

Public services boards: guidance on the use of evidence and analysis

Contents

1. Introduction	2
Background and Purpose.....	2
Terms of reference.....	3
2. The roles of data	5
The overall role of data.....	5
A common data set for Situation Analysis.....	6
Data in the Response Analysis.....	8
The use of qualitative evidence.....	8
3. The roles of citizens.....	10
Considerations for engaging citizens.....	11
Types of evidence obtained from Citizens.....	13
Methods.....	15
4. Developing an evaluative approach to evidence.....	16
Context for the evaluative approach.....	16
Building the evaluative approach.....	17
The Situation Analysis and assessment of local well-being	18
The Response Analysis and development of the local well-being plan.....	19
RA1 Understanding Outcomes.....	20
RA2 and RA3: Linking interventions to outcomes.....	21
5. Skills, capacity and quality assurance.....	24
6. Resources and links.....	26
Annex A.....	29

1. Introduction

Background and Purpose

This non-statutory Guidance is intended to assist public services boards (PSBs) and their invited participants and other partners in using evidence and analysis effectively in preparing their assessments of local well-being, and local well-being plans. These are required by the Well-being of Future Generations (Wales) Act 2015 (herein 'the Act').

The starting point for producing the Guidance was the Welsh Government's interim evaluation of the Single Integrated Plans (SIP) in 2013 <http://gov.wales/statistics-and-research/evaluation-single-integrated-plans/?lang=en>¹. This evaluation identified the main lessons learned around the production of the needs assessments underpinning the SIPs, many of which are equally pertinent to the assessments of local well-being and local well-being plans. Among the concerns identified were:

- variability in the quality of analysis - this was partly attributed to workload and time pressures and partly to limitations on skills and capacity;
- needs assessments focused mainly on describing and setting out the social and economic situation to identify local priorities (the so-called 'situation analysis'). There was relatively little focus on identifying how to address these priorities and whether efforts to date had been successful (the so-called 'response analysis');
- heavy reliance on quantitative evidence, with a relative lack of qualitative evidence to develop explanations and explore causes;
- lack of clarity around the engagement of citizens in the needs assessment process - in terms of who, when, for what purposes and how best to engage;
- challenges around the application of outcomes-based approaches, such as Results-Based Accountability; and
- ongoing limitations on analytical capacity in Welsh public services, particularly in relation to evaluation.

The process for preparing assessments of local well-being and local well-being plans offer an opportunity to address (at least partly) some of these challenges and develop more robust and constructive ways of using evidence and analysis. It is hoped this Guidance will play a prominent role in steering this work.

For public services boards, their invited participants and other partners, the aims of the Guidance are to:

- 1) make recommendations on the type and level of analytical input necessary to produce a rigorous assessment of local well-being and local well-being plan;

¹ Broomfield, J. and Lezerad, A. (2013): Evaluation of Single Integrated Plans. Welsh Government, pp 65

- 2) identify aspects of the use of evidence and analysis which are likely to involve some development of skills (e.g. skills in the use of evaluation tools; skills in facilitating discussions about the interpretation of evidence and how to act upon it) and approaches to the use of evidence; and
- 3) assist with the planning of assessments of local well-being and local well-being plan – e.g. by identifying the need for particular analytical skills.

For the analysts and others involved in overseeing and producing the assessments of local well-being and local well-being plans, the Guidance aims to:

- 4) offer advice on the general approach, focusing on aspects which have historically proven challenging (e.g. the use of qualitative evidence);
- 5) explain the rationale for working towards the creation of a common data set and a more consistent approach to the use of data;
- 6) offer advice on why, when and how to incorporate evidence sourced through citizen engagement; and
- 7) help make the case for a different way of working with evidence and the development of skills to facilitate it.

Taken together, these main aims contribute to an overall purpose, which is: **to ensure the role of evidence, analysis and research is given adequate consideration in assessments of local well-being; and give evidence and analysis a proportionate influence over how local well-being plans are developed, implemented and reviewed.**

By offering practical advice and discussing reasonable expectations, it is hoped this Guidance will make an important contribution – not only to improving the way evidence is used to inform the identification of local priorities but also to the choice and design of interventions put in place to deliver them.

Terms of Reference

It is important to articulate clearly the terms of reference for this Guidance, which will help users to understand its role and get the best value from it. Unlike the guidance issued to PSBs under section 51 of the Act and issued to community councils under section 40, this guidance is non-statutory.

The principal audiences for this Guidance are 1) the individuals or groups responsible for producing the assessments of local well-being and local well-being plans in each area; and 2) the PSBs and their invited participants and other partners, for whom the Guidance will help to build an understanding of the type and level of analysis involved in producing robust assessments and plans.

The Guidance relates only to the use of evidence and analysis. It is not, in itself a guide on how to produce the assessment of local well-being or how to incorporate evidence into the local well-being plan. That said, it is essential to recognise the relevance it will also have in relation to the Social Services and Well-being (Wales)

Act 2014. This Act places a duty on local authorities and Local Health Boards to jointly carry out an assessment of care and support needs (including the support needs of carers). The first population assessment report must be produced by April 2017. The Well-being of Future Generations (Wales) Act 2015 places a duty on each PSB to take the population assessment into account in preparing its assessment of local well-being.

Whilst this Guidance makes recommendations on the use of evidence and analysis, local discretion over how assessments of local well-being are approached is clearly very important. The Guidance is also generic and avoids discussing analysis of individual topics or subject areas - which could quickly become outdated or inaccurate. The intention, by focusing on analytical approaches and methods rather than specific topics, is to produce guidance that will apply to any subject matter at any point in time.

Finally, this Guidance has been drafted in close collaboration with a cross-public-sector Working Group (see Annex A), to ensure it addresses relevant considerations and makes workable recommendations. The intention is to regularly review the Guidance in this collaborative manner, to maintain its relevance and timeliness. As such, the Guidance will evolve as lessons and feedback are taken on board.

The approach to the use of evidence and analysis set out in this Guidance has an underlying premise. We suggest the balance of effort should move away from the analysis used to identify broad priorities (termed herein as **Situation Analysis**) towards the more critical, evaluative use of evidence to understand how and why interventions work and how they will contribute to an area's local well-being objectives now and in the future (termed herein the **Response Analysis**).

This in no way downplays the importance of a robust Situation Analysis. Indeed it recognises that such a shift in emphasis is likely to be challenging and will demand a broader range of skills. This may entail more than a simple re-direction of existing analytical resources.

The Guidance also recommends an iterative approach. It is unlikely that all the information needed to understand a locality will be available at the time the analysis is completed and published. The analysis will highlight numerous information/intelligence gaps that should be addressed through further research. assessments and plans should be amended and expanded as and when these evidence gaps are addressed or new information comes to light. In turn, there should be regular communication of these developments to PSBs, to ensure their potential implications for local priorities are understood.

2. The Roles of Data

The overall role of data

It would be difficult to overstate the role of data in any assessment of local well-being and development of the local well-being plan. Data are instrumental in several ways, particularly in allowing us to identify the economic, social, environmental and cultural characteristics of an area; how these vary over time and space; and how they compare to other areas. Performance and monitoring data could also be important in understanding the activities and services provided in an area and how well they are meeting needs.

A wide-ranging set of national indicators is being developed to support the implementation of the Act, which will be a very useful starting point for the assessment of local well-being.

The Commission on Public Services Governance and Delivery², Chapter 6 - Performance and Performance Measurement - outlines the complexity and overlap in the range of indicators used across organisations, strategies and plans. It also highlights the tendency to measure the outputs and processes relevant to organisations, rather than outcomes which are shared across the public sector.

Section 6.60 recommends that:

‘...there should be a clear and concise set of outcome measures, with milestones and targets where appropriate, agreed between the Welsh Government and each local service board and based on that area’s single integrated plan.’

These observations are certainly pertinent to the needs assessments underpinning the Single Integrated Plans. Among the issues identified around the use of data in these needs assessments were:

- the volume and wide range of indicators being used;
- lack of consistency in the use of data, even within very narrow topic areas;
- inability to compare and benchmark between areas; and
- the level of demand placed on limited analytical resources.

Clearly, the assessments of local well-being could also be affected by these issues, making them important ones to discuss and offer advice on within this Guidance.

Data, it could be argued, should have two distinct roles:

² <http://gov.wales/topics/improvingservices/public-service-governance-and-delivery/report/?lang=en>

1. To paint a broad picture of well-being within PSB areas, such that potential priorities for an area's local well-being plan can be identified (the **Situation Analysis**).
2. To contribute to the evaluative analysis of individual issues or themes within areas to inform the development of the local well-being plan (the **Response Analysis**). This analysis would:
 - enrich understanding of the factors that affect issues within areas;
 - develop the understanding of how, and to what extent, existing services³ are addressing those issues;
 - help to identify and appraise alternative approaches to service delivery; and
 - consider how future economic, social, environmental and cultural, trends will affect local areas.

Compliance with data protection legislation and obligations of confidentiality is beyond the scope of this non-statutory guidance. PSB members and other bodies involved in producing assessments will need to take their own legal advice to ensure they comply with their obligations. However, those involved in that process will need to ensure they comply with any applicable obligations in controlling, processing and using data relating to individuals. These considerations should be borne in mind wherever data relating to individuals is involved.

A common data set for Situation Analysis

Whilst there is a strong argument for local discretion around the use of data in the **Response Analysis**, there is an equally strong argument for a degree of standardisation around painting the broad picture of an area's well-being through the **Situation Analysis**. It is for this reason we argue for the establishment of a common data set, which would be assembled and made freely available to PSBs, for the primary purpose of compiling and updating their assessments of local well-being.

Considerations around how to resource the creation and maintenance of a common data set aside, there are numerous arguments supporting the proposition:

- more efficient use of analytical resources – the identification and sourcing of data for needs assessments and similar exercises has historically been carried out locally, resulting in unnecessary duplicated effort. A core data set would reduce this burden significantly, freeing up a proportion of analysts' time to focus on developing the Response Analysis;
- reducing the burden on data suppliers – if a core data set would satisfy a significant proportion of data needs, this would serve to reduce the burden on

³ The term 'services' should be taken to include the full range of initiatives and interventions taking place in an area (e.g. services provided by the Third Sector and the management of ecosystems), not only services with direct interactions between citizens and public bodies.

the main suppliers of indicators in Wales, such as the Public Health Observatory;

- managing the scale of the task – if the aim of a situation analysis is to paint a broad picture of an area’s well-being to identify priorities, there are arguably diminishing returns in extending the analysis beyond a set of well-defined data items which track economic, social, environmental and cultural trends. As a point of reference, analysis of the of the SIP Needs Assessments conducted by the Local Government Data Unit in 2014, which examined the use and recurrence of data, suggests somewhere between 50 and 75 components would be appropriate for a common data set; and
- improving comparability and consistency - comparability between PSB areas, and areas outside Wales for example, can be better supported if the selection of data is based on criteria that permit comparability and benchmarking.

At the same time, it is important to make clear what the intentions behind establishing a common data set would be.

- the common data set would aim to draw from established indicator sets and outcomes frameworks and the data already used by the boards’ member organisations, to avoid creating further complication;
- it would make sense if the national indicator set being developed for the Act is the starting point for a common data set. This would help to ensure consistent data use around core well-being themes;
- the common data set would not aim to be exhaustive. It would be necessary to supplement it with other sources and types of data, to ensure assessments are balanced and relevant to local circumstances. This would need to be determined locally; and
- whilst the common data set would be shared in a consistent format across all PSBs, it would not preclude the sharing of local data between areas, which will assist with comparison and benchmarking.

Whilst this guidance does not go as far as outlining specific proposals for the content of a common data set, it suggests the following criteria would be applied.

The data should be:

- sufficiently robust - ideally having National Statistics status wherever possible;
- as timely as possible;
- available at local authority level as a minimum;
- comparable across areas; and
- made publicly available to open up the possibilities for open data applications, for example.

Data in the Response Analysis

The role of data in shaping the **Response Analysis** is complicated and multi-faceted. The data themselves may take many different forms and local context will affect what data are used and how. It is difficult, therefore, to make generalisations. There are, nevertheless, some overriding considerations applicable to both Situation and Response Analysis:

1. *Developing explanations and exploring causes* – data in themselves (taken to mean quantitative data in this instance) will only ever provide a partial picture. Data are strong in terms of describing and tracking *what* has taken place, but are comparably limited in developing explanations, exploring causes and identifying contextual factors – areas in which qualitative evidence is stronger. A balanced Response Analysis should, therefore, incorporate some form of qualitative evidence alongside quantitative data, or at the very least use a range of data to analyse issues from various perspectives.

2. *Interpretation of data* – it is well beyond the scope of this Guidance to discuss the analysis and interpretation of data in any detail. But it is important that appropriate standards, practices and legal obligations are upheld, to avoid any misinterpretation, misuse or misunderstanding of the data. Among the main considerations are:

- appropriate use of time series data – e.g. examining longer-term trends wherever possible, to avoid misinterpreting shorter-term fluctuations in data;
- making clear the context, limitations and timeliness of the data used;
- making clear the level of uncertainty around estimates;
- being clear about sample or population sizes;
- differentiating significant from non-significant differences;
- referencing appropriate benchmarks or comparators where appropriate; and
- discussing the geographical coverage of data.

The use of qualitative evidence

It must be acknowledged that incorporating qualitative evidence is not without its challenges, not least in terms of assuring quality and validity, the costs and timescales of collection, and the skills required to utilise such evidence. The capacity to use qualitative evidence alongside quantitative data should be viewed, therefore, as a longer-term challenge.

But this should not discourage attempts to utilise qualitative evidence, even if this initially means small-scale research activities or focusing on a narrow range of topics to manage costs and develop skills gradually. Moreover, the delivery of public

services often presents opportunities to gather qualitative evidence or generates qualitative evidence through interactions with service users (e.g. social care assessments, hospital admissions and discharges). These opportunities should be explored fully.

Qualitative evidence is primarily concerned with understanding human behaviour from the perspective of an informant or informants. Collecting good quality, 'primary' qualitative evidence can be costly and time-consuming and analysis needs to be approached very carefully to ensure the potential value of the evidence is realised. However, the value of secondary evidence should not be underestimated. For example published evaluations or research studies often include qualitative evidence and very often, the essence of the findings will be transferable and negate the need for conducting costly primary research locally.

There are potential benefits for both the Situation and Response Analysis. Some of the main uses of qualitative evidence would include:

1. *Adding context to quantitative data* – qualitative evidence can be used to give context to quantitative data and help to communicate the 'story' of the data to practitioners, policy-makers and the public (Situation).
2. *Understanding needs and desires* – exploring the attitudes of the public, service users and practitioners towards well-being and local services, to identify considerations for service design (Situation).
3. *Obtaining feedback and testing ideas* – for example using qualitative evidence to assess the feasibility of different options for service delivery and evaluating new models and pilots (Response).

Considerations around the quality assurance of analysis, both quantitative and qualitative, are discussed in Chapter 5. For both forms of evidence, however, one of the paramount concerns should be around the grading of evidence sources, as not all sources are equally valid and reliable, and not all sources should be weighted equally in an assessment. Further guidance on grading evidence, or the 'Hierarchy of evidence', can be found in the Resources and Links section.

3. The Roles of Citizens

Citizen involvement, or engagement, is acknowledged as being central to the design and delivery of public services. Engagement/involvement is one of five things that public bodies need to show that they have applied the Sustainable Development Principle, under the Act. The definition of citizen engagement employed by Participation Cymru is useful in the context of the assessment of local well-being and local well-being plan. The definition emphasises the different points at which evidence from citizens could make a contribution to improving local well-being.

‘An active and participative process by which people can influence and shape policy and services that includes a wide range of different methods and techniques.’ (Participation Cymru).

From an evidence and analysis point of view, the data and information sourced through engagement should be fundamental to any assessment of local well-being. Indeed, if the assessments, and in turn plans are to truly “*include an analysis of the state of well-being of the people in the area*” and put people at the centre of service design and delivery, this should begin by putting people at the centre of the assessment which informs the identification of local priorities for local services and options for addressing them.

Data and information obtained from citizens will be vital in ensuring the assessments are balanced and able to contribute to a richer understanding of the issues on which decisions about public service delivery will be based. Please note the comments in relation to data relating to individuals earlier in this document.

It is recognised that the engagement or involvement of citizens is not an analytical consideration *per se*; the data and information derived from engaging with citizens overlaps with some of the other areas in the scope of this Guidance (principally the use of qualitative evidence and use of logical approaches for designing and assessing services).

As such, this section of the Guidance has a specific intention. It aims to describe some of the main considerations around citizen engagement and discuss them from an evidence and analysis perspective. These considerations are an important prerequisite to understanding:

- where and how evidence from citizen perspectives will fit in to the assessment of local well-being;
- the different types of contributions citizens could make to an assessment; and
- the different forms of data and evidence citizens could contribute to an Assessment.

It is also important to clarify reasonable expectations in relation to citizen engagement.

It is reasonable to expect that boards will make attempts to:

- incorporate evidence obtained through direct engagement with local citizens. This should happen across as many areas of the assessment as possible and should incorporate various forms and uses of evidence, which might include:
 - providing context around the use and effectiveness of existing services for the **Situation Analysis**; and
 - exploring possible options for re-designing or developing new service models in the **Response Analysis**.
- present this evidence alongside other sources to produce a balanced, rounded assessment and plan;
- influence and shape existing citizen engagement activities to enhance the quality of evidence they are able to contribute;
- incorporate secondary sources of evidence where they contain information derived from citizen engagement (e.g. evaluation reports which have engaged service user groups, surveys); and
- be clear on the reasons why citizen perspectives are not taken into account.

It is not reasonable to expect that:

- citizens would be directly engaged on all aspects of assessments of local well-being and local well-being plans. Indeed the objective should not be to increase the volume of engagement for its own sake, but to incorporate as much meaningful, good quality evidence on citizen perspectives as possible;
- all available evidence obtained through citizen engagement/involvement will be of sufficient quality and validity to inform the Assessment and Plan; and
- the analytical capacity to collect, analyse and utilise the evidence obtained through citizen engagement can easily be increased to meet additional demands. The development of skills and capacity would clearly need to be gradual.

Considerations for engaging citizens

Evidence derived through engaging with or involving citizens should not be premised on a simple deficit model that identifies gaps that need to be filled. Evidence should also reflect the utilisation of the assets citizens can contribute. With this in mind, citizen engagement should aim to capture:

- citizen values, aspirations and priorities;

- citizen needs - insight into the needs they and their communities encounter within daily life and what the best solutions may be; and
- citizen assets - what people can and already contribute for themselves, their families and communities, such as self-care and management, citizen and community action and volunteering.

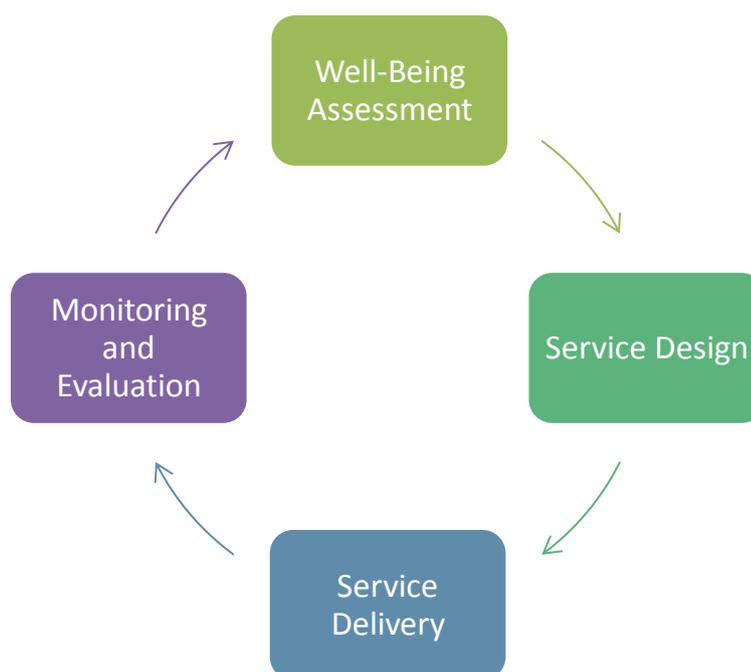
It is also important, from the point of view of assessing well-being, to consider what is meant by 'citizen', which must encompass a broader definition than service users. As people, our experience of well-being is multi-dimensional and can be categorised as follows:

- **consumers** of services e.g. individuals and families;
- **place-makers**, living in a particular locality e.g. town and community councils, local private sector, local third sector as well as individuals;
- **specialists** with an in-depth knowledge of a service area e.g. third sector organisations, private sector interests, expert patients and users of services;
- **deliverers** with knowledge of how the service impacts on the lives of others e.g. front line staff working across all the sectors.

Each of these constructs of citizenship has an important role to play in the collection and assessment of evidence. Assessments, therefore, will need to be mindful of what roles citizens are playing at the time of engagement and steer engagement activities to cater for evidence needs.

The figure below develops this idea further, providing a useful framework to inform the appropriate form of engagement.

Figure 1: The roles of citizens in the life cycle of services



Assessments of local well-being will primarily, though not only, be concerned with the first stage. The rationale for the inclusion of citizen data at this stage has been outlined above but good intentions in the past have often stalled due to lack of understanding as to how citizen data can be gathered in a coherent and statistically robust way. The following section, therefore, outlines the types of evidence that can be obtained through citizen engagement and suggests a logical approach to maximising their value.

Types of evidence obtained from Citizens

This Guidance recognises that the embedding of citizen data into the preparation of assessments of local well-being will take time to establish. Nevertheless establishing a clear framework for the collection of evidence from citizens should be established from the outset.

Three main types of citizen data are:

Insight (the story behind the data).

Citizens have insight into the needs they and their communities encounter within daily life. This type of data can add context to statistical trends and may, for example, explain a particular statistical anomaly due to local circumstances.

Participative data (assets that empower citizens to participate in service delivery)

As mentioned earlier, citizen engagement should not be premised on a simple deficit model that identifies gaps that need to be filled, which is an important distinction in an analytical context. Citizens have networks, personal assets and access to local physical assets that could be utilised. Social capital, community action and volunteering, offer significant contributions to achieving the Well-being Goals.

An example of good practice in this area is an interactive tool developed by the Public Health Wales Observatory, which shows indicators of health assets for small areas in Wales. The tool can be used to inform and support community work aimed at improving health. Please find a link to the tool on the website here:

<http://howis.wales.nhs.uk/sitesplus/922/page/63326>.

Where the assessment of local well-being is concerned, citizen engagement provides opportunities for human and physical assets to be identified more systematically and robustly and deployed in an aspirational way (i.e. to contribute to the rationale and design of service delivery models), rather than a reactive way, to meet the Well-being Objectives and Well-being Goals.

Service user quantitative data

Third sector and other agencies often collect quantitative data from citizens to inform their own activities. If these data are sufficiently robust and relevant, they can provide useful context to shape service delivery at the local level. Moreover, the

vehicles used for collecting these data can potentially be modified or shaped as a cost-effective means of obtaining the required evidence.

The following table provides a frame within which the types of citizen data can be gathered. It ensures a comprehensive coverage of types of citizens, mapped against the types of citizen data.

Table 1: Types of Citizen Data by Citizen Group

	Insight	Participative	Quantitative
Consumers	Service user surveys. Ethnographic studies e.g. consumer stories	People-centred approaches and personalised services.	Data gathered from citizen-delivered services - numbers using service, geographical spread, age profile etc.
Place makers	Locality-specific case studies and impact assessment.	Information about local assets, both human and physical. Ideas for how to deploy assets and the support needed.	Locality-based data gathered through community plans or similar exercises.
Specialists	Insight into technical or lived experience impacts of service delivery.	Thematic assets including specialist skills.	Data from specific groups of citizens with common needs or aspirations.
Deliverers	Experience from day-to-day contact with citizens and understanding of their needs and aspirations.	New ideas arising from reflection of impact of services on citizens.	Data from use of existing services – gaps and trends.

Table 1 is an idealised framework within which a comprehensive analysis of citizen data could be conducted. It is unlikely that all dimensions will be covered in the first assessments of local well-being but, by adopting this broad approach, boards can strive for year-on-year improvement in the scope and depth of citizen engagement and the use of the evidence obtained through it in assessing well-being.

Methods

PSBs will aspire to use best practice as well as develop innovative approaches in the collection of citizen data. Participation Cymru can provide advice and training on a range of different methods for collecting robust citizen data. The PSB areas' County Voluntary Councils (CVCs) will be able to offer training and support around engagement and the collection of citizen data. Other key sources of help and guidance include:

Within the organisations making up PSBs there will be a wealth of expertise and experience in citizen engagement. Many already have Citizen Engagement networks via which practitioners can share information and resources.

Public bodies should be signatories to, and using, the National Principles for Public Engagement in Wales, endorsed by the First Minister of Wales on behalf of the Welsh Government. <http://www.participationcymru.org.uk/national-principles>.

Those engaging with children and young people should be working to the Participation Standards for Children and Young People in Wales: <http://www.participationworkerswales.org.uk/resource-document/national-participation-standards/> . All partners, including third sector partners must have robust data sharing policies in place, especially if using personal data to provide insight and case studies.

Citizen engagement should be an on-going activity, continuing into the cycles of service design and delivery, and monitoring and evaluation. A practical guide to effective citizen engagement, along with other useful resources can be found at <http://www.participationcymru.org.uk/national-principles/practitioners-manual-for-public-engagement>

Equality Impact Assessments require good evidence and analysis. The Equality and Human Rights Commission has developed materials to help those delivering public services make decisions in line with legal duties on eliminating unlawful discrimination, advancing equality of opportunity and fostering good relations on the basis of protected characteristics such as gender, race, disability or age: <http://www.equalityhumanrights.com/about-us/devolved-authorities/the-commission-in-wales/equality-impact-assessments> .

Evaluation of citizen engagement is important to ensure that learning can be applied in subsequent engagement. A participatory evaluation toolkit to evaluate against the National Principles for Public Engagement can be found at: <http://www.participationcymru.org.uk/national-principles/evaluation-toolkit>

4. Developing an evaluative approach to evidence

Context to the evaluative approach

As set out earlier, this Guidance is intended to steer PSBs towards an evaluative, evidence-based approach to assessments of local well-being and, in turn, local well-being plans.

This section of the Guidance describes how developing an evaluative approach could help PSBs to:

- better understand outcomes and the factors that influence them;
- map out logically how existing services and initiatives (herein interventions) are understood to work; how they are intended to deliver outcomes that improve well-being; and how they will contribute to well-being in the future;
- contribute to discussions around service design/re-design;
- assess the effectiveness of their interventions in a constructive way, which will identify learning and help services to improve;
- inform strategic commissioning across the PSB members; and
- produce a single 'version of the truth', with a common understanding from all partners, and a key strategic document across the whole locality.

It is suggested that PSBs should make some attempts to:

- use evidence and analysis in a challenging but constructive way, with the aim of improving well-being outcomes, both for current and future generations;
- engage PSB members and invited participants in meaningful discussions about what the evidence means and what actions, changes and responses it suggests. Ideally, such discussions should be led or facilitated by analysts or somebody skilled in the use and interpretation of evidence;
- place relatively more emphasis on the Response Analysis than the Situation Analysis, to ensure the bulk of analytical effort is channelled into maximising the effectiveness of interventions and understanding where interventions will have the greatest impact;
- better understand the attitudes, needs desires and potential contributions of citizens, to ensure the assessments are balanced and local well-being plans are focused on things that matter to people's well-being; and
- be at the centre of commissioning decisions: considerable scope exists to ensure the assessment of local well-being informs decisions on investment and decommissioning, as well as guiding improvements in service provision.

It would not be reasonable, however, to expect that:

- all, or even a large proportion of proposed steps are actually evaluated. It is more advisable to focus effort on identifying which proposed steps justify close examination and concentrate on evaluating them as robustly as possible. Moreover, there is no necessity for evaluations to be formal or externally commissioned exercises.
- the analysis should advocate far-reaching changes to service provision without strong justification. Indeed, it is recognised that the Local Well-being Plans will need to be designed and implemented around an existing set of plans and services. The Situation and Response analyses, therefore, will need to work with a set of interventions at different stages of development and with different levels of effectiveness.

An evaluative approach would ideally be constructed around the two main elements referred to throughout the Guidance, namely:

Situation analysis: the broad analysis of evidence on economic, social, environmental and cultural conditions in an area (local, regional or national), which will build an understanding and consensus on an area's context, issues and opportunities and inform the selection of the PSB's local objectives.

Response analysis: a more detailed analysis which will use evidence in a challenging, evaluative way to inform the selection of local objectives and assess how local services (in a collective sense) are, and could be, addressing them.

Building the evaluative approach

The following sections outline a suggested (although not prescriptive) model for the Situation and Response Analyses, with particular emphasis on the Response Analysis and the central role of a clear link between interventions and their outcomes.

There are numerous specific approaches PSBs could adopt (or have been developed and implemented already by LSBs) and this Guidance will not attempt to describe or appraise them. For the purposes of illustration, the Guidance is centred on a 'theory of change' and logic model approach, which has been used widely in the public services context, both for evaluation and service design and planning.

This **does not** mean that theories of change and logic models are the only approach recommended or that they are somehow better or preferable to other approaches. The overriding concern in selecting an approach is to identify one that examines explicitly the **causal links** between proposed steps and the well-being outcomes they are working towards. Theories of change and logic models are one way of

approaching this, but it is recognised that areas may have been developing approaches (e.g. Driver Diagrams, Results-Based Accountability, Contribution Analysis) which suit the particular needs of local partners and may already be achieving positive results. The main concern is to encourage all PSBs to work towards a challenging, outcomes-based approach and to use evidence and analysis constructively and effectively.

The Situation Analysis and the assessment of local well-being

The Situation Analysis will present evidence on the economic, social, environmental and cultural well-being of an area, to allow PSBs to identify local priorities and issues. It will, in turn, inform the areas of focus for the Response Analysis, which will ultimately inform the local well-being plans. It is important to emphasise that the Situation Analysis will not in itself identify the priorities; its intention will be to provide a structure and evidence base for the PSB, to support the decisions it needs to make regarding local priorities.

To this end, it would be helpful if Situation Analyses were focused and concise to draw PSBs' attention to the most pertinent evidence. The overriding objective of the Situation Analysis will be to form the basis of the assessment of local well-being and contribute evidence to help PSBs identify their priorities for the local well-being plan. More specifically the Situation Analysis should:

- build an understanding of local (and wider where appropriate) economic, social, environmental and cultural well-being conditions, drawing primarily on a common data set, but including additional data as required;
- consider, as far as possible, how economic, social, environmental and cultural well-being conditions are likely to change in future generations, which will give important context to the Response Analysis; and
- describe the local, regional or national policy context, where it is necessary to enhance the interpretation of the evidence.

The Situation Analysis should draw on a range of evidence sources using those most appropriate to the local context and the policies and programmes in operation. As a general guide, a robust Situation Analysis would draw from the following sources:

- secondary data (e.g. Census and official statistics) to describe the economic, social, environmental and cultural context, characteristics and history of an area;
- any credible research and analysis of, or relevant to an area's well-being, to include, for example, evaluations, ethnographic studies and case studies;
- any intelligence or qualitative evidence gathered from service user engagement, action learning on local issues or evaluations of services;
- citizen and service user surveys, including relevant national surveys;

- administrative data, which can offer important insight into the Well-being of client populations and sub-populations; and
- the statutory assessments which PSBs are obliged to have regard to in preparing their assessments of local well-being (see section 38(3) of the Act).

When preparing the Situation Analysis, it must be borne in mind that the assessment of local well-being should be geared towards both current and future generations. Where the available evidence allows and it is meaningful to do so, consideration of longer-term well-being should be integrated into the analysis (e.g. considering longer-term social trends and how these will affect the scale of the challenge in future).

The Response Analysis and development of the Local Well-being Plan

The Response Analysis is what should link the Situation Analysis to the local well-being plan – a critical step often missing from needs assessments in the past. The Situation and Response Analyses together would inform PSBs’ decisions on priorities for local action and provide a rational basis for devising effective strategies and actions to address them.

It is acknowledged from the outset that every PSB will have its own context, will start from its own baseline and will progress at its own rate. As such, it would not be advisable to set out detailed recommendations of what a Response Analysis should contain and how it should be constructed. There are, however, some basic elements which would help to ensure evidence is used in a more challenging, constructive and evaluative way: These would help PSBs to:

RA1. Better understand the outcomes they are/should be working towards and the contribution their interventions can make to them.

RA2. More objectively consider the range of options for addressing particular priorities.

RA3. Plan service delivery with a clearer idea of how particular activities and investments will translate into the desired outcomes, both in the short and long-term.

Using a theory of change and logic model approach as an illustration, the following sections describe and discuss how to approach these elements of the Response Analysis.

RA1 Understanding Outcomes

A thorough examination of outcomes will be fundamental to the development of any local well-being plan for numerous reasons:

- principally to explain how the outcomes embodied in an area's local well-being plan will relate to the Well-being Goals set out in the Act;
- to understand clearly what individual steps, and steps collectively, are working towards and how their 'success' will be assessed;
- to clarify the timescales over which outcomes could be realised and how short-term, intermediate and long-term outcomes may be linked;
- to develop an understanding of the different factors that may influence the outcomes and, in turn, understand the influence of particular interventions.

In practical terms, this would involve PSBs doing the following:

1. for each of the priorities identified by the PSB as local objectives, there needs to be consensus on the desired outcomes and an attempt to understand what progress can be expected in the short, intermediate and long-term;
2. for each of the priorities identified by the PSB, there needs to be consideration of the causal links between the interventions and outcomes, which in turn should relate to an area's well-being objectives and the national well-being goals;
3. discuss, as far as possible, what is known about the outcomes in question. In particular, it will be important to establish if and to what extent public service interventions can influence them and what other factors may influence them. This should allow for a reasoned judgement on the appropriateness of the intended outcomes;
4. consider the evidence required to demonstrate the outcomes (e.g. are there established outcome indicators?), which will guide monitoring and tracking arrangements and identify particular challenges or gaps in current evidence; and
5. map the existing interventions working towards these outcomes in the locality.

In terms of how to approach this, a combination of desktop research (drawing on existing research to build up a picture of the outcomes) and focused discussion with partners to reach consensus would be necessary. Realistically, the exercise would not entail a wholesale re-think of outcomes, especially where the links are well established. The aim should be instead to develop a richer understanding of outcomes, in order that changes can be understood in their full context (e.g. understanding what is driving the change in a particular outcome and how much of this change was probably caused by the intervention). Techniques which focus on identifying perceived causes, such as theories of change, Driver Diagrams and Contribution Analysis would lend themselves well to the task.

The information provided by the Situation Analysis will hopefully have given some indication of the effectiveness of key activities in the previous plan, and highlighted where further questions need to be asked. It should have identified which

approaches are working, to what extent and why, and which issues require different/additional interventions or support.

RA2 and RA3: Linking interventions to outcomes

Example using theories of change and logic models

One of the key challenges with historical approaches to needs assessment and integrated planning has been in making explicit links between what the evidence is saying and how local partners might respond to it. With this in mind, this section of the Guidance describes a simple, logical approach, which is derived from theory-based evaluation but used increasingly for devising policy, designing programmes and shaping service delivery. This approach is also compatible with the asset-based approaches to citizen involvement discussed in Chapter 3. In brief, a logic-based approach would help PSBs to:

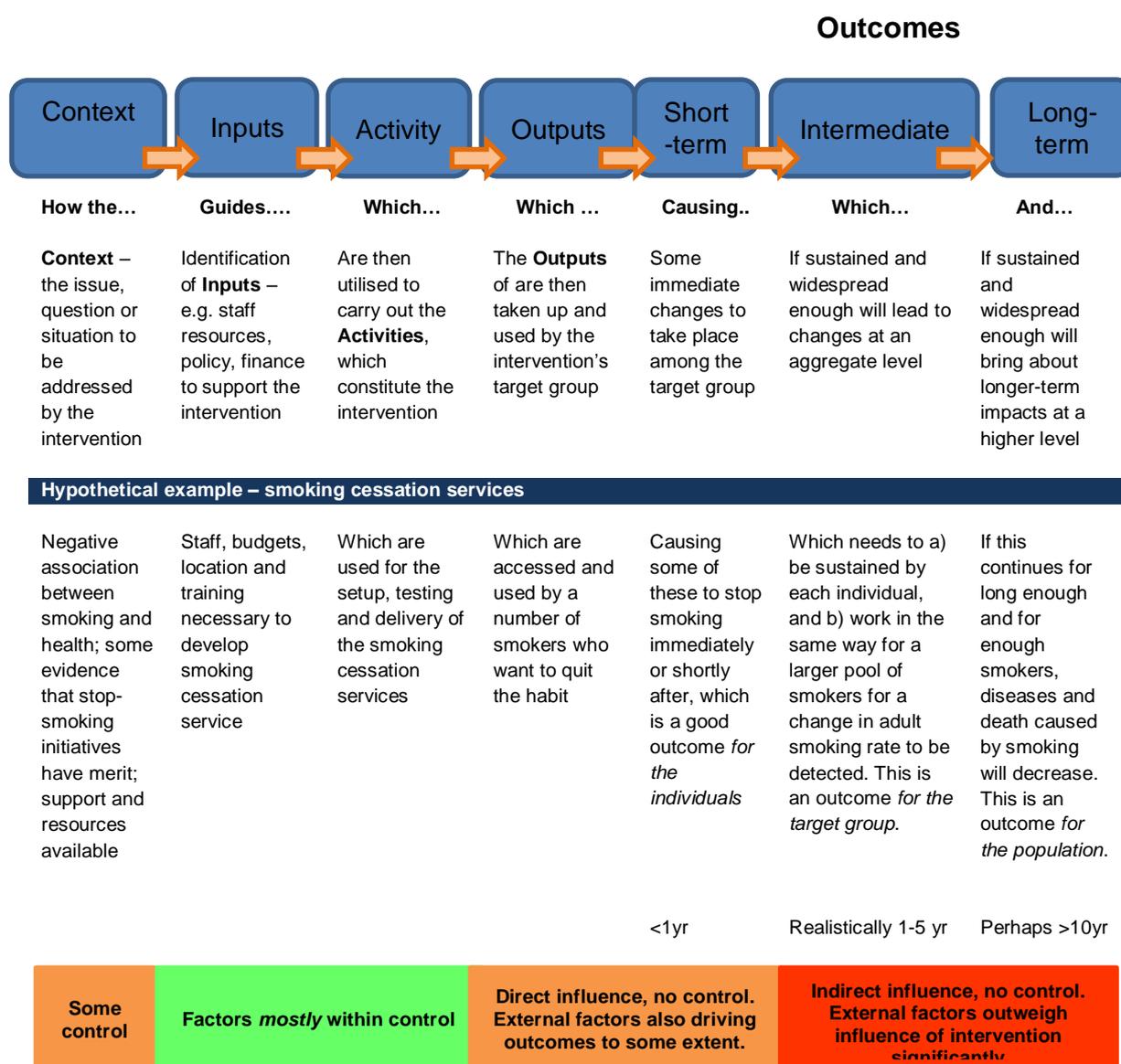
- articulate how and why a particular set of activities, initiatives, policies or programmes are intended to deliver their desired outcomes;
- inform the design, testing and refinement of interventions by articulating the logic and assumptions of how they are intended to work;
- clarify the contribution of different sorts of interventions and services to outcomes; and
- assess individual partners' contributions to collective outcomes, which will assist them in shaping and planning their respective activities.

The simple logical approach illustrated here (once again, for demonstration purposes and not to the exclusion of other methods) is based on 'theory of change' methods. A theory of change is basically a description of how an intervention is intended to deliver its desired (or possible) outcomes, through explaining their relationship to its inputs, activities and outputs. The theory of change (sometimes referred to as programme theory or intervention logic) will assess outcomes in the short, intermediate and long-term. This is particularly important in the context of the assessment of local well-being, which will seek to demonstrate how current interventions, or those planned in the near future, will work towards longer-term impacts and contribute to the area's Well-being Objectives and the high-level Well-being Goals set out in the Act.

A commonly used and accessible method for representing a theory of change is a logic model. A logic model is a diagrammatic way of describing the theory of change for an intervention. Styles of presentation and terminology vary widely and there is no accepted convention⁴. But typically, a logic model would set out the logic of an intervention as follows:

⁴ *Logic Model Development Guide*, WK Kellogg Foundation, 2004; The Department for Transport have published a 'Logic Mapping: Hint and Tips guide' as a practical resource to support the logic mapping process: *Logic Mapping: Hints and Tips Guide*, Tavistock Institute for Department for Transport, October 2010, <http://www.dft.gov.uk/>

Figure 2: A hypothetical theory of change set out in a logic model



Whilst the example is hypothetical and simplistic, it demonstrates the benefits of an evaluative approach in identifying the causal links between interventions and outcomes. But it is important to discuss how and in what circumstances such an approach could feature in the assessment of local well-being. Local circumstances will dictate when and how evaluative approaches could add the most value, but generally speaking they could be most helpful when:

- there is a lack of consensus between partners (or within a partner organisation) on how a particular intervention works, or what its outcomes are/should be, or what assumptions are made about it;
- it is unclear whether an intervention is capable of influencing its intended outcomes and a logic model could help to identify the external influences;
- partners are considering possible alternative or re-designed models of service delivery;

- partners are working with citizens to identify how services can work and deliver results;
- interventions are focused mainly on short-term or intermediate outcomes and links to an area's longer-term well-being objectives and the national Well-being Goals need to be considered;
- PSBs are trying to understand how multiple interventions contribute to similar or shared outcomes; or
- there is a need to evaluate an intervention and a frame of reference for testing it is required.

5. Skills, capacity and quality assurance

There are analytical aspects of the assessment of local well-being and local well-being plan which are likely to prove challenging for PSBs (e.g. utilising qualitative evidence and developing the evaluative approach). Whilst these challenges will mainly fall to the officers tasked with producing the assessment of local well-being and developing the local well-being plan, it is important the PSB itself and key officials within its member organisations also understand what would be involved in producing robust assessments and plans and can take informed decisions on how to resource them.

Whilst the Guidance in itself will not address any challenges around analytical skills and capacity, it offers an opportunity to make some recommendations which could pave the way to important developments. In addition to the specific proposals mentioned below, there would be merit in each PSB nominating a 'champion' Board member for the use of evidence and analysis. The champion would be tasked with promoting and facilitating opportunities for consideration of the evidence collected for the assessments. This role would be especially important when the Board is involved in agreeing and reviewing priorities for the local well-being plan.

1. Establishing a community of practice

Whilst there may be some appetite for training on specific aspects of the assessments (and this is something which could be considered), there will undoubtedly be merit in establishing a community or forum, which would ideally encompass relevant academic experts, as well as practitioners. Such a community would allow for the sharing of ideas, approaches, concerns, data and, if appropriate, resources. This would open up sources of advice, peer review and skills development which may otherwise have been unavailable or unknown. It would also help to ensure the expertise and experience already available to PSBs could be utilised to best effect.

There is already a Local Service Board Research and Analyst Network (LSBRAN) in existence, which could in theory, take up the remit of the assessments of local well-being alongside its current activities.

2. Accessing expert input and peer review

There are pragmatic steps PSBs could take to access relevant expertise and build constructive challenge and discussion into the assessment and development of the Plan at various points. There are, of course, many ways to approach this and each area will have its own current arrangements. Nevertheless, the following activities are potentially valuable and should be considered:

- Inviting relevant experts to address the PSB on aspects of the assessment – e.g. an expert practitioner’s view on how services could respond to particular challenges around well-being, or an academic’s assessment of ‘what works?’ in addressing particular types of problems. Securing these kinds of inputs will not be without its challenges. Indeed where academic input is concerned, there could be merit in senior PSB members or chairs engaging universities at a senior level to cultivate (or further develop) the working relationships around local well-being issues.
- Engaging academic and other experts in peer review of the assessment at various stages to seek their views on how the evidence has been represented and interpreted and used to inform the Response Analysis in particular.
- Developing informal peer-to-peer review networks (e.g. between lead authors of assessments in different areas) would be useful both in sharing ideas and gaining a range of perspectives on analytical issues. This type of peer review has not routinely been carried out historically.

6. Resources and Links

Background

The Well-being of Future Generations (Wales) Act:

<http://www.legislation.gov.uk/anaw/2015/2/contents/enacted>

Impact Assessments for the Act – Equality, Child Rights, Welsh Language and Rural Proofing:

<http://gov.wales/legislation/programme/assemblybills/future-generations/?lang=en>

‘The Essentials’ – A Plain English Summary of the Act, including an explanation of the Sustainable Development Principle: <http://gov.wales/topics/people-and-communities/people/future-generations-bill/?lang=en>

Evaluation of Single Integrated Plans, Broomfield, J. and Lezerad, A. (2013), Welsh Government. <http://gov.wales/statistics-and-research/evaluation-single-integrated-plans/?lang=en>

The National Conversation on 'The Wales We Want' - a pilot project following the former Minister for Communities and Tackling Poverty, Jeff Cuthbert AM, asking the Commissioner for Sustainable Futures, Peter Davies, to enhance our understanding about the long-term issues future generations in Wales might face.

<http://thewaleswewant.co.uk/>

The Role of Data

The Public Policy Institute for Wales (PPIW) have published a [discussion document](#) which considers the issues in relation to development of the national indicator set for ALWs, and some of the guiding principles that are important to use in getting the right national indicators. See: <http://ppiwi.org.uk/how-to-measure-progress-indicators-for-the-well-being-of-future-generations-wales-bill/>

Knowledge and Analytical Services in the Welsh Government will be undertaking development work and collation of evidence in preparation for the first statutory ‘Future Trends Report’ for Wales in 2016. This will be made available once completed.

The National Survey is a source of information on subjective well-being in Wales and will be developed to take into account the needs of the national indicators -

<http://gov.wales/statistics-and-research/national-survey/?lang=en>

ONS currently publishes a range of analysis on [well-being](#) in the UK through its Measuring National Well-being programme. A range of other tools and resources are based on or derived from the ONS’ current measures

<http://www.ons.gov.uk/ons/guide-method/user-guidance/well-being/index.html>

The Department of Environment, Food and Rural Affairs published Sustainable Development Indicators until 2014:

<https://www.gov.uk/government/statistics/sustainable-development-indicators-sdis#history>

Demographic data provide key evidence about the future pressures facing public services. Information on the 2021 Census and earlier censuses:

<http://www.ons.gov.uk/ons/guide-method/census/index.html>

Measuring well-being – The Public Policy Institute for Wales was commissioned by the Minister for Natural Resources to prepare a discussion paper around measuring progress towards Wales' well-being objectives:

http://ppi.wales.gov.uk/files/2015/02/Measuring-progress-towards-achievement-of-Wales-Wellbeing-goals_a-discussion-paper.pdf

Measuring well-being – The New Economics Foundation produced in 2012 a short handbook on the measurement of well-being for BIG Lottery. It is aimed primarily at voluntary organisations and community groups, but includes useful discussion of the basic principles of well-being measurement, some of the basic considerations around the use of data and how to gather data on subjective well-being:

<http://www.neweconomics.org/publications/entry/measuring-well-being>

The role of Citizens

National Principles for Public Engagement in Wales, endorsed by the First Minister of Wales on behalf of the Welsh Government, 2011.

<http://www.participationcymru.org.uk/national-principles>

A practical guide to effective citizen engagement, along with other useful resources

<http://www.participationcymru.org.uk/national-principles/practitioners-manual-for-public-engagement>

A participatory evaluation toolkit to evaluate against the National Principles for Public Engagement: <http://www.participationcymru.org.uk/national-principles/evaluation-toolkit>

Public Health Wales Observatory has developed a toolkit which shows indicators of health assets for small areas in Wales:

<http://howis.wales.nhs.uk/sitesplus/922/page/63326>.

And the report related to the PHW toolkit:

[http://nww2.nphs.wales.nhs.uk:8080/PubHObservatoryProjDocs.nsf/3653c00e7bb6259d80256f27004900db/bac3682259f28ade80257e42003470ca/\\$FILE/ProposedHealthAssetIndicatorsForWales_final.pdf](http://nww2.nphs.wales.nhs.uk:8080/PubHObservatoryProjDocs.nsf/3653c00e7bb6259d80256f27004900db/bac3682259f28ade80257e42003470ca/$FILE/ProposedHealthAssetIndicatorsForWales_final.pdf)

Approaching the use of analysis and evidence

HM Treasury Guidance on what to consider when planning an evaluation:

<https://www.gov.uk/government/publications/the-magenta-book>

Logic Model Development Guide, WK Kellogg Foundation, 2004.

<https://www.wkkf.org/resource-directory/resource/2006/02/wk-kellogg-foundation-logic-model-development-guide>

'Logic Mapping: Hint and Tips guide', Tavistock Institute for Department for Transport, October 2010,

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/3817/Logicmapping.pdf&rct=j&frm=1&q=&esrc=s&sa=U&ei=yPd2VbC2IsK6swHA1oFI&ved=0CCMQFjAA&usq=AFQjCNHPQjEg8D4h0RkiaDnMrA3Kw7MGJA

Driver Diagrams - The NHS Institute for Innovation and Improvement website provides advice on Driver Diagrams in Quality and Service Improvement Tools - http://www.institute.nhs.uk/quality_and_service_improvement_tools/quality_and_service_improvement_tools/driver_diagrams.html

Outcomes Frameworks - NHS Scotland provides advice, including Logic Models and Driver Diagrams and the differences between them:

http://www.healthscotland.com/ofhi/Resources/resources_driverdiagrams.html

Hierarchies of Evidence – There is a widely held view that research evidence should be judged in a hierarchy of quality. The following link is one of many examples which discusses how this hierarchy can inform an assessment of existing practice:

<http://www.homelesshub.ca/gallery/hierarchy-evidence>

Overview of planning evaluation and assessing outcomes – the Charities Evaluation Service website hosts a wealth of guidance on various aspects of evaluation, including assessing personal outcomes, selecting appropriate outcome indicators and evaluating collaborative initiatives: <http://www.ces-vol.org.uk/tools-and-resources>

Overview of evaluation approaches and evaluative tools – the Better Evaluation initiative is an international collaboration aimed at improving standards of evaluation by sharing and discussing options, approaches and methods. The material is pitched at a level that makes it accessible and useful: <http://betterevaluation.org/>

Equality Impact Assessments - The Equality and Human Rights Commission has developed materials to help those delivering public services make decisions in line with legal duties on eliminating unlawful discrimination, advancing equality of opportunity and fostering good relations on the basis of protected characteristics such as gender, race, disability or age: <http://www.equalityhumanrights.com/about-us/devolved-authorities/the-commission-in-wales/equality-impact-assessments> .

Annex A

Assessments of local well-being Working Group membership

Constance Adams	Welsh Council for Voluntary Action
Huw Bowen	Welsh Government
Mark Bowler	Conwy County Borough Council
Christine Chapple	Welsh Government
Teresa Colligan	Welsh Government
James Gardiner	Data Unit Wales
Michelle Jaynes	Bridgend County Borough Council
Simon Kyte	Natural Resources Wales
Nathan Lester	Public Health Wales Observatory
Duncan MacKenzie	Data Unit Wales
Ann-Marie McCafferty	Merthyr Tydfil County Borough Council
Jackie McDonald	Welsh Government
Steve McLinden	Mid and West Wales Fire and Rescue
David Morgan	Denbighshire County Council
Seth Newman	South Wales Police and Crime Commission
Alison Palmer	Gwent Council for Voluntary Organisations
Jamie Smith	Welsh Government (Chair)
Jamie Thorburn	Ceredigion County Council
Joanne Williams	Bridgend Council for Voluntary Organisations
Susan Williams	Natural Resources Wales