

# Golden Key Local Evaluation Phase 4 Evaluation Framework

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# Golden Key Local Evaluation: Phase 4 Evaluation Framework

## 1 Aims and purpose

This framework will guide how the local evaluation collects and analyses evidence of systems change in Phase 4 and potentially Phase 5 as Golden Key (GK) moves into the last two years of National Lottery Community funding. The framework aims to:

- Capture and articulate the key assumptions which underpin GK's approach to change
- Capture and articulate the high-level positive change outcomes which GK intend to achieve
- Provide a framework to shape and focus the Local Evaluation in phases 4 and 5 to test assumptions and explore change
- Contribute to developing GK's learning about the context and mechanisms which have supported their approach to change.

Since the original GK business plan and initial local evaluation framework (see Appendix 1) were developed in 2015, the programme itself has developed and changed significantly. The Local Evaluation team at UWE have encouraged GK to map their theory of change to clearly articulate the specific changes and impacts they want to see from their activities, and the assumptions which underpin these. GK have worked with the change consultancy Delta7 to provide a pictorial representation of their approach to systems change but this does not extend to providing detailed outcome indicators and impacts for specific GK activities.

The current framework has been developed, therefore, to guide the design and analysis of the final phases of the local evaluation in order to explore planned and emergent change outcomes. The framework (shown on the following page) flows from left to right and will be used to directly inform research methods and data collection in this phase of the local evaluation. The framework will be reviewed on the basis of Phase 4 findings to shape Phase 5 of the local evaluation.

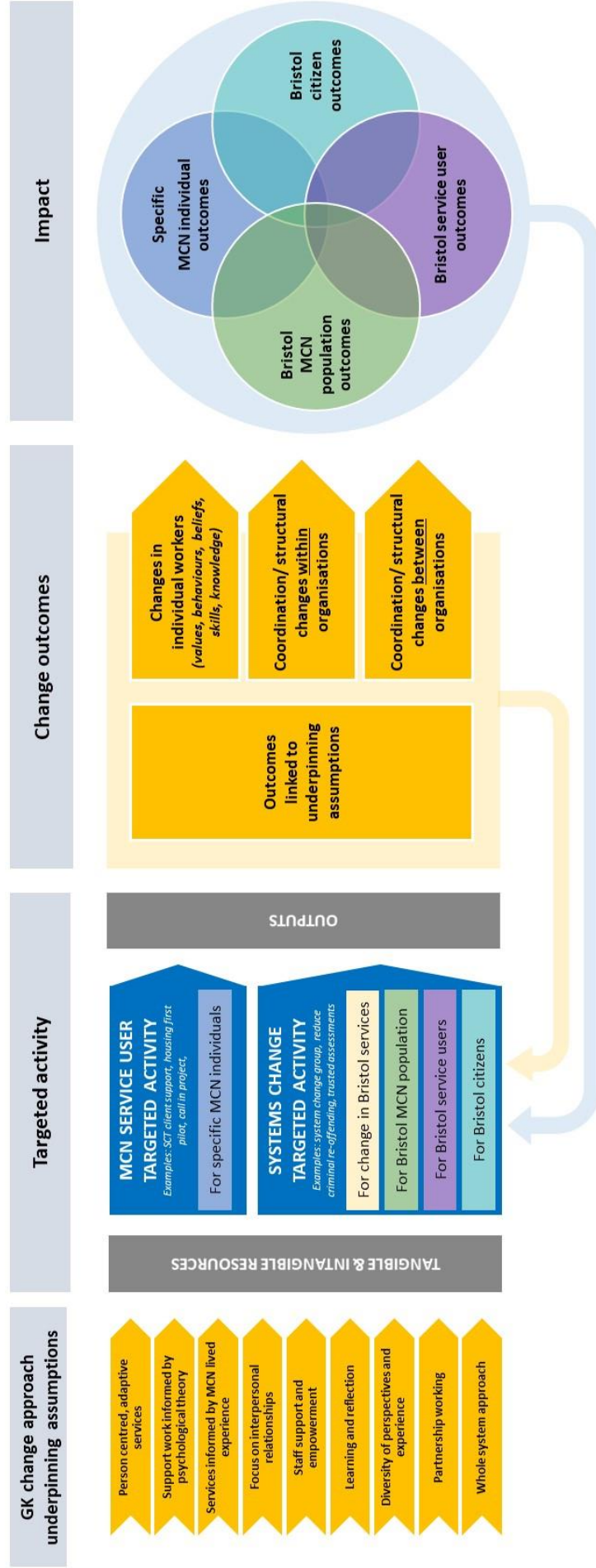
## 2 Underpinning assumptions

The 'underpinning assumptions' are an initial attempt by the local evaluation team to articulate the shared principles and beliefs that inform the GK approach to service delivery and systems change. The framework will guide the evaluation in assessing the extent to which these assumptions are evident in a GK activities, as well as contributing towards tangible outcomes for multiple complex needs (MCN) service providers, clients and the wider population. The framework will support us to identify and trace these assumptions through GK activities into outcomes and impact. We will also explore the extent to which they might act as important levers (or 'mechanisms' in the terminology of realist evaluation<sup>1</sup>) for individual, organisational and systems change.

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<sup>1</sup> [https://www.betterevaluation.org/en/approach/realist\\_evaluation](https://www.betterevaluation.org/en/approach/realist_evaluation)

## Phase 4 evaluation framework



GK have initiated a broad range of activities which intend to achieve systems change, several of which involve numerous other partner services, funding streams, and organisations, both within and beyond the GK formal partnership. A comprehensive evaluation of all GK's activity is beyond the scope of the local evaluation resources, so a sample of GK's systems change activities will be selected for Phase 4.

The underpinning assumptions have been determined from sources including: the GK Approach to Change document (produced by Delta 7), earlier phases of UWE evaluation research, document analysis, and participation in GK meetings and events. As many of the assumptions are inter-linked we have tried to highlight where there is strongest cross over. We invite GK partners to share, reflect and feedback on this initial description of the underpinning assumptions, which we hope will stimulate further discussion about system change mechanisms in the partnership more widely.

## 2.1 Person centred, adaptive services

**What is it?** The Health Foundation (2016) proposes a framework with four principles of person-centred care: “(1) Affording people dignity, compassion and respect, (2) Offering coordinated care, support or treatment, (3) Offering personalised care, support or treatment, (4) Supporting people to recognise and develop their own strengths and abilities to enable them to live an independent and fulfilling life”.

**Why is this important (assumption)?** Services which are inclusive and can adapt, responding to individual needs, will improve both the experience and quality of service provision and will lead to better service user outcomes.

**What does it look like (change outcomes)?** Positive relationships between professionals and service users, where professionals respect and understand individuals' perspective, and approach clients from a strengths-based perspective. Service provision which is tailored to individual needs at every stage. This includes the initiation, duration and termination of relationships, as well as the management of transitions. The response to individual service users will be adapted in pace and approach to support their individual needs. This is aided by service users actively participating alongside professionals in the configuration and development of the service/s they receive. Many different forms of flexible and adaptive service delivery exist, with examples of different approaches or process/rule-flexing in response to individual needs. Emphasis on *doing with* rather than *doing to* clients.

## 2.2 Support work informed by psychological theory

**What is it?** “The psychological approach has been described in different ways. Some describe it as having a general understanding of clients' experiences (Johnson & Haigh, 2011), while others suggest that a more formal psychological framework might be useful (Cockersell, 2016). There are several psychological approaches that services can use, such as empathy, Systemic, Psychodynamic, Person-centred or Buddhist amongst others.” (Golden Key, 2018)

**Why is this important (assumption)?** Psychology as a discipline has in-depth knowledge and expertise of human minds and behaviour through over 150 years of systematic scientific study and theoretical development. Inclusion of this expertise in organisational, staff and service development will lead to more effective change through developing a sensitivity, effectiveness and efficacy amongst staff. “We believe that taking a ‘what's happened to you?’ instead of a ‘what's wrong with you?’ approach will help us to

better understand people's needs and our own responses to them, as well as being a less stigmatising approach." (Golden Key, 2018)

**What does it look like (change outcomes)?** Examples of psychological theory or professional psychologist involvement in service provision approaches, organisational design, professional values and beliefs, processes, decision making, support structures. Value placed on professional psychological expertise and research evidence with staff trained in relevant approaches to understanding the experiences of service users. This might include increased numbers of staff being trained in psychologically informed approaches, such as trauma or attachment informed care. Clients will have confidence that the staff that they have contact with are skilled in their roles and have an understanding of how to work with them in a number of different areas.

### 2.3 Services informed by MCN lived experience

**What is it?** Including people with lived experience of multiple complex needs in service development and delivery through research, involvement, consultation, negotiation and co-production.

**Why is this important (assumption)?** People who use services have unique insight into the strengths and weaknesses of services, the interface between different pathways and providers, and how they are experienced by clients. This is an essential, yet often neglected, source of knowledge and expertise to evaluate and inform how and where services can be improved. When the voices and experiences of service users are involved in designing and implementing changes, it will lead to more inclusive practices and increased user satisfaction with the service, as it is more likely to meet their needs, create a sense of joint ownership and make service users feel that their thoughts and perspectives are valued.

**What does it look like (change outcomes)?** Perspectives and experiences from the service user community are actively engaged in the design, delivery, development and review of services. MCN clients directly involved in service design, delivery, funding and other policy changes which move higher up the ladder of participation (Arnstein, 1969). Improved expertise and skills amongst service providers in working with service users to include the voice of lived experience. The process and outcomes of including lived experience are perceived positively by both people in services and with lived experience, as well as those commissioning and evaluating services. The contribution of people with lived experience recognised and rewarded through paid and voluntary roles within services.

### 2.4 Focus on interpersonal relationships

**What is it?** Valuing the nature and quality of relationships between individual colleagues, service professionals, service users and other key stakeholders.

**Why is this important (assumption)?** Psychologically informed environment (PIE) and systems change theory place a special value on relationships as a key mechanism for change through development and learning both for professionals and in client support relationships. Strong and enduring relationships, founded on trust and respect, enable individuals to improve their understanding of different perspectives in the system and to collaborate effectively (see also [Partnership working](#)).

**What does it look like (change outcomes)?** Opportunities for interaction and shared activities are encouraged and supported (e.g. working together as a staff team or as colleagues on specific projects,

team meetings, and time for socialising). Relationships are valued and invested in, strengthened between individuals – particularly where services need to work together to support people with MCN. Key partners develop their understanding of each other’s work and recognise the challenges other services face. There is increased willingness between services to collaborate. Staff are able to empathise with service users. Services enable service users to develop and maintain long-term trusting and mutually beneficial relationships with staff and others beyond the organisation.

## 2.5 Staff support and empowerment

**What is it?** Paid and voluntary staff working within and with services are supported appropriately to fulfil their role and empowered to learn and grow with relevant specialist training and support. Organisational structures and processes support staff and empower them to develop knowledge and experience to support positive outcomes. This is closely linked with Learning and reflection (see below).

**Why is this important (assumption)?** Services need high performing staff who are well supported to do their jobs to deliver quality professional service provision and to care about service users. The consequences of poor staff support (high staff turnover, sickness, organisational disengagement, emotional detachment, stress, underperformance, low morale, etc) undermine quality service provision and restrict improvement.

**What does it look like (change outcomes)?** Structured, tailored and comprehensive staff training, protected resources for staff support (e.g. clinical, management, or peer supervision), good line management, good organisational communication, commitment to staff development and staff well-being, effective and developmental performance management. Staff feel empowered and supported to make appropriate decisions within their role. Staff involvement to improve service provision is welcomed and facilitated. Staff feel that their opinions are valued and are involved in service planning and reviews. Staff feel well informed of work issues outside of their control that impact on their working lives.

## 2.6 Learning and reflection

**What is it?** Learning and reflection activities are those which create, acquire and transfer new knowledge or skills, leading people to make changes which reflect their new knowledge and insights. This includes learning within working relationships and organisations, and across organisations working in partnership. Being open and honest are important values to facilitate learning. Reflecting on and sharing learning is critical to facilitate greater development and performance. “For GK, reflective practice can be described as a careful and critical consideration of actions before, during and after events, and the subsequent learning gained from this (Bassot, 2015; Schon, 1983).” (Golden Key, 2018)

**Why is this important (assumption)?** Learning and retaining a curious approach are the precursors for recognising unhelpful assumptions and facilitating continuous improvement. A complex changing system needs to build learning to be able to respond and adapt to changes. Developing information flows and feedback loops is believed to support elements within a system to better respond to the unpredictability of changing complex systems (see also Whole system approach).

**What does it look like (change outcomes)?** Creating safe supportive spaces for learning and knowledge sharing, changing and introducing new information flows and feedback loops. Evaluation activity taking place to understand whether and how interventions/changes are working. Processes, systems and

structures embedded to support learning. A culture which values learning, people accept mistakes and value learning from these to develop and improve. Evidence of changes and improvements made from prior learning. Appetite for and frequent activities arranged to learn from others (people, organisations, systems, contexts, disciplines), and to share own learning. Problem solving, and experimentation activity (e.g. pilots, small scoping or development projects).

## 2.7 Diversity of perspectives and experience

**What is it?** This involves combining multiple personal and professional perspectives and experiences on issues and promoting diverse and inclusive environments, where leadership and influence is widely distributed and where front-line workers feel valued and empowered.

**Why is this important (assumption)?** In complex systems no individual, organisation or group has a comprehensive oversight of the issues or the capacity and resources to respond unilaterally. By drawing together diverse perspectives it is possible to make better informed decisions, take account of unintended consequences, engender the support and commitment of key stakeholders and develop a sense of shared ownership of activities/initiatives.

**What does it look like (change outcomes)?** This is demonstrated through the diversity of GK teams and groups in terms of personal characteristics (age, gender, race, sexual orientation, disability, background, etc.) as well as professional expertise (sectors, organisations, professions, seniority, etc.). It also relates to the involvement of 'experts by experience' as outlined above (Services informed by MCN lived experience) and offering genuine opportunities for leadership and influence at all levels.

## 2.8 Partnership working

**What is it?** GK is founded on the principle of inter-organisational collaboration and a commitment to working in partnership across boundaries in order to address a shared purpose.

**Why is this important (assumption)?** Forums for collaboration and decision-making across the various service pathways are necessary, as MCN clients require a coordinated response from housing, mental health, criminal justice, addictions, and health services. It is important to establish governance and operating structures that span organisational and sector boundaries, to address the siloed-nature of funding and 'revolving doors' delivery of service for people with multiple complex needs.

**What does it look like (change outcomes)?** Active and enduring partnership structures which seek to find collective solutions, as well as more informal and emergent forums (such as the creative solutions board, PIE events and specific projects/initiatives). Within any strand of GK activity it would be expected that representatives from multiple groups, agencies and/or organisations are present and working on common issues with shared: purpose, agendas, ownership and accountability.



## 2.9 Whole system approach

**What is it?** A whole system approach applies principles of ‘systems thinking’<sup>2</sup> to mobilise change in ‘complex adaptive systems’. Rather than breaking issues down into component parts, an attempt is made to understand them holistically in order to recognise how activities, behaviours and relationships in one part of the ‘system’ impact upon activities, behaviours and relationships elsewhere. A key principle of systems change is to ‘*connect the system to more of itself*’ (Rogers, 2016).

**Why is this important (assumption)?** There are a multitude of factors that contribute towards MCN and the services and support available. Whilst housing, health, criminal justice, drug and alcohol support and other services may be structured, funded and delivered through different pathways and organisations, there is widespread awareness of the interdependencies and interconnections between them. The wider context in which such services operate is also important, with local and national policy and practice both directly and indirectly impacting upon the experiences of, and outcomes for, MCN clients and providers. Taking a whole system approach involves better understanding the causes and effects at play, ‘joining up’ different parts of the system, and then developing effective (often preventative) interventions in a connected way. This is closely related to interpersonal relationships, diversity of perspectives and experience, and partnership working.

**What does it look like (change outcomes)?** A whole system approach is demonstrated where GK has actively built and extended networks into new areas in order to better understand and address issues related to MCN and to mobilise system change. Such activities include building relationships and alliances with stakeholders and partners beyond the GK partnership; collaborating with public, private and community sector organisations that are not directly involved in MCN services; engaging with projects and initiatives beyond the Bristol region; sharing learning and insights about systems change more broadly. A focus on sustainability and adaptability is also important, especially where it enhances the strength of trust and connectedness of the wider system. A whole system approach is characterised by a tendency to ask big questions, review progress and capture and embed learning.

## 3 Targeted activity

GK have initiated a broad range of activities, these are categorised as follows:

- **MCN Service user targeted activity** – activities which primarily intend to achieve change for specific MCN individuals (e.g. the Service Coordinator team, Housing First)
- **Systems change targeted activity** - activities which primarily intend to achieve other change outcomes (as below) which may subsequently lead to impact.

Each of these relates to tangible workstreams that will be explored through the local evaluation to identify steps and mechanisms towards impact. Within the systems change area we have distinguished between activities aimed at:

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<sup>2</sup> “Systems thinking is a discipline for seeing wholes. It is a framework for seeing inter-relationships rather than things, for seeing patterns of change rather than static ‘snapshots.’” Peter Senge - <https://www.youtube.com/watch?v=HOPfVVMCwYg>

- **Bristol service providers** – including but not limited to members of the GK partnership
- **Bristol MCN population** – extending beyond the specific individual identified in the first area
- **Bristol service users** – extending beyond clients with MCN to the wider population of service users
- **Bristol citizens** – including those who live and/or work in the City but who may not directly access services themselves.

By differentiating these forms of intervention, we aim to focus data collection and analysis for the local evaluation on an illustrative cross-section of activities that best illustrate and test the impact of GK in different areas.

## 4 Change outcomes

The outcomes dimension of the Phase 4 local evaluation framework covers intermediate changes for individuals, organisations and the wider ‘system’ that, through the evaluation, can be attributed to or associated with various strands of GK activity. These may contribute towards or lead to impact for service users and the wider community. Capturing these intermediate change outcomes supports the evaluation to track causal links between GK’s activity and capture any associated impact.

### 4.1 Changes in individual workers

The evaluation will be looking for evidence of tangible changes **at an individual level** in the values, behaviours, beliefs, skills and/or knowledge of individuals. These may be people involved in MCN service provision or other aspects of GK activities. Such changes may precede measurable impacts for service users and are key features of the systems change work of Golden Key. Individual behaviour change for operational staff may affect the service that they individually provide (e.g. service ‘flex’) and their contribution to the organisation’s policies and processes. Individual change at a leadership level may lead to more significant and enduring change in service provision.

### 4.2 Coordination/structural changes within organisations

The local evaluation will be looking for evidence of tangible changes to the structures, processes and/or practices **within organisations** with regards to their service provision to MCN clients and/or work in the wider system. Changes in values, behaviours, beliefs, skills and/or knowledge of individuals and teams involved with GK may lead to changes in the coordination and structuring of services and support for MCN clients and others. Involvement in GK initiatives may lead to direct changes in the coordination and structuring of services and support for MCN clients and others. Also, within and between partners structural changes may be made that enable decision making authority to be devolved to appropriate service levels.

### 4.3 Coordination/structural changes between organisations

The evaluation will be looking for evidence of tangible changes to the structures, processes and/or practices **between GK partner organisations and beyond**, in the coordination and structuring of services and support for MCN clients and others across the wider system. This may be initiated through preceding change at an individual level or within an organisation, or from a specific GK initiative to develop inter-organisational collaboration and service change.

## 5 Impact

The impact dimension of the framework covers the ultimate change that GK intends to achieve.

### 5.1 Specific MCN individual outcomes

Impact on outcomes for **specific MCN individuals**, e.g. GK clients. This will generally relate to individual people who we could name or point at (though that wouldn't be ethical or polite!). Impact for specific individuals is likely to be supported by GK Service Coordinator activity or service flex. Evidence of change for GK clients is supported by the standard outcomes and service use data collection for the programme.

### 5.2 Bristol MCN population outcomes

Changes which may extend to the **entire MCN population in Bristol** (or potentially beyond where service boundaries differ). Impact for the wider population of MCN service users in Bristol is likely to be supported by changes to service provision. This group is not well defined presently. GK are working with Bristol City Council to collect further data to describe and understand the population.

### 5.3 Bristol service user outcomes

Changes which may extend to **other service users in Bristol** (or potentially beyond where service boundaries differ). Impact for other service users in Bristol is likely to be supported by changes in specific service pathways. For example, the trusted assessment process may have a beneficial effect not only for MCN service users also any other service users going through the housing assessment process in Bristol.

### 5.4 Bristol citizen outcomes

Changes which may extend to **any citizen or groups of citizens in Bristol**. For example, changing how staff in a café respond to people with MCN may also change how the staff/customers feel and behave in that space or beyond, or how reducing levels of anti-social behaviour may improve social and economic outcomes in various parts of the city.

## 6 References

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## 7 Appendix 1 – Initial 2015 Local Evaluation Framework

Pathway	Behaviours	Processes	Outcomes	Impacts
<i>Client experience and wellbeing</i>	<ul style="list-style-type: none"> <li>• New staff skills</li> <li>• New roles e.g. peer support/IF</li> <li>• New forms of coordination</li> </ul>	<ul style="list-style-type: none"> <li>• Psychologically Informed Environment</li> <li>• Personal budgets</li> <li>• Telling your story website</li> <li>• Peer learning</li> </ul>	<ul style="list-style-type: none"> <li>• Client trust and confidence</li> <li>• Greater learning and sense of control</li> <li>• Greater capabilities</li> <li>• New ways of accessing services</li> <li>• Client involvement in planning and delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Changes in life choices</li> <li>• More self determination</li> <li>• Fewer crises</li> <li>• Access to housing</li> <li>• Access to employment routes</li> <li>• Better physical and mental health</li> <li>• Access to benefits and safe income</li> </ul>
<i>Systems change amongst providers and key stakeholders</i>	<ul style="list-style-type: none"> <li>• Strategic management, Improved coordination</li> <li>• Appropriate leadership</li> <li>• Suitable resourcing</li> <li>• Action learning</li> </ul>	<ul style="list-style-type: none"> <li>• New work practices</li> <li>• Staff development and training</li> <li>• Skilled and committed staff – less burnout</li> <li>• Multi-disciplinary teams</li> </ul>	<ul style="list-style-type: none"> <li>• New commissioning priorities</li> <li>• Interagency coordination</li> <li>• Effective staff and management cadre</li> <li>• More efficient and collaborative agencies</li> <li>• Improved understanding of needs and behaviours building on PIE</li> </ul>	<ul style="list-style-type: none"> <li>• More accessible and responsive services</li> <li>• Public finance costs reduced – A&amp;E, Courts etc</li> <li>• New systems established &amp; embedded</li> <li>• GK model disseminates &amp; becomes the 'standard'</li> </ul>
<i>Citywide engagement and change</i>	<ul style="list-style-type: none"> <li>• Recruit community and business champions</li> <li>• Political champion/s</li> <li>• Strategic engagement of Board</li> <li>• Active peer engagement</li> </ul>	<ul style="list-style-type: none"> <li>• Stereotypes challenged</li> <li>• Key city stakeholders on board</li> <li>• Volunteer engagement</li> </ul>	<ul style="list-style-type: none"> <li>• New social &amp; support networks</li> <li>• New patterns of resourcing and investment – e.g. in housing</li> <li>• New economic activities emerge</li> </ul>	<ul style="list-style-type: none"> <li>• City wide responsiveness to multiple/ complex needs</li> <li>• New assets and capabilities</li> <li>• Embedded cultural change</li> <li>• New forms of economic activity</li> <li>• New 'multiple needs' policies &amp; commissioning practices in place</li> </ul>

UWE, May 2015

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