

"Building a Better Mousetrap, or Insights on the Design and Evaluation of Dispute Resolution Systems"

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Building a Better Mousetrap, Part I Characteristics of Dispute Resolution Systems

Dick Zeller

(They really are complex.)



A framework describing the functions of a Dispute Resolution Management System and a Continuum of Dispute Resolution Processes and Practices supported.

A Management System (Oversight, Awareness, Professional Standards/Training/TA, and Evaluation) are necessary to any State DR system, although these functions can vary in complexity and scope.

A "continuum of dispute resolution options" must consist of at least IDEA required processes, but also may include other local or state supported "early resolution" or other "alternate dispute resolution" processes.

CADRE State Dispute Resolution Integrated Management Systems Model

Functions & Elements of a State Dispute Resolution Management System

Integrated State DR System Oversight:

System Design

Decision-Making by Parties

Interest-Based

Informal & Flexible

- Policy/Procedure/Guidance
- Stakeholder Involvement/Advisory
- Data Tracking System
- Model Forms (filing/requests)
- Other Forms/Letter Templates

Public Awareness & Outreach:

- Parent Guides
- Process Descriptions (how to file/request)
- Target Audiences (educators, practitioners)
- Materials in Other Languages
- Web-Based Dissemination

Personnel Standards, Training & TA:

- Personnel/Human Resources
- Training, TA & Development-Materials
- Training, TA & Development-Activities

Evaluation:

- DR Process Satisfaction
- Training/TA Satisfaction
- Practitioner Evaluation
- Program or System Outcomes
- Application to System Change

Decision-Making by Third Party

Rights-Based

Formal & Fixed

	Continuum of Dispute Resolution Processes & Practices																
	Stage I: Prevention		Stage II: Disagreement			Stage III: Conflict			Stage IV: Procedural Safeguards			Stage V: Legal Review					
Assistance / Intervention Options	Participant & Stakeholder Training	Stakeholder Council	Collaborative Rule Making	Parent-to-Parent Assistance	Case Manager	Telephone Intermediary	Facilitation	Mediation Models	Ombudsperson	Third-Party Opinion/Consultation	Resolution Meeting	Mediation Under IDEA	State Written Complaint	Due Process Complaint (Hearing)	Hearing Process (Tier II)	Litigation	Legislation
Third- Party Assistance Third Party-Intervention																	



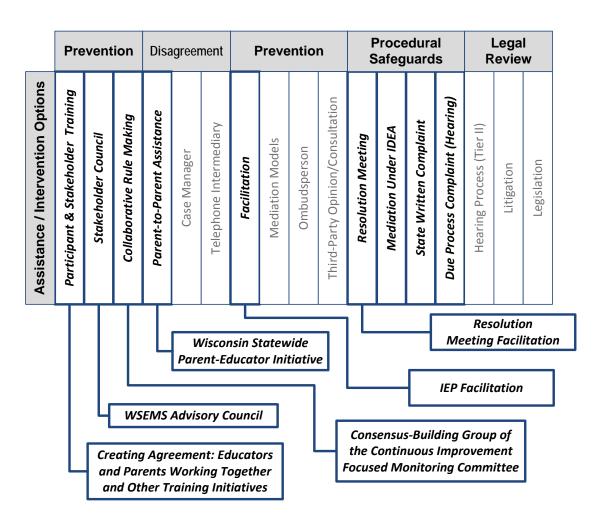
Using the Framework

- As a template to think about the specifics of your state's DR system:
 - The functions of your management system
 - The Dispute Resolution processes you support
- Reduce or reconstruct the template to graphically depict your system

For example...



The CADRE Continuum and Wisconsin's Dispute Resolution Options





The CADRE Continuum and Oklahoma's Dispute Resolution Options

	Prevention			Disagreement		Prevention				Procedural Safeguards				Legal Review			
Assistance / Intervention Options	Participant & Stakeholder Training	Stakeholder Council	Collaborative Rule Making	Parent-to-Parent Assistance	Case Manager	Telephone Intermediary	Facilitation	Mediation Models	Ombudsperson	Third-Party Opinion/Consultation	Resolution Meeting	Mediation Under IDEA	State Written Complaint	Due Process Complaint (Hearing)	Hearing Process (Tier II)	Litigation	Legislation
		T	SERC Advisory Council Good Meeting Management Training							Resolution Meeting Facilitation Telephone Complaint Procedure							



Dispute Resolution Systems Evaluation Challenges

DR Systems are complex, characterized by:

- External demand (you can influence, but you can't control or limit requests/filings)
- Multiple processes supported (written complaints, mediation, due process hearings, with ADR possibilities) – there are "hydraulic" connections among processes
- Inter-organizational relationships (at a minimum involving the state agency, DR practitioners, local districts/providers and families)
- Expressing multiple purposes (to protect rights, support options, resolve conflict, encourage collaboration) – there is no single measure of effective system performance (no single result)



Building a Better Mousetrap, Part II Logic Models

Courtney Brown (They really are important.)



What is a Logic Model?

- A road map to describe the sequence of related events connecting the activities of the program with the desired results.
- A simplified picture of a program, initiative, or intervention.
- Shows logical relationships among the resources that are invested, the activities that take place, and the benefits or changes that result.

• It is a "plausible, sensible model of how a program is supposed to work" (Bickman, 1987).



Logic Models: Position Program for Success

- Program Design and Planning
 - Planning tool
 - Examine best practice research
- Program Implementation
 - Core of a focused management plan
 - Monitor and improve programming
- Program Evaluation and Strategic Reporting
 - Inform progress toward goals
 - Advocate for program approach
 - Teach program stakeholders



Logic Model Benefits:

- Provides a common language
- Helps us differentiate between "what we do" and "results" outcomes
- Increases understanding about program
- Guides and helps focus work
- Leads to improved planning and management
- Increases intentionality and purpose
- Helps to identify important variables to measure; use evaluation resources wisely
- Is often required



Sample Logic Model



Inputs - the resources invested that allow us to achieve the desired outputs.

Outputs - activities conducted or products created that reach targeted participants or populations. Outputs lead to outcomes.

Outcomes - changes or benefits for individuals, families, groups, businesses, organizations, and communities.



Sample Logic Model

(Parent Centers)





OUTPUTS



OUTCOMES

Program Investments

Staff

Volunteers

Money

Time

Materials

Technology

Partners

Activities

Parent training workshops

Parenting information disseminated to parents

Responsible parenting presentations

Participation

Parent training & Information Centers

Community
Parent Resource
Centers

Parent Organizations Short Term

hort Term Long Term

Increased parent knowledge

Improved results for children with disabilities



Let's Practice

INPUTS

→

OUTPUTS

-

OUTCOMES

Program Investments

Activities

Participation











LET'S BREAK IT DOWN



Logic Model Components

INPUTS

What we invest

Staff

Volunteers

Time

Money

Research base

Material

Equipment

Technology

Partners



OUTPUTS

What we do

Who we reach

ACTIVITIES

- Train, teach
- Deliver services
- Develop products and resources
- Network with others
- Build partnerships
- Assess
- Facilitate
- Work with the media

•...

PARTICIPATION

- Participants
- Clients
- Customers
- Agencies
- Decision makers
- Policy makers

Satisfaction



OUTCOMES

What results for individuals, families, communities

SHORT MEDIUM LONG-TERM Learning Action Conditions Changes in Changes in Changes in Behavior Conditions Awareness Social (well-being) Knowledge Decision-making Attitudes Policies Health

 Skills Opinion

Aspirations

Motivation

Behavioral intent

 Social action Economic Civic

Environmental

CHAIN OF OUTCOMES



Development of Logic Model

- Determine purpose of logic model
 - Who will use it? For what?
- Involve others
- Set boundaries for logic model
 - Level of specificity
- Understand situation
- Explore research, knowledge base, what others are doing/have done



Things to consider about your program...

- •What IS your program?
- What does your program do? (outputs activities)
- •Who is served? (outputs participants)
- •How do they benefit? (outcomes)
- How would you know that your program is a success?
 (outcomes/evaluation data)



ONTEXT Federal Law &

egulations

Sample Personnel Development Program - Logic Model

A blueprint to enhance understanding of the Program

INPUTS



OUTPUTS



OUTCOMES

Program Investments

Agency Staff Funding Evidence-Based & **Best Practices** Research Program & **Grants Policy Technology**

Activities

Train personnel

Build models and networks for collaboration

Develop and disseminate resources

Participation

Grantees Faculty

Students in IHEs **SEAs & LEAs Lead Agencies Practitioners** Administrators

Children Families

Short Term

rsonnel* with vareness and owledge of EBP 8 est practices

creased llaboration - SEA Es. LEAs, and lead

encies

Intermediate

Long Term

Increased placement of fully qualified*

Improved personnel development **infrastructures**

personnel

retention of fully qualified* personnel in workforce -

schools & programs, educational & lead agencies, & HEs.

Goal: To improve results for children with disabilities and their families

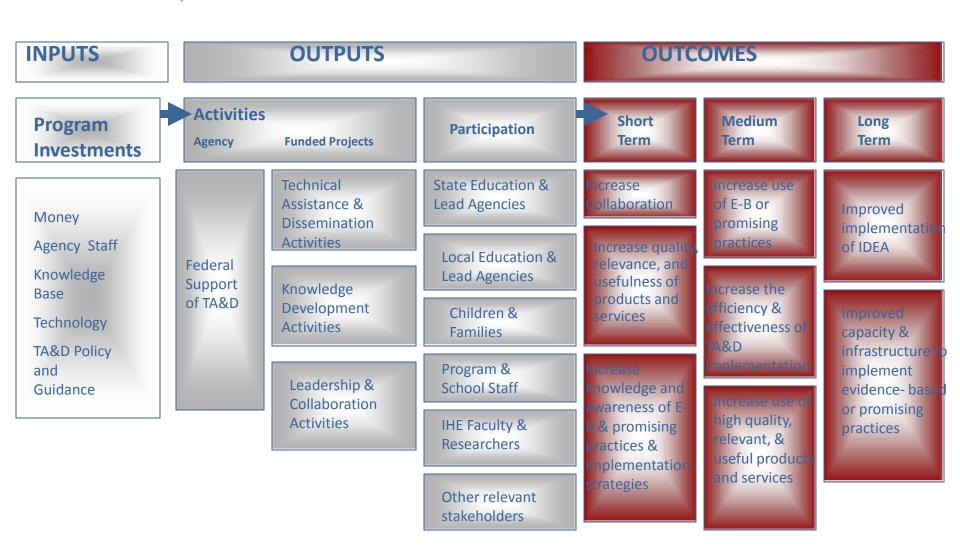
Evaluation Questions

^{*}Fully Qualified = Highly Qualified for special education teacher; Qualified for paraprofessional/aide; Fully Certified for administrator/coordinator, for related or supportive services in a school setting, or for teacher, related services, or supportive services in early intervention, early childhood.



Sample Technical Assistance & Dissemination Program Logic Model

Goal: Improved Outcomes for Children with Disabilities and their Families





CADRE Logic Model

6. Outcomes – Impact **Project Operations** Outputs Inputs Short/Mid-term Long-term Activities Participation RAISE, Improved 1. Catalog & Consumers are OSEP/ Continuum, compliance synthesize Sp Ed more informed **APR Analyses** performance CADRE DR Knowledge Improved Partner States Improved Exemplary 2. Identify SEA/LA DR SEA/LA/PTI practices State (SEA, effective management relationships LA) practices Lead State TA Action States adopt Increased use Agencies Plan 3. Intensive TA effective DR early resolution (DR SIPE) approaches PTAC's, Other processes Info responses, Stakeholders TA projects Increased listserv Durable 4. Targeted TA support for postings, group resolutions of Parent (ListServs, CofP) TA events early disputes Centers Project resolution Leadership Product & Less use of 5. Universal TA information adversarial DR (Web, I&R) **SEAs** dissemination processes Management Activity (Operations) Data Sources **Output Data Sources** Outcome Data Sources Web tracking Follow-up surveys New/updated practices added Quality, relevance, Interview with partner states State action plans/evaluations usefulness ratings Review of states' compliance Activity/event documentation Participant activity State DR system changes Products/documents Evaluation of TA

provided

Review of "exemplars/guidelines"



Activity

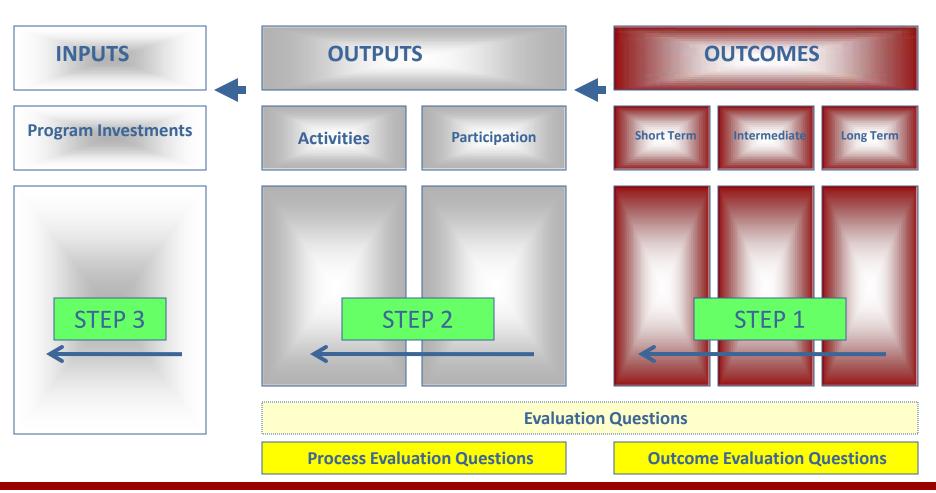
Let's sketch out a logic model for a dispute resolution in a state:

- What are we trying to accomplish? (outcomes)
- What will we do to get there? (outputs)
- What do we need to get it done? (inputs)



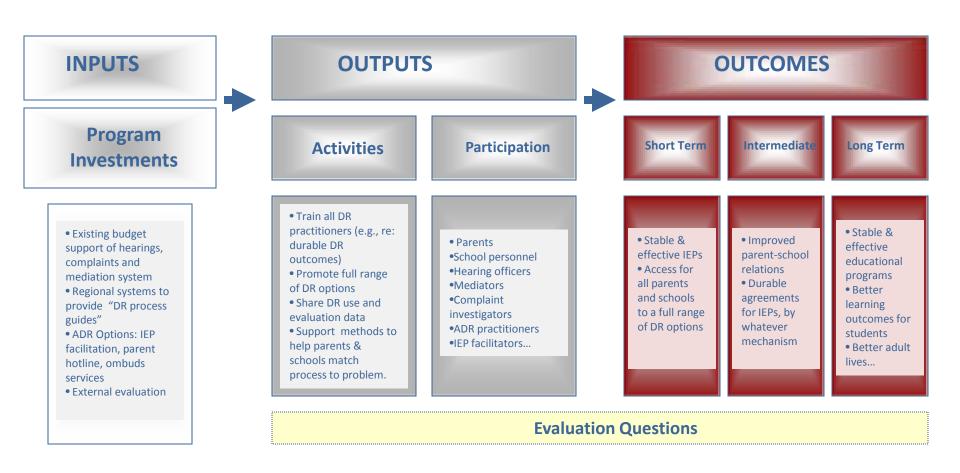
Developing a Logic Model:

(Articulate the desired long-term outcomes and work backwards)





State System (Big Picture) Logic Model





How good is your logic model?

Ask yourself...

- Is the model truly logical?
 - Inputs: why do we need these? Are they realistic?
 - Activities: why do we need to conduct these?
 - Outcomes: work
 backwards- how are we
 going to produce these?

- Is each listed outcome really an outcome?
- Ask yourself what else? (helps spot leaps of faith)
- How valid are the assumptions? Based on experiences, research, best guesses?



Logic model review

- Can someone unfamiliar with your program understand it by looking at the logic model?
- Can you use the logic model to come up with realistic, relevant, and useful evaluation questions?
- Is your program fixed or can the logic model change as needed?
- How can your evaluation questions help your program?



Limitations of Logic Models

- Represents intention, is not reality
- Focuses on expected outcomes
- Challenge of causal attribution
 - Many factors influence process and outcomes
- Doesn't address:

"Are we doing the right thing?"



Cautions:

- Can become too time consuming
- May become too focused on outcomes without adequate attention to inputs and outputs
- May end up perfecting the key to the wrong lock
- Attending to context only at front end
- Thinking that logic model has to be "correct"
- Becomes 'fixed' rather than flexible and dynamic



Logic Models help with Evaluation

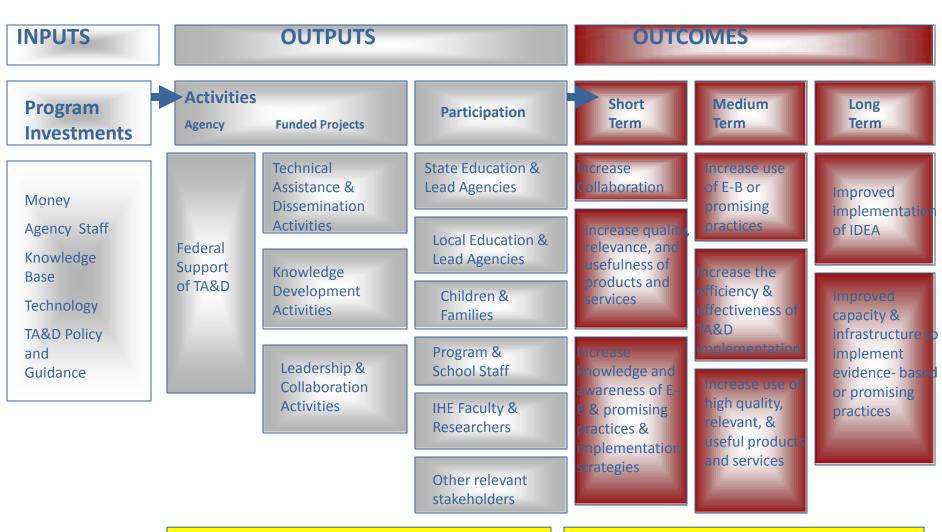
Provides the program description that guides our evaluation process

- Helps us match evaluation to the program
- Helps us know what and when to measure
 - Are you interested in process and/or outcomes?
- Helps us focus on key, important information
 - Prioritize: where will we spend our limited evaluation resources?
 - What do we really need to know??



Sample Technical Assistance & Dissemination Program Logic Model

Goal: Improved Outcomes for Children with Disabilities and their Families



Formative Evaluation Questions:

To what extent are groups/people participating?

Summative Evaluation Questions:

To what extent is collaboration increasing?
Using promising practices? Implementing IDEA?



Logic Model Next Steps

What information can we gather based on our theory of action to help improve our program and/or demonstrate success?



- What evaluation questions should we ask?
- How do they relate to our logic model?
- What tools/measures can we use?



Building a Better Mousetrap, Part III Evaluation Measures

Tim Hedeen
(They really are fun.)



Evaluation

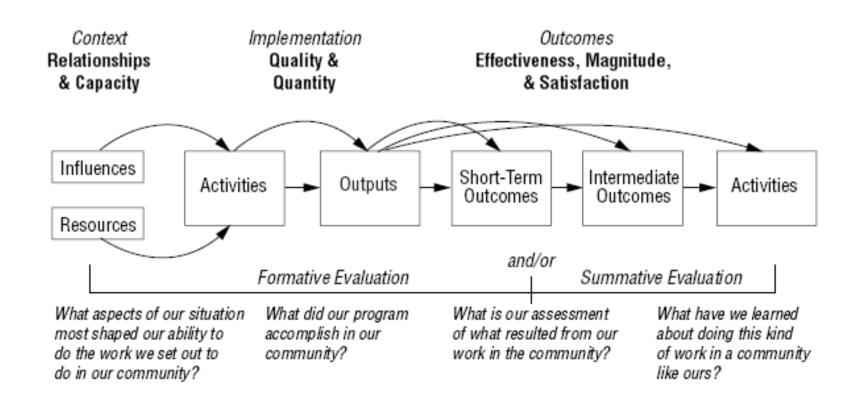
Various levels and types of evaluation:

- Process evaluation
- Project evaluation
- Program evaluation

- Formative feedback
- Summative feedback



Evaluation levels, questions



www.wkkf.org/knowledge-center/resources/2006/02/WK-Kellogg-Foundation-Logic-Model-Development-Guide.aspx



Evaluation measures

What's measurable?

How can each be measured?



Evaluation measures

PERFORMANCE AREAS	KEY PERFORMANCE ISSUES
Program Efficiency	Cost to participants Time from referral to resolution
Program Effectiveness	Outcomes of mediation Participant satisfaction with mediated outcomes Durability of mediated outcomes Impact on relationship between participants Program neutrality
Mediation Process	Appropriateness/Usefulness Preparation process and materials Fairness (opportunity to tell story, feeling understood, respectful treatment, control over outcomes)
Mediator Performance	Skills of the mediator Knowledge of the mediator Impartiality of the mediator

Hedeen, 2002, Using Participant Feedback... CADRE



Evaluation exercise

Let's work together to mock-up evaluation strategies for our models.



Distinct measures: outputs, outcomes

'Number of patients discharged from state mental hospital' is an output.

'Percentage of discharged who are capable of living independently' is an outcome.



"Not how many worms the bird feeds its young, but how well the fledgling flies" (United Way of America, 1999)



Steps in an Evaluation Plan

	ACTION STEPS IN THE DESIGN & IMPLEMENTATION OF AN EVALUATION PLAN
1.	Identify stakeholders and key individuals related to mediation services and evaluation. This group includes: state and local education agency personnel, parent advocates, students with disabilities, cultural/ethnic representatives, parents, mediators, and evaluators.
2.	Define the role of stakeholders and key individuals for the evaluation process and clarify decision-making procedures.
3.	Establish the purpose of the evaluation (e.g., system improvement, training needs, customer satisfaction, etc.)
4.	Identify the key performance indicators and measures that will be useful to stakeholders as they advise the evaluation process.
5.	Determine and secure the resources-including evaluation materials, staff members, and other supports-that are needed to carry out the evaluation.
6.	Use the appropriate instruments and methodologies to conduct the evaluation. These might include questionnaires, interviews, observations, or focus groups.
7.	Collect and analyze the data.
8.	Use the data to identify potential improvement strategies and opportunities.
9.	Implement the appropriate strategies.
10.	Conduct an evaluation to measure the impact of the improvement strategies.



Logic model format: "basic"





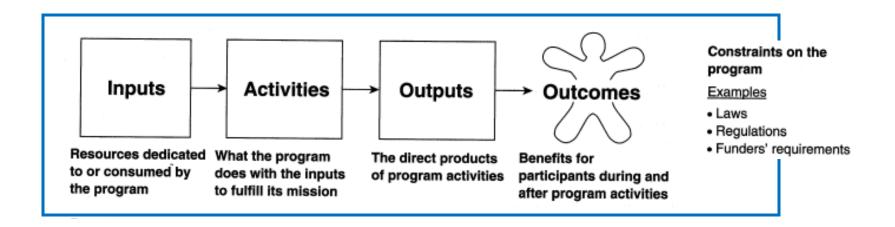
Program delivered

Results from program

Wholey et al., Handbook of Practical Program Evaluation, 2004, Fig 1.1, p.9



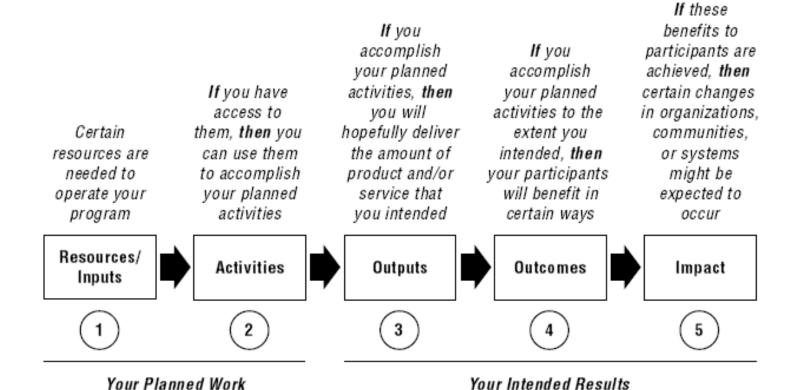
Logic model format: United Way



Chen, Practical Program Evaluation 2005, p.35



Logic model format: WKKF



www.wkkf.org/knowledge-center/resources/2006/02/WK-Kellogg-Foundation-Logic-Model-Development-Guide.aspx



Logic model format: simple





Sources of Comparative Data

CADRE National Longitudinal Database:

- Five Year national summaries at:
 http://www.directionservice.org/cadre/statec
 omprpts.cfm
- Five Year individual state summaries at:
 http://www.directionservice.org/cadre/aprsp
 pb.cfm
- Ask: <u>rwzeller@directionservice.org</u>



Discussion

Comments

Q and A

Evaluation of this Workshop