Public Admin g Programs
EVAL

EVALUATION FRAMEWORK

CANADA-NOVA SCOTIA SUBSIDIARY AGREEMENT

FOR ECONOMIC DEVELOPMENT PLANNING

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951107

September 1986

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1.0 INTRODUCTION

This report describes a recommended evaluation framework for the Canada-Nova Scotia Subsidiary Agreement for Economic Development Planning (referred to hereafter as the 'Planning Sub' or the 'Sub'). Specifically, it addresses the following matters as set out under 'Scope' in the Terms of Reference:

> The purpose of this project is to identify the key issues and questions to be addressed in an evaluation study, including the approaches and analytical techniques to be utilized. It is expected that a clear assessment of the level of effort to be made in applying these approaches and techniques will also be included.

> The evaluation framework is expected to provide:

> (1) Performance criteria by which the individual projects may be judged for their success in satisfying the objectives as set out in the Planning Subsidiary Agreement and the overall objectives of the ERDA.
> (2) Relevant performance indicators and the means of their assessment.
> (3) The accounting format and schedule for the assessment of performance indicators.

One of the main characteristics of a program evaluation is that it is carried out at arms length from the designers and implementers of the program being evaluated. This is in direct contrast to an evaluation framework which should reflect the views of the designers and implementers as to what 'tests' should be applied in the evaluation. Equally, the evaluation framework itself should function as a management tool and to do so, it must be enthusiastically accepted by the program managers.

For the above reasons, the framework has been developed in close consultation with the designers and managers of the Planning Sub and, importantly, a number of users — those who have to date participated on project teams (see Appendix "A"). In addition to individual meetings, a group session was held at which the recommended framework was presented and feedback was solicited. The result, we feel, fairly reflects the views of a cross-section of users and of the managers of the Sub (the Management and Coordinating Committees).

It should be emphasized that the recommended framework is not fixed. Among other things, our recommendations allow for changing circumstances to be recorded and reflected in the evolving objectives and expected impacts of the Sub. Second, although we have outlined an extensive and detailed data capture system, it is intended to maximize flexibility. It is always possible to stop capturing or to aggregate data, but data missed in the first instance may be irrecoverable. Finally, the 'theme' which the eventual evaluation might take has been left open since it will depend on circumstances and opinions some years hence.

The report is organized into the following sections:

- Section 2 articulates more clearly the objectives and the
  intended effects of the Sub. It also gives consideration
  to the nature of projects and to the overall philosophies
  which might guide the Sub.

- Section 3 proposes an evaluation model. It develops the
  principles which should underlie the evaluation and then
  sets out a series of evaluation issues, questions, and
  indicators.

- Section 4 deals with possible approaches to evaluation and
  the sources of information required to address each
  indicator. It sets out an accounting format and indicates
  what and how information should be collected on an ongoing
  basis. - Finally, it outlines general conclusions and
  restates all recommendations for management arising from
  the analysis.

2.0 THE PURPOSE OF THE PLANNING SUBSIDIARY AGREEMENT

This section follows in part the outline of the 'component profile' set out in the "Guide on the Program Evaluation Function" produced by the Office of the Comptroller General (OCG Guide, p. 44). The focus is on the purpose and nature of the expected outputs of the Planning Sub. It does not deal with all the details of the Sub, such as its budget, management structures and procedures, which are summarized in Appendix "B".

2.1 Operational Objectives: Scope and Priorities

The crux of any evaluation is: "Did the program achieve its objectives?" Characteristically, however, statements of objectives are so broad and general that they frustrate meaningful evaluation. The Planning Sub is no exception. For this reason, the first step in establishing an evaluation framework is to articulate a set of measurable objectives.

Existing documentation provides the basis for articulating such objectives. Specifically, the following elements must be considered:

    The ERDA - its 'Purpose' and 'Objectives' (Sections 2.1 and 3.1)
             - its 'Strategic Priorities' (Appendix A, Sections 9 to 29)
             - 'Annual Courses of Action'

    The Planning Sub - its 'Purposes' (Section 2.1)
                     - its 'Purpose' (Schedule A, Section 4)
                     - 'Criteria for Determination of Eligible Projects'

Read together, the above elements provide the necessary framework for identifying operational objectives. Figure 1 illustrates the interaction of these elements. It should be noted at this point that we consider 'purposes', 'objectives' and 'priorities' to be essentially the same or, at most, implying different degrees of generalization. They all refer to the desired end-point of the ERDA and of the Planning Sub or - from here on - 'objectives'.

Any project, if it is to contribute to the objectives of the Sub, must fall in one or more of the cells in Figure 1. With four exceptions, no priorities among the cells have been formally articulated in the official documentation referred to above. The exceptions are the sectoral items marked with an asterisk in Figure 1, which are specifically referred to in Appendix 'A', Section 4 of the Planning Sub. The exact link between these priorities and the larger sense of priorities contained in the ERDA and the Courses of Action is not clear.

FIGURE 1

PLANNING SUB OBJECTIVES AND PRIORITIES

OBJECTIVES AND PRIORITIES OF THE PLANNING SUB	To support the priorities of the ERDA by allowing Joint studies related to economic development, specifically:			
	Analysis of economic opportunities and issues		Determination of appropriate instruments and mechanisms	
FURTHER OPERATIONAL PRIORITIES IDENTIFIED BY 'CRITERIA FOR DETERMINATION OF ELIGIBLE PROJECTS'	Various exclusion criteria — e.g. more appropriate funding vehicles are available.			
	General Economic Circumstances	Analytical Tools	Specific Opportunities	Policy Instruments
STRATEGIC PRIORITIES OF THE ERDA				
PRODUCTIVITY AND COMPETITIVENESS				
— Tech. Transfer & Innovation				
— Trade Expansion				
— Human Resources				
— Capital Investment including:				
— Transport systems*				
— Communication systems*				
— Water systems				
— Energy systems*				
SECTORS				
— Offshore Oil & Gas*				
— Fisheries				
— Mining				
— Forestry				
— Agriculture				
— Manufacturing				
— Services including:				
— Tourism				
BALANCED GROWTH				
OTHER ITEMS SPECIFIED IN THE ANNUAL COURSES OF ACTION				

* Priorities specified in the Planning Sub

Other documentation and discussions with officials indicate some further sense of priorities. A draft "Plan of Action" for the Planning Sub dated January 1986 indicates that weight should be given to projects dealing with analytical tools and with 'horizontal issues' (those listed under 'Productivity and Competitiveness' in Figure 1). It should be added that the general tenor of discussions with some twenty officials who have or have had direct responsibilities under the Sub would seem to support these priorities.

There is an important issue here. The ultimate list of projects undertaken should presumably reflect an appropriate degree of emphasis on priority areas or, if there are no priorities, an even balance among the various topics. As it stands, one set of priorities has formal recognition in Section 4, Appendix 'A' of the Planning Sub, but seems somewhat at variance with the more general objectives of the ERDA. An informal sense of priorities given in the draft Plan of Action exists which is different again. We recommend that the Management Committee consider formalizing an annual Plan of Action, parallel to the ERDA Course of Action, which would indicate priorities and would be understood to supersede previous documents.

2.2 Elements of the Program: Activities, Outputs, Impacts and Effects

The discussion so far has focussed on topics which would be consistent with the Sub's objectives without considering what specific types of outputs might lead to them. This is most usefully discussed in the context of the program 'component elements' outlined in the OCG Guide. These are shown with specific reference to the Planning Sub in Figure 2.

The activities listed in Figure 2 are fairly straightforward, although they may vary depending upon the type and nature of projects being undertaken. 'Outputs' and 'impacts and effects', however, warrant some discussion.

Crucial to understanding the nature of outputs is the meaning of 'projects'. In the definitions under the Agreement (Section 1.1a), a project is a "specific, clearly defined unit of work involving research and policy studies..." This definition is apparently restricted by Section 2.1(b) wherein the purposes of the Sub are defined as "(providing) for contributions of federal and provincial funds required for contracting studies..." (emphasis added). The broader definition of Section 1.1(a) would seem to encompass possible joint contributions to the cost of in-house studies, but Section 2.1(b) seems to limit the scope to consulting studies. More importantly, the language of the Agreement does not seem to permit funding for conferences, although two such contributions have been made and a policy statement concerning the funding of conferences has been issued by the Management Committee.

The scope of activities which could contribute to the objectives of the Planning Sub is very broad, including consulting studies, in-house studies, contributions to conferences, purchasing or developing computer software, or enhancing staff knowledge and capabilities. The

Agreement and traditional practice seem to restrict the list of possibilities to only the first, but current practice now permits contributions to conferences. The result is some ambiguity which could lead to comment by the evaluators from one of two directions. On the one hand, they could note that the mandate has been technically exceeded by the funding of conferences. On the other hand, they might conclude that legitimate and cost-effective approaches to the Agreement's objectives have been foreclosed by an unduly restrictive interpretation, or by excessive reliance on traditional practice. Since the ambiguity is inherent in the Sub and is therefore not easily modified, we recommend that the Management Committee issue a policy statement clarifying their interpretation of the scope of appropriate activities. In the meantime, because consulting studies are now and will likely continue as the dominant project type, the proposed evaluation model is structured around such projects.

FIGURE 2

PROGRAM COMPONENT ELEMENTS

ACTIVITIES	- Developing priorities - Developing management procedures - Originating, designing and approving projects - Managing projects - Determining disposition of and follow-up to results
OUTPUTS	- Completed projects (studies, conference proceedings, work programs for follow-up)
IMPACTS AND EFFECTS	- Greater knowledge of economic development issues in the community - Enhanced capability for economic policy analysis and formulation - Specific development projects furthered or avoided - Development of new subsidiary agreements - Modification or development of other policies or programs affecting the Nova Scotia economy

The five impacts and effects listed in Figure 2 are specifically related to the Planning Sub priorities heading the columns in Figure 1 (General Economic Circumstances, Analytical Tools, Specific Opportunities and Policy Instruments), and are intended to be exhaustive. As a rule, any given project should contribute to at least one of the five and the Sub in toto should contribute to all of them, with the balance determined in part by the evolving priorities. There is, as well, always the possibility of some other impact emerging which we have not considered but which is equally consistent with the purpose of the Sub and our list should never be treated as cast in stone.

Finally, there is a set of more general impacts and effects which go beyond the five listed. This is the general contribution of the Sub to the evolution of the ERDA, to the development process in Nova Scotia, and to the state of development in the province (the 'development planning environment' in Figure 4). For the Planning Sub, however, this represents a rather distant horizon. While such a horizon should be kept in sight, we believe that the evaluation should turn on the more proximate set of impacts and effects which we have listed.

2.3 The Philosophy of the Planning Sub

In the course of our discussions with Planning Sub managers and Project Team members, we continually encountered a variety of views on the way a research program such as the Planning Sub should be conducted and employed. The reconciliation of these views is clearly beyond our mandate and is probably unattainable in any event. The view the evaluators take, however, will tend to colour their assessment of the merit of any given approach and, by extension, the tenor of their conclusions. For this reason, we believe it is useful to outline the various positions as a kind of backdrop to the Sub's objectives.

The figure below outlines some of the main elements of two schools of thought which seem to capture the various views. The left-hand column represents the process/research orientation (the 'knowledge' school). The column on the right represents the product/decision orientation (the 'action' school). Neither in its extreme form would be a fair representation of anyone involved with the Planning Sub, but it is likely that the Sub will be nudged periodically back and forth across the centre line depending upon the times and the personalities in play.

FIGURE 3

RESEARCH PROGRAM MANAGEMENT APPROACHES

CHARACTERISTICS	KNOWLEDGE SCHOOL	ACTION SCHOOL
Key Evaluation Criterion	Whole creates synergy	Whole is simply sum of the parts
Key Decision Criterion	Consistency	Responsiveness
Project Origins	Supply Orientation	Demand Orientation
Key Output	Process	Product
Distribution of Results	Information Diffusion	'Need to know'

The first divergence between the two positions concerns whether the Planning Sub can be evaluated simply as the sum of a series of projects (whether successful or unsuccessful), or whether there is some synergy that should arise out of such a concentrated pool of resources. A number of our discussions touched on this matter, although even the strongest advocates of the synergy view were unable to clearly delineate the 'something' that should result. We do not think that this invalidates the position, although it makes it difficult to use for evaluation purposes.

The issue is not entirely moot, however, since it tends to produce different operational predispositions: between those who would pursue a comprehensive set of interlinked studies and those who prefer that the Planning Sub be responsive to needs as they arise. The obvious relevance of this debate for evaluation purposes concerns the weight which is given to priority setting and systematic selection, and the extent to which either consistency or flexibility is perceived as a virtue.

A related aspect of the same debate is whether the orientation is toward supply (technology push) or demand (market pull). The one view holds that by enhancing knowledge, one can change the nature of demand; the other, that information produced in the absence of manifest demand will be a waste of resources. Another way of characterizing the issue is whether the orientation is toward process or product. The process view holds that informed, sustained interaction among the various actors will tend to produce a predisposition toward better policy and, eventually, better policy itself. The product view wants to put programs in place and fund projects, and is concerned with what and how more than why.

The above issue has considerable significance for the Planning Sub and its evaluation since opinions of how resources will be best expended are heavily influenced by views on the process/product debate. The previous Planning Sub had a very strong orientation toward identifying opportunities (the product view), while this Sub seems more strongly influenced by the process view.

Finally, those who are process and research oriented will naturally tend toward the extensive diffusion of information, whereas the product/decision school will incline toward putting out information on a 'need to know' basis. Again, in this Planning Sub as compared to its predecessor, there is an apparent leaning toward information diffusion. Depending on the strength of one's belief in information diffusion as a virtue in itself, a manager or an evaluator could place considerably more or less weight on communication as an evaluation issue.

As suggested at the outset, we doubt that anyone should try to resolve this set of issues. We believe, however, that it is useful to keep the debate in the open, and also that the evaluators should attempt to determine where, relative to the centre line, the Sub ended up, as well as articulating their own biases as to how that might have contributed to success or failure.

3.0 AN EVALUATION MODEL

Determining the appropriate questions, rather than determining how they can be answered, is the most difficult aspect of developing an evaluation framework for the Planning Sub. This section provides the rationale for the evaluation model, which in turn guides the selection of evaluation issues and questions.

In arriving at our evaluation model, we referred to the OCG Guide and a recent OCG discussion paper entitled "Evaluation of Research and Development Programs" ('OCG discussion paper'). We then added what we see as the unique characteristics of the Planning Sub. The result is a somewhat unconventional structure, but one which we believe best suits the nature of the Planning Sub.

We began with a program model setting out in approximate chronological sequence the key events in the life of the Planning Sub and its projects (see Figure 4). This also served as a working evaluation model since each event implies issues or questions which have relevance for evaluation. This model departs in terminology from the list of generic evaluation issues proposed by the OCG Guide (see Figure 5), and it departs substantively from the OCG Guide in its inclusion of a set of issues which are more commonly thought to fall under a program audit rather than an evaluation. The reasons for this substantive departure have much to do with the particular characteristics of research and development programs, as set out in the OCG discussion paper, and warrant expansion.

The OCG discussion paper proposes a number of departures from the standard OCG list of generic evaluation issues. For mission-oriented R&D programs (of which the Planning Sub is a special case), the discussion paper sets out the general issues listed in the right column of Figure 5. The addition to the standard list which is notable for our purposes is program management. The paper states:

> "For many programs, management-related issues are not usually directly addressed in a program evaluation. However, management issues can be important in evaluating R&D programs because program outputs and outcomes are directly related to the quality of the work done by the researchers and research managers." (p.21)

It goes on to pose as a possible general issue:

> "Is the R&D program managed in such a way that it is reasonable and probable to expect that substantial benefits will accrue from the program and that these will lead to the intended program results?" (emphasis added)

FIGURE 4: A PROGRAM MODEL OF THE
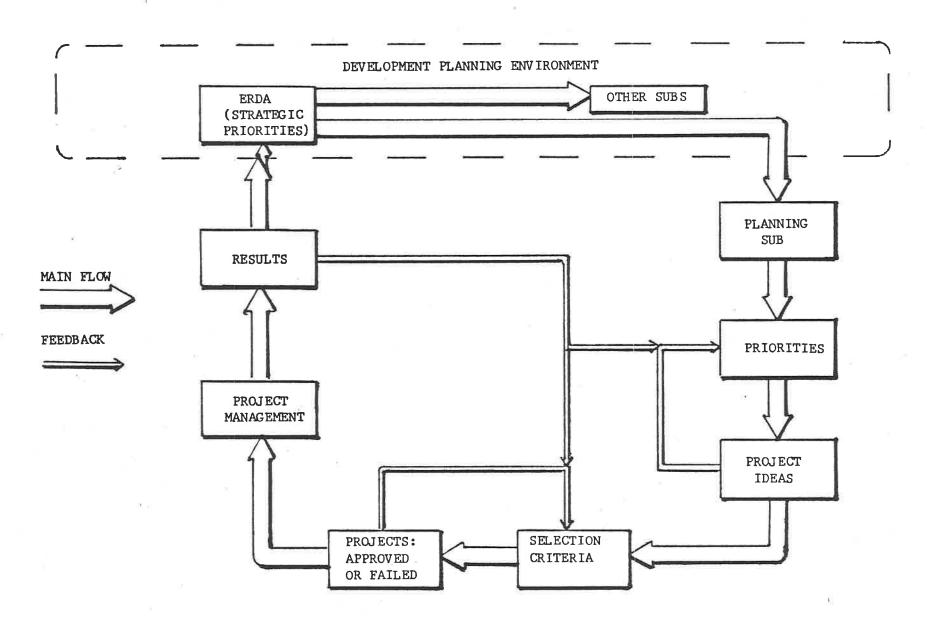## PLANNING SUBSIDIARY AGREEMENT

FIGURE 5

BASIC EVALUATION ISSUES - ALTERNATIVE APPROACHES

OCG GENERIC EVALUATION ISSUES (From OCG Guide)	OCG EVALUATION ISSUES FOR R&D PROGRAMS (From OCG Discussion Paper)
Program Rationale	Program Rationale
	Client Relevance
	Program Management
Impacts and Effects	Program Outcomes
Objectives Achievement	
Alternatives	Alternatives

The terms 'reasonable' and 'probable' are crucial here. By selecting the right projects, ensuring that they are properly specified, maintaining quality control and ensuring that results are properly disposed, the research managers can maximize the probability that a useful, positive outcome will ensue. They cannot, however, ensure such an outcome.

The OCG discussion paper expands on the reasons for this. While the focus is on scientific R&D programs, the parallels with the Planning Sub are very strong.

"One of the reasons why R&D program outputs are not easily measurable is that R&D programs are often project-based. R&D projects are selected and carried out and each project or collection of projects contributes towards achieving an aggregate program objective. However, only a portion of projects will pay off in the manner anticipated. Others will pay off in unexpected directions by uncovering new opportunities, and some will fail but uncover new, unexpected problems during their execution. In the larger context, a failure may be beneficial in that it might allow management to quickly terminate or redirect research work which had little chance of success. It is, therefore, the aggregate of the project outputs and its overall contribution to program output which must be considered. But, because of the relatively small scale of each project, aggregation into a meaningful output is often difficult unless an appropriate mechanism has been put in place to do so.

Approaches to measure the impacts and effects of R&D program outputs are also fraught with difficulties (refs. 6,12,25,27,38,41,48). First, long time lags often exist between R&D outputs and the actual acceptance and use of any resulting technology. By their very nature, research activities are not repetitive; and by the time an R&D program outcome can be properly assessed, the program has usually moved on to new research. Second, R&D work usually contributes only a small part of the total effort required to see new knowledge, or a new product or process fully developed and internalized in the marketplace or organization for which it was developed (ref. 31). A number of external factors can intervene to diminish the potential impacts and effects of good research. And third, there are many examples where the major R&D outcomes were completely outside those anticipated. The whole field of radio astronomy, which developed out of research done to eliminate background static noise picked up by antennas, is a case in point." (p.25)

In the case of the Planning Sub, the additional uncertainties created by the relatively primitive scientific basis of development economics, the effects of unpredictable changes in economic circumstances and the effects of changing political agendas must be added to the above difficulties. The result is an environment in which it is extremely difficult to measure objectively program outputs and even identify, far less measure or attribute, impacts and effects. This does not say that these aspects cannot be identified and measured, only that it will probably prove very difficult to do so.

Should it prove difficult to objectively assess outputs, impacts and effects, it may be necessary to go back up the chain to determine whether it is reasonable and probable that credit can be claimed for the positive results and blame avoided for their absence. To quote the OCG discussion paper again:

"What evaluators can do is to track various research activities and projects in order to assess whether or not the probability of achieving the intended impacts and effects of the R&D program is being enhanced by those activities and projects." (p.26)

We therefore believe that there is a strong justification for including what are normally understood to be audit questions in the Planning Sub evaluation. Moreover, there are good reasons for carefully tracking events and decisions since it is conceivable that considerable weight may have to be placed on management issues in the overall evaluation of the Sub.

Figure 6 compares the OCG discussion paper evaluation issues with the program events outlined in our working model. While the correspondence is not exact in each cell, it is apparent that the chronological structure (the program model) provides a logical structure for the evaluation model. For this reason, we have retained the program model structure -- matching events with evaluation issues as set out in our proposed evaluation matrix (Figure 7). Figure 7 lists the relevant issues, detailed questions and indicators. Figure 10 in Section 4 adds potential sources.

In sum, the following principles govern the evaluation model which we propose:

- The Planning Sub process should be viewed as a cycle (see Figure 4). The development planning environment generates questions (corresponding to Sub objectives) which are addressed through projects whose results have impacts and effects which permanently change the development planning environment.

- Everything done to manage the Planning Sub — attempting to be systematic but responsive; assuring that relevant questions are correctly specified and addressed; and ensuring the communication of results — should be aimed at some permanent, ideally significant alteration to the development planning environment.

- However, it is likely that neither managers nor evaluators will find it easy to objectively assess achievement of this lofty goal. The objectively verifiable results will almost certainly be more prosaic, and the question will probably turn on whether it is reasonable and probable that the sum of the activities contributed to the overall goal.

- In order to address that issue, it will be necessary to track a logical progression of events from the genesis of questions to the utilization or diffusion of the answers.

- For this reason, while the 'audit' questions of process and efficiency are not the end-point of the evaluation, they are critical underpinnings to any reasonably objective, credible conclusions.

FIGURE 6

AN EVALUATION MODEL FOR
THE PLANNING SUBSIDIARY AGREEMENT

PLANNING SUB EVENTS / OOG EVALUATION ISSUES	PHASE 1				PHASE 2			PHASE 3		
	1.1 PRIORITY SETTING	1.2 PROJECT DEVELOPMENT	1.3 PROJECT DESIGN	1.4 PROJECT SELECTION APPROVAL	2.1 CONSULTANT SELECTION	2.2 CONSULTANT MANAGEMENT	2.3 PROJECT COMPLETION	3.1 EMPLOYMENT OF RESULTS	3.2 ULTIMATE IMPACTS	3.3 FEEDBACK
PROGRAM RATIONALE										
– Legitimacy (NA*)										
– Relevance		RELEVANCE								
– Structure	COORD- INATION									
RELEVANCE TO CLIENT			PRECISION	EXPEDIENCY						
PROGRAM MANAGEMENT					APPROPRIATE- NESS	ADEQUACY				
PROGRAM OUTCOME										
– Objectives Achievement								UTILITY		
– Impacts and Effects									IMPACTS AND EFFECTS	
– Quality of Research							QUALITY			
ALTERNATIVES										ALTERNATIVES

* Legitimacy here is defined to mean: is it a legitimate area for government to do research? In the context of the ERDA and a national policy of encouraging regional development, this is taken as a given and therefore should not be treated as an evaluation issue.

NOTE: Read together, the "event" heading each column and the term in the corresponding cell of the matrix constitute the short form of each evaluation issue.

FIGURE 7

PHASE I -- PROJECT IDENTIFICATION AND DEVELOPMENT

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
1.1 Priority Setting	**Coordination** Was the priority setting system designed in such a way as to keep the Sub focussed on the ERDA priorities and critical needs of the development planning system?	Was a priority framework established with reference to appropriate policy documents and knowledgeable individuals? Was it periodically updated?	Sources consulted should include main policy documents, current economic research; key officials in all user agencies. Should be indications of periodic review related to completed work, changing ERDA priorities, etc.
1.2 Project Development	**Relevance** Did a mix of projects emerge which were relevant to both broad long-term knowledge gaps and the immediate needs of users and potential implementers?	Were projects related to the priority framework or to other policy or program priorities? Were clear information gaps identified for each project? Was there a clear sense of how the result of each project would be used?	Rationale for projects should be documented, should be related to ERDA or Sub priorities, or to other priority government initiatives. Should be related to existing knowledge base. Should be related to analytical or policy requirements, specific users and probable disposition of results.

FIGURE 7

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
1.3 Project Design	Precision Were projects designed so as to ensure that the right questions were addressed and that the results would satisfy the majority of client groups?	Were past research and knowledgeable people consulted in the design of the project?	Projects should reflect widespread input from a mix of senior officials, analysts, implementers.
		Were project teams composed of the appropriate mix of people?	Project teams should have a mix of knowledgeable people, users of results, appropriate levels of seniority.
		Were terms of reference clear and precise?	Terms of reference should state problem precisely, indicate nature of output required.
		Were adequate time and budget allocated to projects?	Time and budget should be commensurate with scope of work.
1.4 Project Selection and Approval	Expediency Did the selection and approval processes strike an appropriate balance between consistency and flexibility and between expeditious treatment and careful review to ensure that projects were well-constructed?	Were selection criteria established and used regularly and consistently?	Selection criteria should be referred to in decisions on projects.
		Were selection criteria periodically reviewed and revised?	Project decisions should have been reviewed to assess adequacy of selection criteria.
		Were approvals received in timely fashion?	Project team members should be satisfied that there were no undue delays; approval tracks should be reasonably consistent over time.

FIGURE 7

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
1.4 Project_Selection and Approval (cont.)		Were Management Committee and Coordinating Committee members satisfied that the final project design was consistent with their initial expectations, or were changes adequately documented?	Management and Coordinating Committee members should have compared initial project idea, project brief and Terms of Reference.

PHASE II -- PROJECT MANAGEMENT

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
2.1 Consultant_Selection	Appropriateness Were the consultant selection and bidding processes conducted so as to ensure a cross-section of high quality proposals and consistent selection of the most appropriate proposals?	Were bid lists established on the basis of full knowledge of available capabilities?	Consultant registers, lists, data bases should have been consulted; personal networks should have been canvassed.
		Where sole sources were used, were they justified?	Unique capabilities, time constraints should have been documented.
		Were consultants given adequate information and time to produce proposals?	Pre-briefings could have been conducted and/or Terms of Reference should be clear and precise (see 1.3)
			Timing should be reasonable, consistent with overall time-frame of project. Proposals received should have met expectations of Project Team.

FIGURE 7

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
2.1 Consultant Selection (cont.)		Were consistent, systematic criteria used to select consultants?	MC should have required use of some reasonable criteria.
		Was final approval secured and communicated in a timely fashion?	Final approval should have been secured within time-frame indicated to consultants.
2.2 Consultant Management	Adequacy Were projects managed so as to ensure close correspondence between client needs and eventual output, and were problems forestalled?	Were consultants carefully briefed by the project team?	A briefing meeting should have been conducted at the outset of the project.
		Did the project team receive regular presentations and written reports?	There should have been milestone meetings and a written record should have been maintained.
		Did the project team communicate its responses in writing in a timely fashion?	Comments should have been conveyed before consultants began on subsequent stages of the work.
		Were problems raised with the consultants as soon as they became apparent?	Problems flagged by PT members should have been resolved at PT meetings or communicated to consultants.

FIGURE 7

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
2.3 Project Completion	Quality Were the results of the projects satisfactory?	Were appropriate methodologies used?	Methodologies should have been logical, appropriate to circumstances.
		Were the data of appropriate quality?	Sources should have been documented, raw data made available.
		Were the conclusions and advice consistent with the data and analysis?	Conclusions and advice should have been clearly stated and specifically related to the evidence presented.
		Were presentations clear, concise and convincing?	Presentations should be literate, grammatical, free of errors, free of extensive jargon, readable; graphic material should be clear and well related to text.
		Were the projects on time?	Completion dates should match projected completion dates.
		Were they on budget?	Budgets and projected budgets should match.
		If there were deficiencies, were steps taken to correct them?	Significant deficiencies should have been corrected to PT members' satisfaction before final payment.
		Were important issues and problems drawn to the attention of MC for guidance to future projects?	PT should have reported key issues to MC at sign-off and MC should have taken notice of them.

FIGURE 7

PHASE 3 -- EMPLOYMENT OF RESULTS

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
3.1 Employment of Results	**Utility** Did projects achieve results which in toto warranted the time and money involved?	Did the projects meet their objectives as set out in the Project Brief and Terms of Reference?	Project conclusions should be clearly related to objectives and incongruities explained or justified. A Plan of Action should have been devised to ensure implementation of results.
		Did projects provide information which was supplementary to the main purposes or raise questions or have uses which had not been considered?	The final report and Project Team reports should have highlighted unexpected outcomes.
		Was there a distribution plan?	Results should have been made available in an appropriate format to all relevant audiences.
		Were results used later in support of other research?	Reports should be cited periodically in later documents. Other users should have found the reports useful.

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FIGURE 7

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
3.2 Ultimate Impacts	**Impacts and Effects** Did the results of studies contribute to the ultimate purposes of the Planning Sub?	Did they create greater knowledge of economic issues in the policy community?	Results should have been broadly disseminated, should be cited in documents, should have influenced further work.
		Did they enhance the capability for policy analysis?	New analytical tools should have been subsequently employed.
		Did they further or forestall specific development projects?	Important decisions on projects should have referred to results.
		Did they contribute to the development of new subsidiary agreements?	The subject matter or policy instruments in subsequent Subs should reflect the findings of studies.
		Did they otherwise contribute to the development or modification of policies and programs affecting the Nova Scotia economy?	Important decisions on other policies and programs should have referred to results.

FIGURE 7

EVENT	ISSUE AND GENERAL QUESTION	DETAILED QUESTIONS	INDICATORS
3.3 Feedback	**Alternatives** Overall, did the results appear to meet the objectives of the Agreement and to justify the resources expended, or were there more cost-effective possibilities.	Was the Planning Sub the most appropriate vehicle for carrying out the projects? Were consulting studies the most effective means to get the results? Overall, was a Planning Sub necessary to do the research or could it have been done through other mechanisms?	All projects should have passed exclusion criteria (see 1.4) Answers to questions under "Project Completion" (2.3) should generally be positive. The bulk of activity should have fallen outside the scope of other Subsidiary Agreements.

4.0 APPROACHING THE EVALUATION

This section outlines our suggested approach to the evaluation and details the information sources which would need to be put in place to address the questions and indicators in Figure 7. Read together, Figure 7 and Figure 10 constitute a recommended evaluation matrix. They do not, however, indicate where the emphasis or weight of the evaluation might lie.

4.1 Evaluation Themes

In a broad sense, there are two possible emphases or themes which the evaluation might assume. One focusses most directly on investigating impacts and effects. The other, while keeping impacts and effects in sight as the end-point, takes a more indirect approach and emphasizes the front (planning, priority setting) and the middle (management) of the Planning Sub. The two are by no means mutually exclusive, except that limited resources will tend to demand that one or the other be emphasized.

The first approach would try to discern impacts and effects (see Figure 2) and trace causal links back to the Planning Sub. It would emphasize Issue 3.2 in Figures 7 and 10, and would rely predominantly on interviews, a possible survey of potential users and tracking results to see how they were implemented. This approach has considerable merit in theory, but two weaknesses in practice.

First, the impacts and effects, and the causal links back to the Sub's outputs, will be difficult to discern. Although there may be occasional cases of verifiable impacts, the more common results are likely to involve logically associated but unattributable impacts, diffuse and undefinable impacts, and impacts which have yet to occur. There will inevitably be a sizeable knowledge gap between the Sub and events in the real world.

To minimize the gap, a large representative sample of finished projects would need to be carefully tracked, and this indicates the second weakness of the approach. To be done credibly, such a tracking would be an expensive undertaking, quite possibly out of proportion to the budget of the Sub itself.

The alternative approach, which would give greater weight to the earlier phases of the evaluation matrix, is based on the premise outlined in Section 3: whether it is reasonable and probable to assume that the activities under the Sub individually and collectively had a positive impact on the development planning environment. If most projects were well selected, well managed and well implemented, it may require, in addition, only partial and anecdotal evidence of ultimate impacts to conclude that the Sub was a success.

We believe that this latter approach has a number of strengths. While any approach will leave some doubt that the target was actually hit, this one would provide strong, objective evidence that at least the trajectory was right. Second, by emphasizing management information, it provides a very large subsidiary benefit in the form of on-going feedback mechanisms. Third, because most of the data will already be collected before the evaluation takes place, it should be relatively inexpensive.

The final choice of evaluation themes should be left up to the evaluators. The information available some years hence may warrant different conclusions than those we now draw. In order to maintain both options, however, it is necessary that the documentation be as complete as possible. In the sections which follow we outline what this involves.

4.2 Existing Sources

A great deal of the evaluation documentation is already being collected. Figure 8 outlines and briefly describes the key documents. These documents, plus correspondence files and final reports, would provide much of the information required for the evaluation. There are, however, a number of important deficiencies:

1. A number of links are missing, especially at the beginning and end of the cycle. There is no provision for the periodic restatement or revision of objectives and priorities. Nor is there provision for indicating the suggested implementation or end-use of projects, or how the entire process feeds back to the ERDA. The flows emerging from and entering the 'development planning environment' (see Figure 4) are unclear, and the Sub is in danger of either becoming or being perceived to have become isolated from the broader environment.

2. Data capture is uneven because of the variable diligence with which projects are documented. Whereas Item 1 concerns the need to create data, we are talking here about systematic capture of data which already exists.

3. The volume of data is potentially daunting, and ongoing manual aggregation is unlikely to repay the effort or indeed to be practical within time and staff limitations. Therefore, there is need for a computerized data base management system.

Section 4.3 addresses these points and describes the new documentation which we consider desirable. We emphasize again that the bulk of the effort goes to systematic capture of existing data in a retrievable and flexible form, and not to the creation of new data demands.

FIGURE 8

EXISTING EVALUATION DOCUMENTS

ERDA Course of Action   — Produced annually, provides an update
(ERDA CofA)   on ERDA priorities.

Management Committee   — Produced for every meeting, documents
Minutes (MC MIN)   all decisions regarding priorities,
                                          selection criteria, project approvals,
                                          etc. Should also reflect Management
                                          Committee 'sign-off' as described on
                                          p. 31.

Project Brief/Project   — Produced for every project — reflects
Approval (PB/PA)   background, purpose, expected output
                                          and nature of project, resources and
                                          time required. (Requirements of pro-
                                          ject briefs are recorded with MC
                                          minutes.)

Terms of Reference/   — Produced for every project — further
Request for Proposals   refinement of information from project
(TofR/RFP)   brief cast in terms suitable for con-
                                          sultants (Requirements for Terms of
                                          Reference are recorded with MC
                                          minutes.)

Proposals and Contracts   — Proposals produced for every project
(Prop/Cont)   (number varies). Successful proposal
                                          and TofR form part of contract. Should
                                          expand upon but be consistent with (or
                                          explicitly modify) TofR.

Project Team Minutes   — Produced for every meeting of Project
(PT MIN)   Team. Should record all key decisions
                                          and events for each project.

4.3 Data Base

The approach we recommend strongly emphasizes ongoing collection,
aggregation, reporting and analysis of relevant data. It also assumes
that data will be stored and updated in a microcomputer, using the
Reflex data base management system. This approach has some costs in
time required to maintain documentation, particularly from
Coordinating Committee members. On balance, however, we believe that
the benefits warrant the extra effort involved.

* The aggregation and reporting of data on a regular basis provides a real time feedback/evaluation mechanism which should be useful to management.

* By forcing systematic consideration of certain issues, the approach ensures that important elements, indicators or trends are not inadvertently overlooked.

* By providing the evaluators with a complete, accurate and systematic data base, the system should both assist a better, more objective evaluation and significantly reduce its cost.

We have designed the reporting system around the Reflex system for two related reasons, both encompassed by the first paragraph in the Reflex User's Manual:

"Reflex provides powerful ways to analyze the records you keep so that you can quickly understand the meaning behind the information. It is designed to be the easiest program for filing and keeping track of information."

Reflex therefore seemed suitable because it is designed to facilitate the understanding and analysis of relationships between various fields of information, and because it can be more easily modified on an ongoing basis than data management systems that require a higher level of programming skills. The first quality makes it a useful feedback/ evaluation mechanism. Moreover, since this ongoing 'audit' function could easily lead to changes in the priority or evaluation frameworks, the data base management system should be understandable to and useable by staff not having prior programming skills. The fact that Reflex can translate from or be exported to such other popular software programs as dBASE III and Lotus 1-2-3 is an added advantage.

We recommend that the Management Committee acquire the necessary hardware and software to maintain the Reflex data base set up during this project.

Much of the data in the new documentation recommended below is already being produced. In some cases, however, information emerges, but has a very short lifespan because it is never formally recorded or officially recognized. In other cases, all of the information on a single project exists in various documents and will prove time-consuming to consolidate if done some years down the line. The documents described below, and summarized in Figure 9, do not, on the whole, mean the production of new information, but simply the collection of that information in an easily storable and retrievable format.

We should note that, in the context of the data base, 'report' can have one of several meanings. In certain instances, what we refer to as a 'report' could equally be termed a questionnaire designed to elicit information in a form appropriate for data base entry. Most of the documents in Technical Appendix "A" fall within this category.

In other instances, such as the Coordinating Committee Report(s), the term 'report' refers to documentation generated from the data base using the report generation facilities of Reflex. These command file generated reports are project-specific, and separate from the capacity to cross-tabulate or graphically compare the data from the projects in aggregate. They can, however, be re-designed at any point to provide the relevant information on all projects in a systematic format.

FIGURE 9

NEW DOCUMENTS PROPOSED FOR EVALUATION PURPOSES

TITLE/TYPE	RESPONSIBILITY	PRODUCTION?	PURPOSE
ANNUAL REPORT AND ACTION PLAN	MANAGEMENT COMMITTEE	Annually for Sub overall	To summarize achievements since previous report.
Report Form Generation & Conventional Report			To revise and update priorities and expected projects. SHOULD PROVIDE INPUT TO ERDA COURSE OF ACTION
COORDINATING COMMITTEE REPORT	COORDINATING COMMITTEE	Maintained on an on-going basis on a data base for each project	To capture all pertinent data for each project in a format which permits regular updating and reporting, and can be manipulated to produce various aggregates.
Data Entry & Report Form Generation			SHOULD PROVIDE INPUT TO ANNUAL REPORT AND PLAN OF ACTION.
PROJECT TEAM REPORT	PROJECT TEAM	For each project, at end of project except for Terms of Reference Cover Form	To summarize project outputs, record relevant lessons for future projects and to outline the Project Team's recommendations for implementing the results.
Data Entry & Manual Retrieval			SHOULD PROVIDE INPUT TO COORDINATING COMMITTEE REPORT.

Some pieces of information, such as the 'Comments' sections in the various questionnaires, the Project Team Activity List, and the list of persons and sources consulted on the Terms of Reference Cover Form, are not intended for data base entry. These would require manual retrieval through the appropriate project files, although having the information available in a systematic format should facilitate such retrieval.

Finally, there is the Annual Report and Action Plan. The Annual Report component would undoubtedly use the report generation capacity of the data base, but it would also include textual information and analysis. It is a 'report' in the conventional form.

Coordinating Committee Reports

The Coordinating Committee function is key to the data base approach. The Coordinating Committee Report/Questionnaire triggers the existence of a record on a project, as well as providing much of the data relevant to issues in the project design, selection and management areas.

A project would be tracked from its earliest formal inception until final sign-off. What constitutes 'formal inception' remains an open question to be resolved by the Coordinating and Management Committees. Presumably it occurs sometime between when a potential project is first brought to the Management Committee's attention, but before formal Management Committee approval or the creation of a Project Team. In practice, it is likely to occur at that point when the Coordinating Committee decides, or is told by the Management Committee, that the ability to retrieve information on the potential project might be relevant or useful at a later date.

Information from the data base on all projects can be readily aggregated in graphic or cross-tabulated format to give a composite picture of, for example, the balance among various topics and the correspondence between projected and actual schedules and budgets. It thereby provides both a key management tool and a highly flexible data source for evaluation. It would also be the key source of aggregated project information for the Annual Reports.

The main report command file would generate the formal Coordinating Committee Report (see Technical Appendix "B"). It provides a single source of information on all major decisions and dates relating to a given project. Additional command file generated reports already prepared include a financial status summary and a project status summary (see Technical Appendix "B"). The Reflex report generation module is highly flexible and easy to use, so that Coordinating Committee Reports can keep pace with management needs. In general, we use the term 'Coordinating Committee Report' to refer to any report generated from the data base for management purposes.

At the close of each project, the Coordinating Committee would review their report and the Project Completion Report, and forward the two documents (either separately or incorporated in one report format) to the Management Committee for sign-off. Management Committee sign-off would be reflected in the minutes, and would cover such items as whether the Management Committee agreed with or varied the proposed implementation and distribution plans. Final sign-off could be when Management Committee approves the Project Completion Report. Alternatively, a bring-forward component could be included in the data base to ensure that completed projects are regularly reviewed for impacts, effects and implementation.

We recommend that the Coordinating Committee be given formal responsibility for maintaining the data base, and for finalizing the documentation required to standardize the information obtained from the Project Team.

Project Team Reports

The Project Team Report/Questionnaire is broken into four documents, the first three of which require minimal effort, and are primarily a more systematic recasting of information already collected. All are included in Technical Appendix "A".

The Terms of Reference Cover Form is designed simply as a useful cover sheet for the Management Committee's information when the Terms of Reference are approved. Much of the information on the page (such as project name, project team, outputs from Coordinating Committee Report, etc.) can be supplied by a report generated from the existing data base.

The Consultant Selection Record likewise requires minimal information from the Project Team. The complete record would be manually retrievable in toto, and selective aspects would be entered in the data base. At a future date, the aggregated information might suggest some useful patterns. For example: is there a correlation between the way that Project Teams rate the various phases of the completion of the project and the areas in which the consultants, on average, scored high or, alternatively, scored low? If the variation in bids was particularly high or particularly low, does this correlate with any of the other indicators in the data base? In short, when there are sufficient entries in the data base, patterns might be discerned in the aggregated information which could be of use to future Project Teams.

The Project Team Activity List is a non-data base document which is intended to provide a useful and standardized overview to anyone reviewing the Sub in toto. It indicates the timing of the project, the existence of other documentation such as minutes and the internal cost in terms of staff time used. It can easily be clipped to the front of a file as a summary document.

The key document from the Project Team is the Project Completion Report. The Report would have both retrospective and prospective elements. It would, together with the Project Team minutes, track any evolution of the expected outputs of the project, and whether the expected outputs were successfully achieved. Expected results often alter as a project progresses, and deciphering whether a change in outputs is the result of sheer accident or a deliberate process of refinement can be a major evaluation problem. The Project Team is in the best position to document whether outputs were achieved and/or altered, and the Project Completion Report provides an overview of this.

Second, the Report would include the Project Team's collective view on the various phases of the project, along with, optionally, their comments on what contributed to particular successes or shortcomings of any particular phase. In other words, if a project fell short of its objectives: were the objectives too ambitious or ambiguously specified?; were the wrong consultants selected?; could the Project Team have used a different mix of strengths? Alternatively, if the project worked, what were the notable positive features? This type of information would be a useful type of feedback to the Planning Sub managers and possibly other project teams, as well as a key source for evaluation purposes.

The other critical element in the Project Completion Report would be a recommended implementation plan. This would describe what should be done next and within what timeframe, what further study might be indicated and what distribution of the report is recommended. While this element has more function for management than evaluation, it would provide a useful benchmark when examining the disposition of results in later years, as well as a window into the evolution of expected and unexpected outputs.

Annual Report and Action Plan

As the title implies, we envision this document as having both retrospective and prospective components. It would provide basic statistics on studies initiated and completed during the year, indicating which ones were publicly available. It could include a short commentary on any particularly significant results or impacts arising from completed projects. It might comment on or analyze the implications of any trends or indicators arising from the aggregated information on the type, size and source of projects being selected, the timeframe of project identification through completion, or the outputs of the projects.

The forward-looking component is envisioned essentially as an annual update of the priority framework (see comment and recommendation on p. 5). It would describe general topics and specific projects which were to be the focus of the coming year's activities and it would include, or at least refer to, any updates on selection criteria and management procedures. As indicated in Figure 10, we see this document as providing a series of benchmarks especially relevant to the evaluation of priority setting and impacts and effects.

4.4 Conclusions and Recommendations

Figure 10 provides a complete outline of the various evaluation indicators and corresponding data sources. Within the framework created by Figures 7 and 10, it is possible to develop different evaluation themes or emphases, of which the two most distinct are outlined in Section 4.1. We have avoided specifically recommending one or another approach, although our leanings will be apparent. The central issue, and our chief conclusion, concerns the need to maximize the options. We believe that the system outlined achieves this objective, while simultaneously providing useful management information.

To this end, a number of management decisions are recommended in the report. For clarity and emphasis, we repeat the recommendations here.

* We recommend that the Management Committee consider formalizing an annual Plan of Action, parallel to the ERDA Course of Action, which would indicate priorities and would be understood to supersede previous documents. (See page 5)

* We recommend that the Management Committee issue a policy statement clarifying their interpretation of the scope of appropriate activities. (See page 6)

* We recommend that the Management Committee acquire the necessary hardware and software to maintain the Reflex data base set up during this project. (See page 26)

* We recommend that the Coordinating Committee be given formal responsibility for maintaining the data base, and for finalizing the documentation required to standardize the information obtained from the Project Team. (See page 29)

FIGURE 10

INFORMATION SOURCES

		ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
1.1	Sources consulted should in-clude main policy documents, current economic research; key officials in all user agencies.	X	X	X							Interviews with officials Priority Frame-work Study
	Should be indications of periodic review related to completed work, changing ERDA priorities, etc.		X	X							Interviews with MC and CC members
1.2	Rationale for projects should be documented, should be related to ERDA or Sub prior-ities, or to other priority government initiatives.				X	X					
	Should be related to existing knowledge base.					X	X				
	Should be related to analyti-cal or policy requirements, specific users and probable disposition of results.					X	X				

ERDA/CofA ———— ERDA; Courses of Action
PS AR/AP ———— Annual Report/Action Plan
MC MIN ———— Management Committee Minutes
CC REP ———— Coordinating Committee Reports (CC Questionnaire only)

PB/PA ———— Project Briefs; Project Approvals
TofR/RFP ———— Terms of Reference; Request for Proposals
PROP/CONT ———— Proposals and Contracts
PT MIN ———— Project Team Minutes
PT REP ———— Project Team Reports

	ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
1.3 Projects should reflect widespread input from a mix of senior officials, analysts, implementers.						X				Interviews with officials Project team lists
Project teams should have a mix of knowledgeable people, users of results, appropriate levels of seniority.				X					X	Project team lists
Terms of reference should state problem precisely, indicate nature of output required.						X				
Time and budget should be commensurate with scope of work.			X	X	X	X	X	X		Final Reports
1.4 Selection criteria should be referred to in decisions on projects.			X	X						"Criteria for Determination of Eligible Projects"
Project decisions should have been reviewed to assess adequacy of selection criteria.			X							"Criteria for Determination of Eligible Projects"

	ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
1.4 Project team members should be satisfied that there were no undue delays; approval tracks should be reasonably consistent over time.				X					X	Interviews with project team members
Management and Coordinating Committee members should have compared initial project idea, project brief and Terms of Reference.			X			X			X	
2.1 Consultant registers, lists, data bases should have been consulted; personal networks should have been canvassed.								X		Consultant lists Interviews with project team members
Unique capabilities, time constraints should have been documented.			X	X				X		
Pre-briefings could have been conducted and/or Terms of Reference should be clear and precise (see 1.3)						X		X	X	
Timing should be reasonable, consistent with overall time-frame of project. Proposals received should have met expectations of Project Team.						X	X	X	X	Interviews with project team members

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		ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
2.1	MC should have required use of some reasonable criteria.			X	X				X	X	Criteria issued by MC
	Final approval should have been secured within time-frame indicated to consultants.				X		X				
2.2	A briefing meeting should have been conducted at the outset of the project.								X	X	
	There should have been milestone meetings and a written record should have been maintained.								X	X	Presentation materials Interim report Correspondence
	Comments should have been conveyed before consultants began on subsequent stages of the work.								X		Correspondence files
	Problems flagged by PT members should have been resolved at PT meetings or communicated to consultants.								X		Final reports

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	ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
2.3 Methodologies should have been logical, consistent with conventional practice, etc.										Final reports & presentation material
Sources should have been documented, raw data made available.										Final reports & presentation material
Conclusions and advice should have been clearly stated and specifically related to the evidence presented.										Final reports & presentation material
Presentations should be literate, grammatical, free of errors, free of extensive jargon, readable; graphic material should be clear and well related to text.										Final reports & presentation material
Completion dates should match projected completion dates.				X					X	
Budgets and projected budgets should match.				X					X	
Significant deficiencies should have been corrected to PT members' satisfaction before final payment.								X		
PT should have reported key issues to MC at sign-off and MC should have taken notice of them.			X	X				X	X	

	ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
3.1 Project conclusions should be clearly related to objectives and incongruities explained or justified.			X	X				X	X	Final reports
A Plan of Action should have been devised to ensure implementation.			X	X				X	X	
The final report and Project Team reports should have highlighted unexpected outcomes.									X	Final reports
Results should have been made available in an appropriate format to all relevant audiences.		X	X	X						Distribution plans / Survey of potential users
Other users should have found the report useful.										Survey of potential users
Reports should be cited periodically in later documents.										Survey of users / Review of later studies
3.2 Results should have been broadly disseminated, should be cited in documents, should have influenced further work.		X								Survey of potential users / Review of later related studies
Analytical tools should have been employed.										Interviews with relevant analyst

		ERDA CofA	AR/ AP	MC MIN	CC REP	PB/ PA	TofR/ RFP	Prop/ Con	PT MIN	PT REP	OTHER
3.2	Important decisions on projects should have referred to results.		X								Interviews with relevant officials
	The subject matter or policy instruments in subsequent Subs should reflect the findings of studies.	X	X								Later Sub Agreements Interviews with officials
	Important decisions on other policies and programs should have referred to results.		X								Interviews with officials Published documents
3.3	All projects should have passed exclusion criteria (see 1.4).				X						
	Answers to questions under "Project Completion" (2.3) should generally be positive.										Interviews with project team members Final Reports
	The bulk of activity should have fallen outside the scope of other Sub Agreements.										Other Sub Agreements

APPENDIX "A"

PERSONS CONSULTED

Jim Burkimsher
Department of Regional
Industrial Expansion

Rick Butler
Department of Development

Carol Conrad
Department of Development
(Management Committee)

Gordon DeWolf
Federal Economic Development
Coordinators Office
(Management Committee)

Paul Dober
Department of Development

Bob Doherty
Department of Development
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Dick Fletcher
Department of Development

Greg Gertz
Federal Economic Development
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Nora Henderson
Canada Employment and
Immigration Commission

Saroja Kamra
Department of Development

Geoff Lewis
Ocean Industries Development
Office

Marg Lloyd
Department of Development

Betty MacDonald
Federal Economic Development
Coordinators Office
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Michael Moore
Department of Regional
Industrial Expansion

Paul McNeil
Canada Employment and
Immigration Commission

Phillip Peapell
Department of Development

Charlie Pye
Department of Development

Bill Savin
Department of Regional
Industrial Expansion

Richard Shaffner
Department of Development

John Young
Federal Economic Development
Coordinators Office

Murray Vandewater
Department of Development

APPENDIX "B"

PLANNING SUBSIDIARY AGREEMENT: BASIC FACTS

1. PURPOSE (from Section 2.1):

2.1 The purposes of the Agreement are:

(a) to provide a means for Canada and Nova Scotia to coordinate the process of identifying and analysing economic development opportunities and issues relating to the economy of the Province and the determination of the most appropriate instruments and mechanisms which may be utilized in pursuing the achievement of the ERDA objectives; and

(b) to provide for contributions of federal and provincial funds required for contracting studies, having significant interdepartmental relevance to Canada or Nova Scotia or both, for the processes referred to in paragrah (a).

2.2 Additional resources provided for under this Agreement are intended to complement and enhance the usual planning activities undertaken by federal and provincial departments and agencies.

2. DURATION:

11 June 1984 to 31 March 1989

3. BUDGET ($ million):

	Federal	Provincial	Total
Planning Studies	1.9	1.9	3.8
Public Information and Evaluation	.1	.1	.2
	2.0	2.0	4.0

4. ADMINISTRATIVE STRUCTURES:

MANAGEMENT COMMITTEE
Composed of one federal and one provincial official designated by respective ministers. Generally responsible for management of Subsidiary Agreement. For details, see Section 3.2 of Agreement and Terms of Reference MC MIN August 13, 1984.

COORDINATING COMMITTEE
Composed of one federal and one provincial official
appointed by Management Committee. Generally responsible
for advising and assisting Management Committee and
carrying out detailed project administration. For
details, see MC MIN August 13, 1984.

PROJECT TEAM
Composed of at least one representative from each
governmment. Responsible for managing authorized
projects. For details, see MC MIN August 29, 1984.

5. ADMINISTRATIVE PROCEDURES:

The normal sequence of events for projects under the Sub and
the administrative procedures governing them at present is as
follows:

Project Origin
- May arise from priority framework, individual
  departments, or outside agencies or firms.
- If from an outside agency or firm, the project must be
  sponsored by a federal or provincial department (MC MIN
  August 13, 1984).
- Proposals for assisting conferences are subject to
  additional criteria (MC MIN May 27, 1986).
- Unsolicited proposals from consultants, if agreed to, are
  subject to normal tendering procedures.

Project Approval
- All projects are tested against "Criteria for Determining
  Eligible Projects" (MC MIN August 29, 1984).
- Projects are approved on the basis of a Project Brief and
  Project Authorization (MC MIN August 29, 1984 and
  update).
- Project Teams are normally appointed at time of approval,
  but may be appointed earlier (MC MIN August 29, 1984).

Project Development
- Project Teams prepare Terms of Reference according to
  guidelines, solicit proposals from at least three
  consultants and evaluate proposals based on an agreed
  weighting system (MC MIN August 29, 1984). Management
  Committee approves the Terms of Reference, lists of
  consultants, and awarding of contracts.

Project Management
- Project Teams manage projects according to Project Team
  Terms of Reference (MC MIN August 29, 1984).