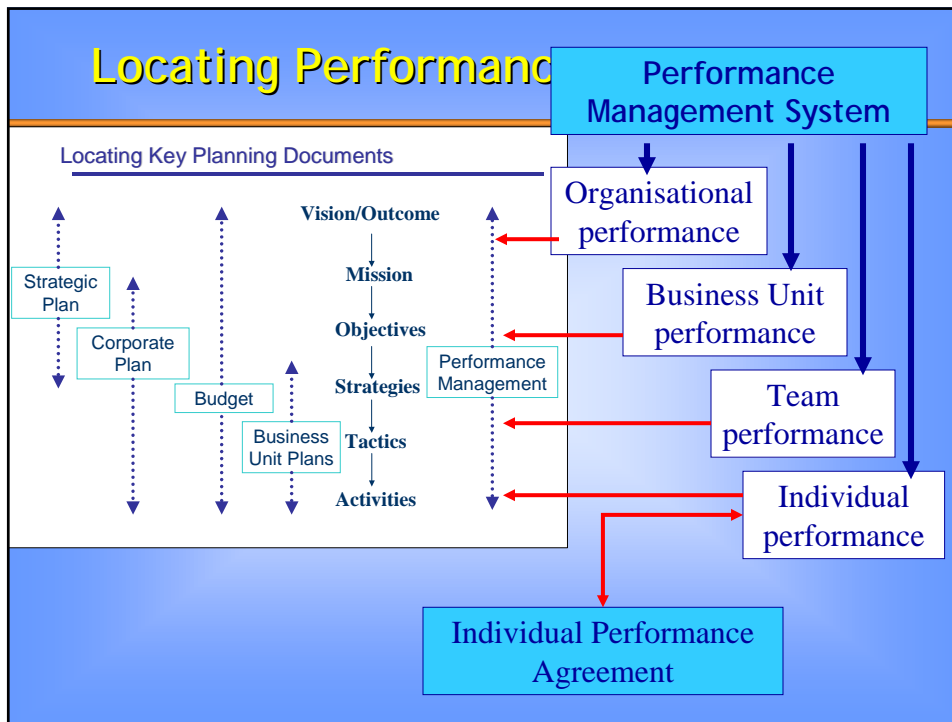


Cascading Business Logic provides the key "roadmap" in strategic navigation



Locating Key Planning Documents





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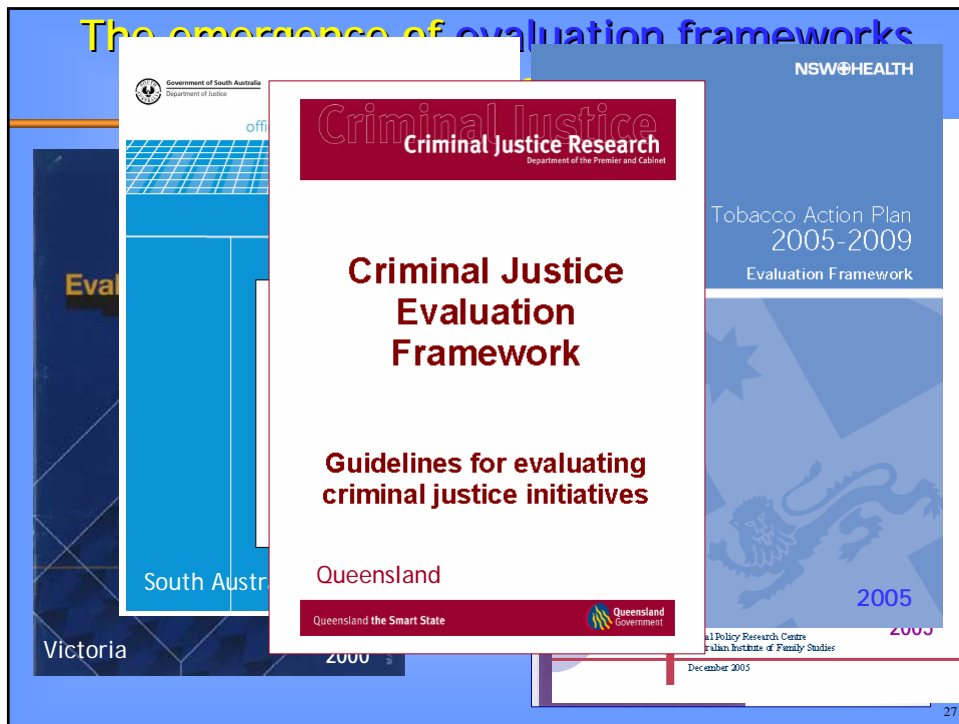
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A personal view

CORPORATE DIAGNOSTICS

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National Health Performance Framework

HEALTH SYSTEM PERFORMANCE

1. Accessible
2. Appropriate
3. Continuous
4. Safe
5. Responsive
6. Capable
7. Efficient
8. Effective
9. Sustainable

SOURCE: National Health Performance Committee of the Australian Health Ministers' Conference (August, 2001)²⁸

Types of Evaluation

Institute of Healthy Communities Australia

(Dept of Health and Ageing – Evaluation Methodologies
Workshop 9/7/04)

1. Process – *quality of activities*
2. Impact – *immediate effects*
3. Outcome – *long term effects*

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Program logic for National Suicide Prevention Strategy

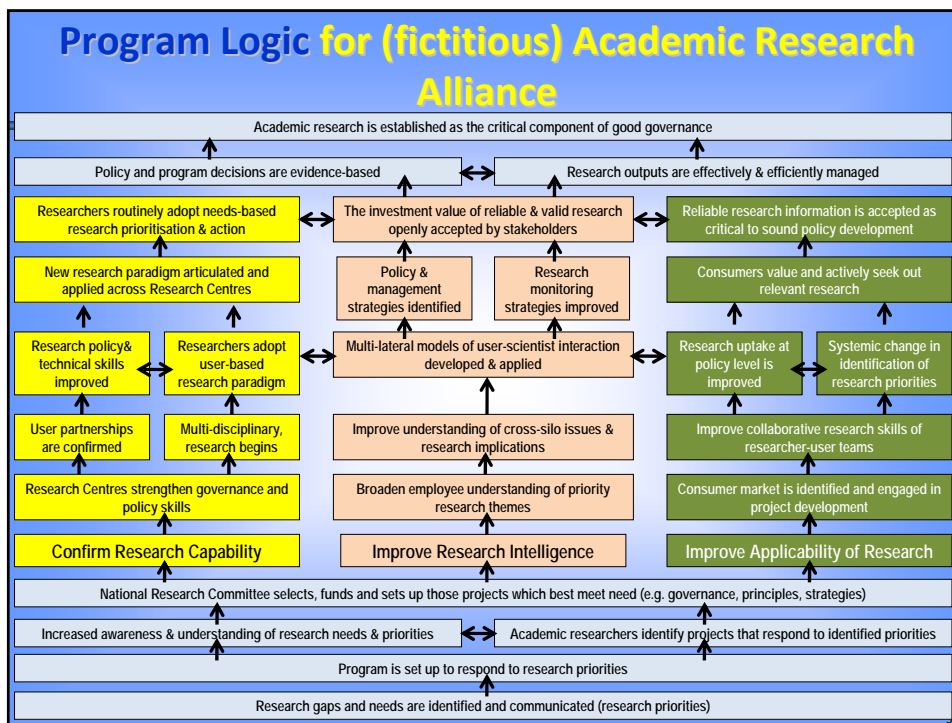


SOURCE: Mitchell, P.; Lewis, V., A Manual to guide the Development of Local Evaluation Plans (December, 2003)

Program logic for National Suicide Prevention Strategy

Processes & Structures	Impacts
<ol style="list-style-type: none"> 1. Generation of information & knowledge to inform professional & community practice 2. Dissemination & enhanced accessibility of information to assist the development of evidence-based programs and interventions 3. Sustained delivery of other strategies that build the capacity of service systems & communities to implement LIFE promotion & suicide prevention programs & activities 4. Increased service system capacity to develop & support the sustained implementation of LIFE promotion & suicide prevention programs & interventions 5. Increased community capacity to develop & support the sustained implementation of LIFE promotion & suicide prevention programs 6. Increased actual implementation or delivery of evidence-based LIFE promotion & suicide prevention programs & activities (targeting the public) 	<ol style="list-style-type: none"> 1. <i>Increased levels of LIFE & mental health promoting & risk reducing knowledge, attitudes & behaviours among community members & high risk groups</i> 2. <i>Improved social structural factors & social environments/settings</i> 3. <i>Enhanced social connectedness, cohesion & socio-emotional attitudes & experiences in the wider community</i> 4. <i>Individuals at risk experience improved services & support</i> 5. <i>Reductions in health & social problems that are proximal & distal risk factors for suicide</i> 6. <i>More appropriate portrayal of suicide, mental disorders & young people by the media & artistic productions</i> 7. <i>Reduced access to means of suicide</i>

SOURCE: Mitchell, P.; Lewis, V.; A Manual to guide the Development of Local Evaluation Plans (December, 2003)



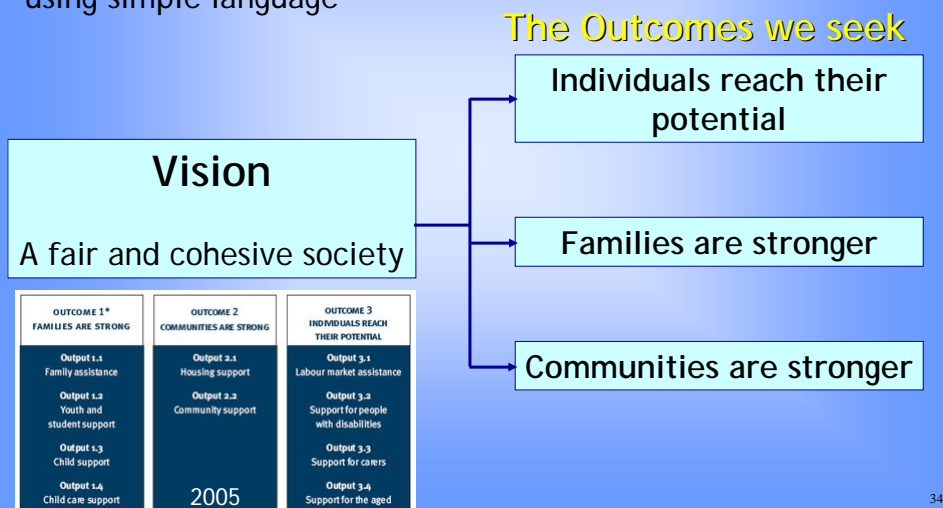
The emergence of evaluation frameworks / balanced scorecards

So what have we learnt about Program Logic?

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The notion of cascading objectives is a truism

FaCSIA (pre-2007) - Visionary and logical and using simple language



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The notion of cascading objectives is a truism

FaCSIA (pre-2007)

The Outcomes we seek

Individuals reach their potential

Corporate Objectives

Individual participate in economic & social life

People work to their capacity

People fully develop their capabilities

People access a "safety net"

Families are stronger

Children get the best possible start in life

Family relationships are healthy

Families are resilient

Families nurture individuals & are connected to the community

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The notion of cascading objectives is a truism

FaCSIA (pre-2007)

The Outcomes we seek

Communities are stronger

Corporate Objectives

Communities help themselves

Communities engage their members

Communities thrive

Partnerships between business, community & government thrive

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The notion of mapping a process is essential

EXAMPLE:
Private sector airport car rentals

The notion of mapping a process is essential

Process Map
Airport Car Rentals
Business commuter

1. ordering the vehicle
2. range of vehicles
3. phone courtesy
4. desk location
5. key pick-up
6. desk service
7. carpark location
8. vehicle cleanliness
9. vehicle performance
10. vehicle return location
11. service at return desk
12. invoicing

Speed of pick-up of the key



The emergence of evaluation frameworks / balanced scorecards

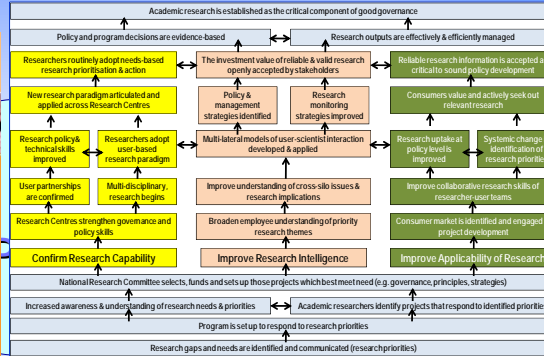


Engaging Queenslanders:
Evaluating community engagement



Award for Best Evaluation Policy and Systems 2004

Queensland the Smart State 2004



the logic and forgetting why
the program logic too often
in itself - **evaluation is just**
not that complicated!

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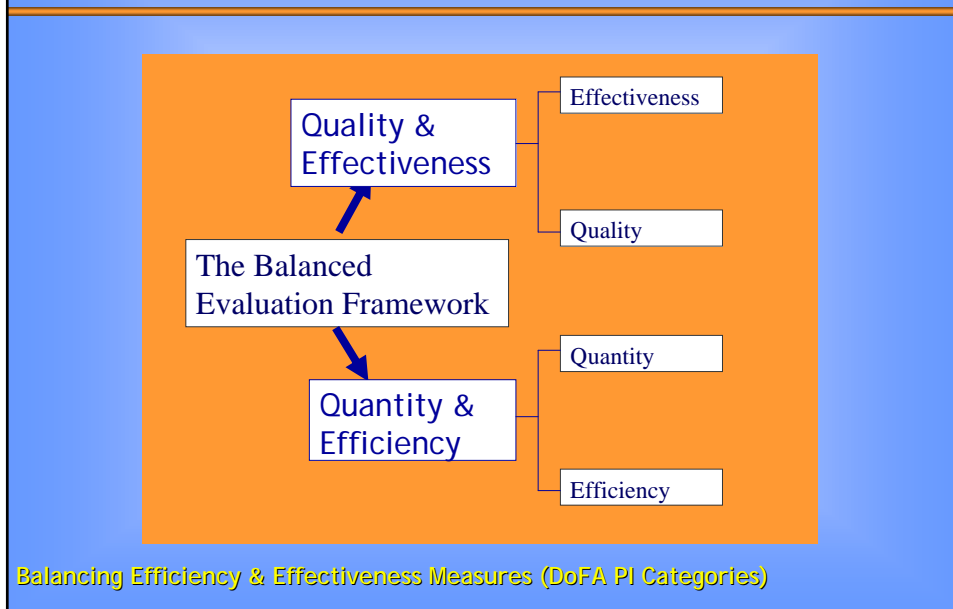
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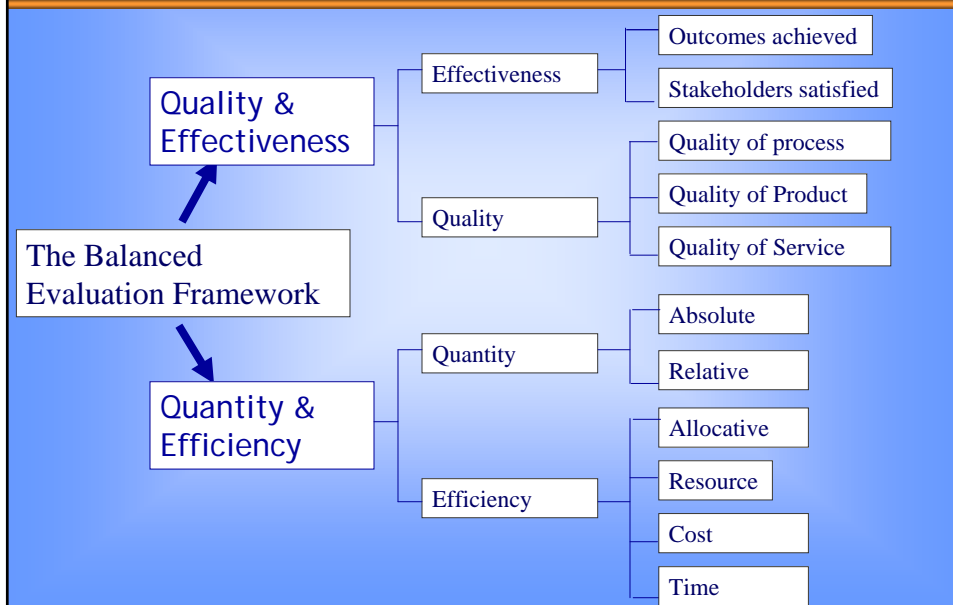
The emergence of evaluation frameworks / balanced scorecards



The emergence of evaluation frameworks / balanced scorecards



The emergence of evaluation frameworks / balanced scorecards



The recommended balanced scorecard

A. Effectiveness indicators	B. Quality indicators	C. Efficiency indicators	D. Quantity indicators
1. Policy & Business objectives/ outcomes met <ul style="list-style-type: none"> • Profit • Growth • Community benefit • Outcomes achieved • Objectives achieved 	1. Quality of Process <ul style="list-style-type: none"> • Conforms to requirements • Technical quality • Rights & obligations • Assurance • QA certification • Fraud control/ appeals 	1. Allocative efficiency <ul style="list-style-type: none"> • Community affordability 	1. Quantity delivered in terms of: <ul style="list-style-type: none"> • Reliability
2. Stakeholder Management: <ul style="list-style-type: none"> • Community • Government • Minister • Partners • Clients • Staff 	2. Quality of Products <ul style="list-style-type: none"> • Adequacy • Choice • Right type, mix, range • Technical quality • Coverage 	2. Resource efficiency <ul style="list-style-type: none"> • Information • Cost • Staff & training 	
3. Preferred Supplier <ul style="list-style-type: none"> • Image/ reputation • Influence • Communication • Positioning • Contestable • Continuously improving • Innovative 	3. Quality of Service <ul style="list-style-type: none"> • Accessibility • Equity • Justice • Staff/ supplier professionalism • Competence/ knowledge • Service management • Complaints handling 	3. Cost efficiency <ul style="list-style-type: none"> • Absolute • Cost • Cost • Value 	
		4. Time efficiency <ul style="list-style-type: none"> • Lead times • Wait times • Reliability • Delivery times 	





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A personal view



The emergence of the *science of organisations*



A systemic organisational
commitment to program
performance assessment –
quality, time, cost, efficiency,
effectiveness, outputs
achieving outcomes

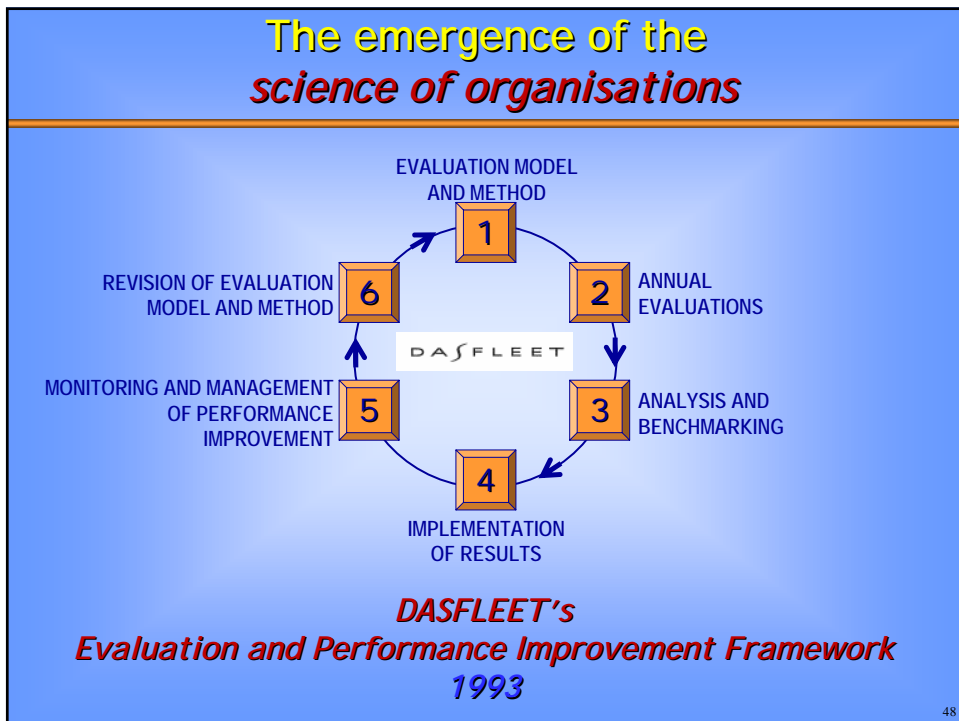
Australian Construction Services
1985/86

The emergence of the science of organisations



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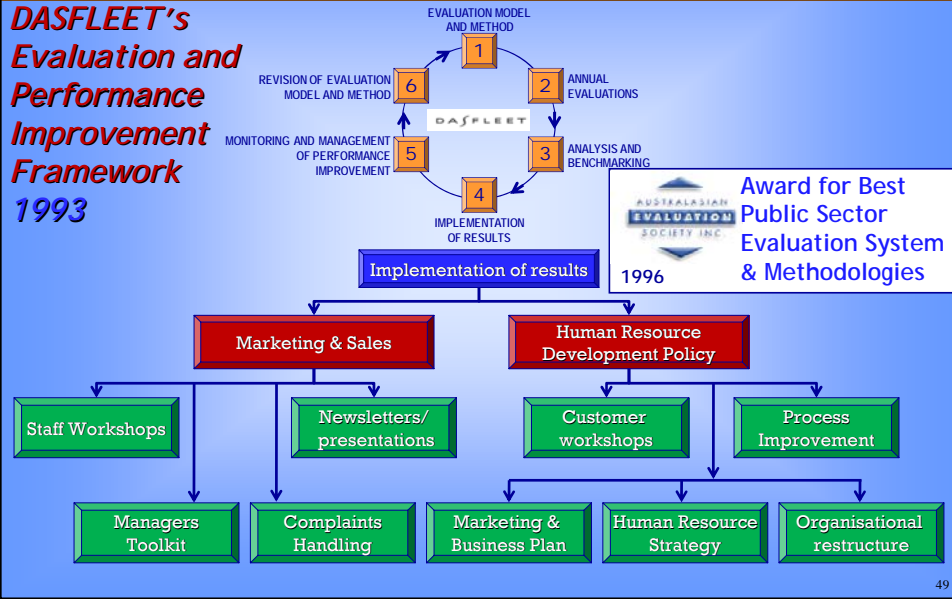
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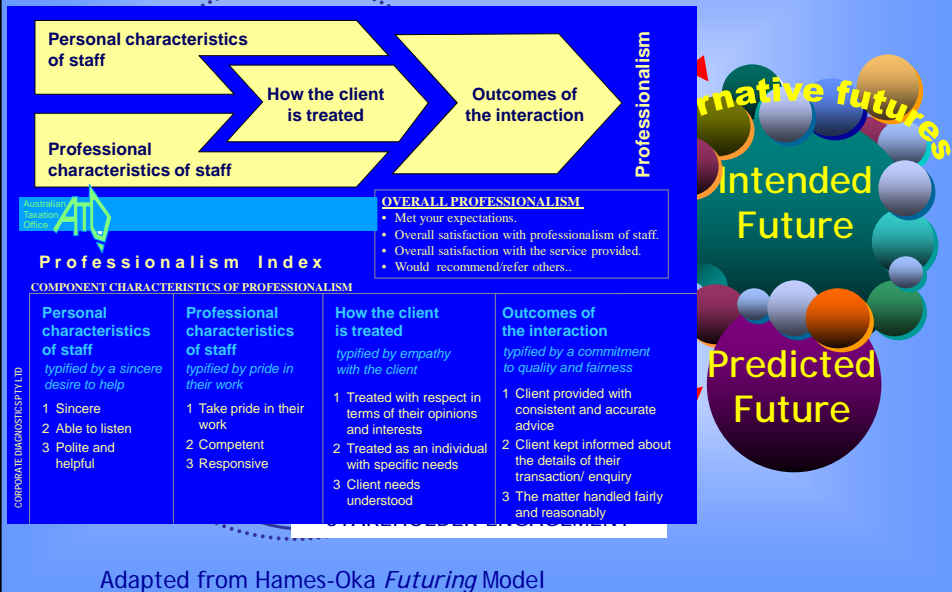
DASFLEET's Evaluation and Performance Improvement Framework 1993



Award for Best Public Sector Evaluation System & Methodologies 1996

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The emergence of the science of organisations



Adapted from Hames-Oka *Futuring Model*

Award for Best Evaluation Policy and Systems 1999
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The Australian Taxation Office
RECEIVABLES MANAGEMENT BENCHMARKING
Receivables Management and Debt Management Best Practices

TAXATION OFFICE
Shaping Our Future
The next few years hold the challenge to exist in a rapidly changing environment. From 2000 to 2003, we must concentrate on implementing and sustaining the major reform program since Federation. While achieving our return to a stable focus, we will also take the opportunities offered to progressively shape more effective revenue systems for the future.

OUR DRIVING FORCE
SMART REPLY

OUR PURPOSE
To manage systems which will deliver the best service for the people of the world and only.

OUR VISION
We have a vision of a world where the tax system is fair and equitable in its operation.

OUR GOVING PRINCIPLES

a system evolving

STRATEGIC STATEMENT 2000 - 2003

The emergence of the "Strategic Intelligence Network (SIN)"

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Child Support Agency Business Direction 2002-03
Helping parents manage their responsibilities

1999: Special Minister of State's Platinum Award for integrating business direction, client charter, market research & performance framework:
2002 and 2003: Silver Prime Minister's Award for Excellence in Public Sector Management

IPAA
Institute of Public Administration Australia

2002/03 Challenges

- Streamline agency service delivery
- Increase our organisational capability and productivity
- Guarantee transparent and accountable service
- Successful integration of state-of-the-art telephony with the open IT system

Last year's achievements

- An active role in the broader family law system to better support separated parents
- Improved organisational capability through the new broadband structure with a 53% growth in the APS4 level
- Improvements in parents accepting their child support responsibilities, with a collection rate of 82.7% and a private collect rate of 49.4%
- Improved client satisfaction
- Better focus on our quality client service
- Better client engagement to better match services and client needs
- Build confidence and pride in staff, coaches and team leaders to deliver better client service
- Get the right balance between workload targets and quality client service
- Make the most of our investment in technology to better manage workload

SIGNIFICANTLY DRIVEN BY ROUTINE ANNUAL CUSTOMER AND EMPLOYEE ENGAGEMENT

CSA VALUES • Service to the community • Empathy and care • Innovation • Fairness and equity • Commitment to purpose

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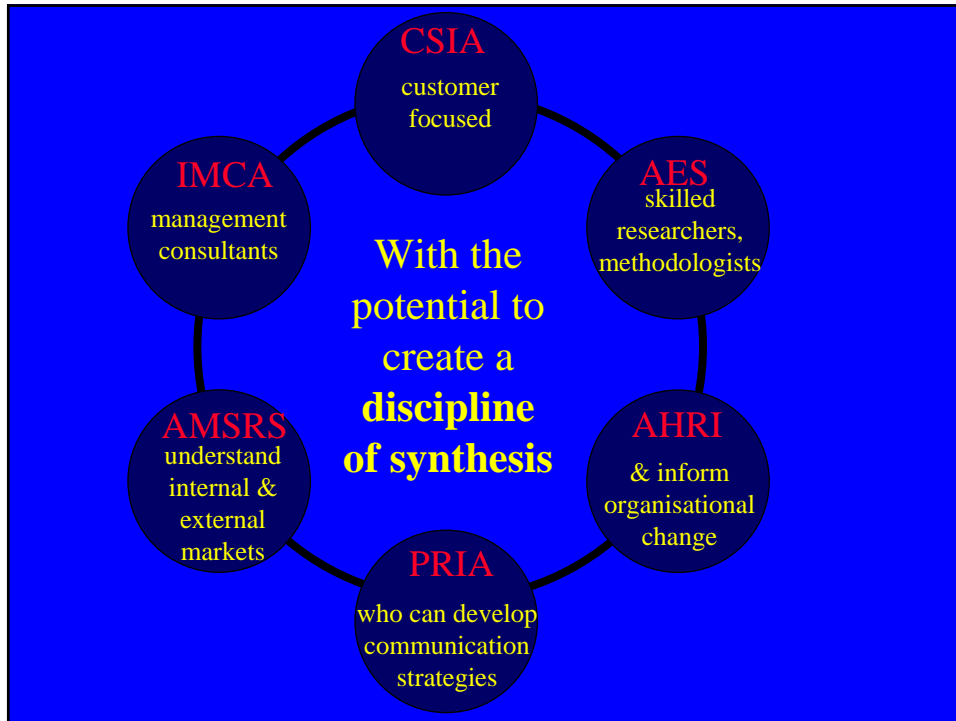


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What are client agencies telling us?

For many Government Departments, independent evaluation is now mandated (examples only):

1. ATO Research Service Panel : full membership of Australian Market and Social Research Organisation (AMSRO) is a pre-condition;
2. Dept of Health and Ageing (DoHA): major projects must be evaluated by an independent evaluator - many are members of the Australasian Evaluation Society (AES);
3. Families, Housing, Community Services and Indigenous Affairs (FaHCSIA) : major projects must be evaluated by an independent evaluator - many are members of the Australasian Evaluation Society (AES);
4. Queensland Rail (QR) Market Research Panel: panel members must operate under either/or : - Market and Social Research Quality Systems (AS ISO 20252); AMSRS/AMSRO Codes of Ethics; IQCA Quality Standards; staff to be QMIP accredited.

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So what have we learnt

- The CEO/General Manager/Senior Executive plays a critical role
- Evaluation is now accepted as a routine part of contemporary public sector accountability
- Internal and external measurement and benchmarking of performance is now comparatively routine
- We have moved substantially away from ad hoc or occasional project and program evaluation to strategic evaluation
- We are less interested in data and more interested in translating **data** - into **information** - into **intelligence** - into **wisdom** - into **intuition/judgement/insight**
- We are generally adopting a “need to know reporting system” (traffic lights/dashboard)

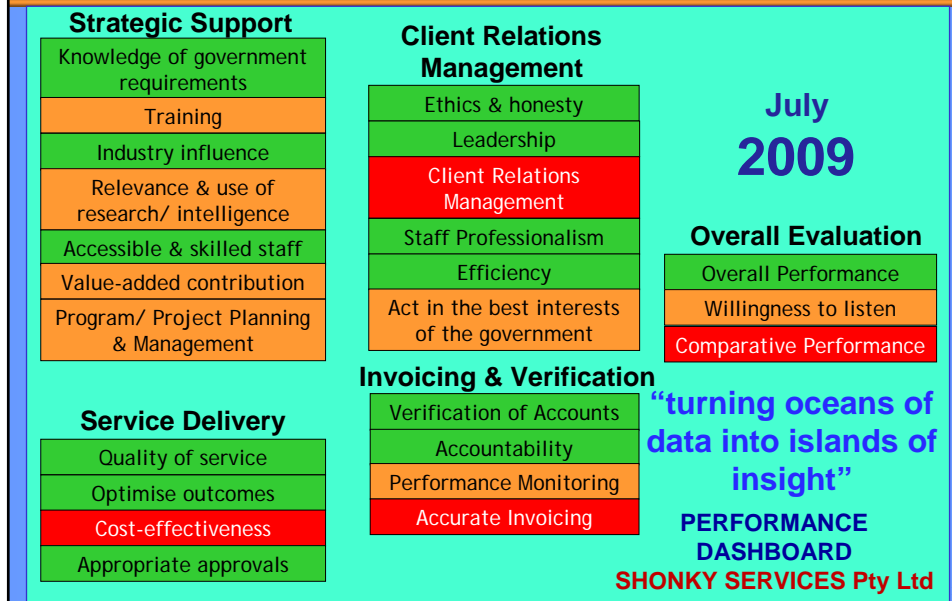
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“Need to know” - traffic light/dashboard reporting

July 2009																		
<p>Strategic Support</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Knowledge of government requirements</td></tr> <tr><td>Training</td></tr> <tr><td>Industry influence</td></tr> <tr><td>Relevance & use of research/ intelligence</td></tr> <tr><td>Accessible & skilled staff</td></tr> <tr><td>Value-added contribution</td></tr> <tr><td>Program/ Project Planning & Management</td></tr> </table>	Knowledge of government requirements	Training	Industry influence	Relevance & use of research/ intelligence	Accessible & skilled staff	Value-added contribution	Program/ Project Planning & Management	<p>Client Relations Management</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Ethics & honesty</td></tr> <tr><td>Leadership</td></tr> <tr><td>Client Relations Management</td></tr> <tr><td>Staff Professionalism</td></tr> <tr><td>Efficiency</td></tr> <tr><td>Act in the best interests of the government</td></tr> </table>	Ethics & honesty	Leadership	Client Relations Management	Staff Professionalism	Efficiency	Act in the best interests of the government	<p>Overall Evaluation</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Overall Performance</td></tr> <tr><td>Willingness to listen</td></tr> <tr><td>Comparative Performance</td></tr> </table>	Overall Performance	Willingness to listen	Comparative Performance
Knowledge of government requirements																		
Training																		
Industry influence																		
Relevance & use of research/ intelligence																		
Accessible & skilled staff																		
Value-added contribution																		
Program/ Project Planning & Management																		
Ethics & honesty																		
Leadership																		
Client Relations Management																		
Staff Professionalism																		
Efficiency																		
Act in the best interests of the government																		
Overall Performance																		
Willingness to listen																		
Comparative Performance																		
<p>Service Delivery</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Quality of service</td></tr> <tr><td>Optimise outcomes</td></tr> <tr><td>Cost-effectiveness</td></tr> <tr><td>Appropriate approvals</td></tr> </table>	Quality of service	Optimise outcomes	Cost-effectiveness	Appropriate approvals	<p>Invoicing & Verification</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Verification of Accounts</td></tr> <tr><td>Accountability</td></tr> <tr><td>Performance Monitoring</td></tr> <tr><td>Accurate Invoicing</td></tr> </table>	Verification of Accounts	Accountability	Performance Monitoring	Accurate Invoicing	<p style="text-align: center;">PERFORMANCE DASHBOARD SHONKY SERVICES Pty Ltd</p>								
Quality of service																		
Optimise outcomes																		
Cost-effectiveness																		
Appropriate approvals																		
Verification of Accounts																		
Accountability																		
Performance Monitoring																		
Accurate Invoicing																		

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"Need to know" - traffic light/dashboard reporting



So what have we learnt

- o The CEO/General Manager/Senior Executive plays a critical role
- o Evaluation is now accepted as a routine part of contemporary public sector accountability
- o Internal and external measurement and benchmarking of performance is now comparatively routine
- o We have moved substantially away from ad hoc or occasional project and program evaluation to strategic evaluation
- o We are less interested in data and more interested in translating data - into information - into- intelligence - into wisdom - into intuition/judgement
- o We are generally adopting a "need to know reporting system" (traffic lights/dashboard)
- o We focus on the self-correcting organisational systems
- o Evaluation is an essential part of good governance



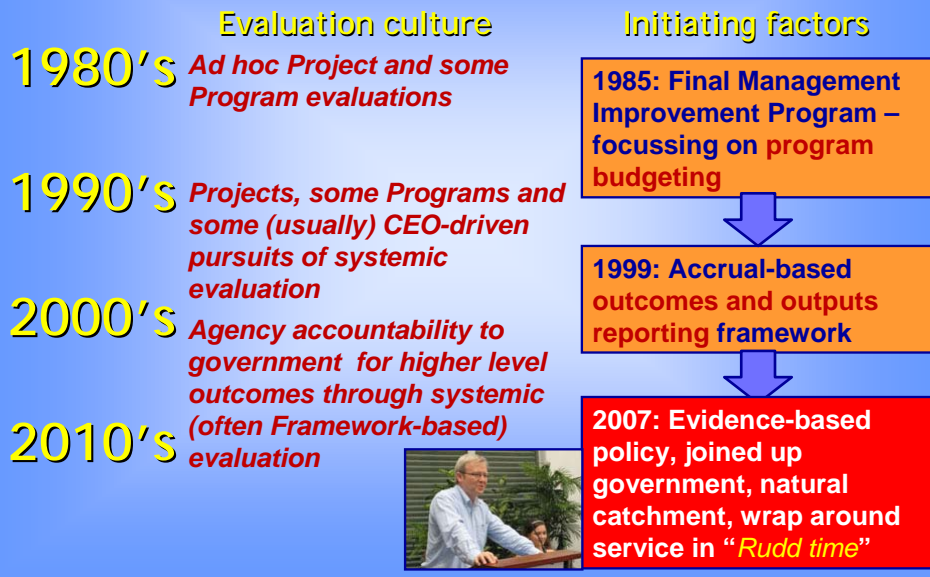
1. Brief personal introduction
2. Public sector reform in Australia - the journey to evaluation
3. Setting the agenda for measurement
4. The emergence of Program Logic and logical-functional analysis
5. The emergence of evaluation frameworks
6. The emergence of balanced scorecards
7. The emergence of the science of organisations
8. What is the marketplace telling us?
9. What are client Agencies telling us?
10. What have we learnt?
11. Where to from here?



A personal view



So where to from here?



So where to from here?

Evidence-based policy Benchmarking International

Figure 38 Per capita total expenditure on health (2001 and 2005)

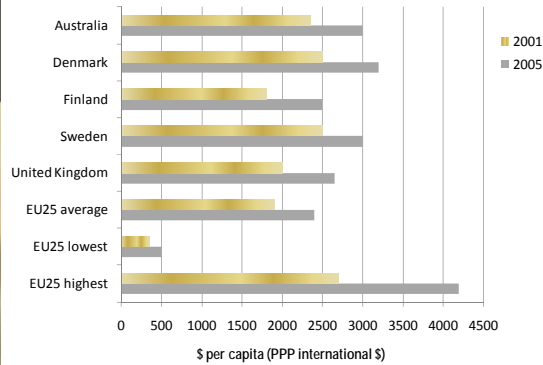


Table 7 EU15 proportion of persons experiencing 'persistent poverty' (a) (2000-01)

Countries	proportion of 'persistent poverty'	
	2000 %	2001 %
Austria	7	7
Belgium	8	7
Denmark	-	6
Finland	6	6
France	9	-
Germany	6	6
Greece	13	14
Ireland	13	13
Italy	11	13
Luxembourg	8	9
Netherlands	5	6
Portugal	14	15
Spain	11	10
United Kingdom	11	-
EU15	9	9

May 2009



2007: Evidence-based policy, joined up government, natural catchment, wrap around service in "Rudd time"



So where to from here?

National initiatives

COAG Reform Agenda – 7 new national SPP Agreements

Federal Govt Portfolio Chair	Specific Purpose Payment (SPP) Working Groups
Climate change & Water	Climate change & water
Infrastructure	Infrastructure
Finance & deregulation; small business, independent contractors & the service economy	Business regulation & competition
Education, employment & workplace relations	Productivity, education, skills & early childhood
Health & Ageing	Health and ageing
Housing	Housing
Families, communities & Indigenous affairs	Indigenous reform

national SPP Agreements

In March 2008, it was agreed to develop a State financial framework of 12 Specific Purpose Payments and national agreements for delivery of

...:
...ties;
...e;
...e community;
...nes rather than inputs;
...erships arrangements;
...;
...as of joint responsibility;
...jurisdictions to allocate resources
...e best outcomes for the

- community;
- develop new performance and assessment arrangements linked to agreed performance measures and milestones.

So where to from here?

NATIONAL PARTNERSHIP

Table 1: Outcomes and Performance Indicators

Outcomes	Performance Indicators
Increased participation of young people in education and training	Enrolment of full-time students in years 11 and 12
Young people make a successful transition from school to further education, training or full-time employment	15-19 year olds without Year 12 certificate and not enrolled in school who are enrolled in a vocational education and training (VET) course at certificate II level or higher The proportion of young people aged 15-24 participating in post-school education, training or employment six months after leaving school The proportion of young people aged 20-24 who have attained Year 12 or equivalent
Increased attainment of young people aged 15-24, including Indigenous youth	The proportion of young Indigenous people aged 20-24 who have attained Year 12 or equivalent

July 2009

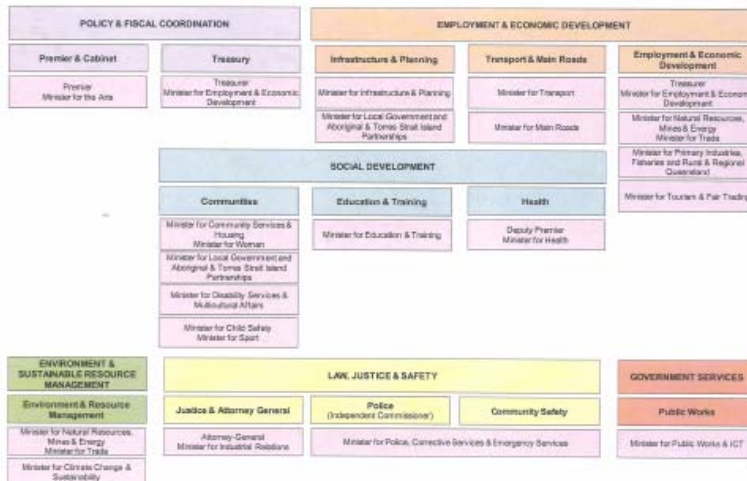


government, natural catchment, wrap around service in "Rudd time"

So where to from here?

Queensland Government, April 2009

6 Clusters & 13 Departments, led by 18 Ministers. The diagram below does not reflect Ministerial Seniority.



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AUSTRALASIAN EVALUATION SOCIETY
INTERNATIONAL CONFERENCE

31 AUGUST – 4 SEPTEMBER 2009



EVIDENCE *and* EVALUATION

Evaluation in the Australian Public Sector:

*After 25 years of federal Government
Departments' involvement in
evaluation - what have we learnt?*

2 September 2009

Thank you for your attention and interest

Prof. Peter Bycroft



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