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ORGANIZATION EFFECTIVENESS AND EFFICIENCY SCALE MANUAL:

A Systematic Approach to Enhancing Organizational Outcomes

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Section I

A Description of the Organization Effectiveness and Efficiency Scale And Its Use in Not-for-Profit Organizations

Overview

The *Organization Effectiveness and Efficiency Scale (OEES)*; the Scale) was developed by the International Research Consortium on Evidence-Based Practices (2013) to assist not-for-profit organizations meet the increasing need to be more *effective* in terms of achieving their intended results, more *efficient* in terms of their resource utilization, and more *sustainable* in terms of adapting to change and providing a range of sound service delivery opportunities and practices. These needs are reflective of the broader challenges facing today's not-for-profit organizations. Chief among these challenges are the increased demand for services and supports at a time when resources are dwindling, a movement from vertical to horizontal organization structure, a shift from general services to individualized supports, the need to align values with service delivery practices, the focus on evidence and evidence-based practices, and the need for capacity building in reference to organization-based self-assessment, strategic planning, and performance evaluation (Schalock & Verdugo, 2012).

Organizations that are successfully addressing these challenges undergo change and transformation. Indeed, we live in a 'transformation era' in which both for-profit and not-for-profit organizations are assimilating one or more characteristics of a transformed organization. As discussed by Schalock and Verdugo (2013) these transformation era characteristics involve the person as central, organizations being streamlined, information systems that are performance-based, quality improvement as a continuous process, and participative leadership, which inspires people to want to change, as a key element in the transformation process.

The purpose of the *OEES* is to both assist organizations meet these current challenges and to help guide them through the continuous quality improvement and transformation process. To this end, the *OEES* provides:

- A collaborative approach to evaluation
- An evidence-based approach to performance assessment
- A multiple perspective approach to performance evaluation and management
- A comprehensive approach to continuous quality improvement and organization transformation

The *Organization Effectiveness and Efficiency Scale (OEES)* reflects a new generation of organization-referenced assessment instruments that are based on a logic model perspective and used for multiple purposes related to self-assessment, strategic planning, capacity building, and performance evaluation. As discussed by Hanson et al. (2013), a logic model perspective involves input, throughput, and output components. In reference to the *OEES*:

- The *context or input component of the model* involves evaluators or interviewers who have knowledge and technical skills regarding evaluation logic and methods; participant stakeholders who understand the concepts and processes being assessed and are decision makers who are committed to organization learning and organization transformation; and stakeholders who have a shared understanding of an organization's policies and practices.

- The *throughput or assessment component of the model* focuses on whether the obtained information is perceived as valid and credible and meets the information needs of stakeholders (i.e. information that is responsive, relevant, and timely); and when the findings can be integrated into the organization's culture.
- The *consequences or output component of the model* focuses on stakeholders increasing their understanding of key transformational terms and concepts, and using the assessment information for decision making, CQI, and organization transformation.

The *OEES* was developed to assist not-for-profit organizations meet the increasing need to be more effective in terms of achieving intended results, more efficient in terms of their resource utilization, and more sustainable in terms of adapting to change and providing a range of sound service delivery opportunities and practices. Successfully meeting these needs requires that organization embark on continuous quality improvement and organization transformation. The advantage of using the *OEES* is that it allows organizations to implement a collaborative approach to evaluation, an evidence-based approach to performance assessment, view performance evaluation from multiple perspectives, and take a comprehensive approach to CQI and organization transformation. Key aspects of each of these advantages are summarized in Table 1.

<p style="text-align: center;">Table 1</p> <p style="text-align: center;">Advantages to the Use of the OEES for CQI and Organization Transformation</p>	
Unique aspect of the OEES	Key Aspects
Collaborative approach to evaluation	<p>Increased knowledge and understanding of the evaluation/assessment process</p> <p>Increased capacity to self-critique and inquire systematically at the level of the individual and organization</p> <p>Enhanced organization learning</p> <p>Incorporate assessment findings into subsequent decision making to improve organization performance and enhance organization transformation</p>
Evidence-based approach to performance assessment	<p>Twenty evidence-based indicators that reflect best practices. These indicators can be used for: (a) self-assessment, strategic planning, capacity building, and performance evaluation; and (b) as the basis for formulating and implementing best practice quality improvement strategies and capacity building activities</p>
Multiple perspective approach to performance evaluation and management	<p>Aggregating the twenty evidence-based indicators into one of the four performance-based perspectives: the customer, and the organization's growth, financial analyses, and internal processes</p>
Comprehensive approach to continuous quality improvement and organization transformation	<p>A standard set of performance indicators (i.e. the twenty evidence-based indicators) that are used in multiple ways throughout the process</p> <p>An organizing framework that involves sequential steps and guides the CQI and organization transformation process:</p>

	<ul style="list-style-type: none"> -Initial Self-Assessment -Strategic Planning -Capacity Building -Subsequent Performance Evaluation Participative leadership that directs and participates in the CQI and organization transformation process
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Key Terms and Concepts Used in the OEES

As reflective of the new generation of organization-referenced assessment instruments, the OEES incorporates modern terms and concepts related to organization development and change. The key terms and concepts embedded in the *OEES* are defined in Table 2. Additional terms and concepts are defined in the Glossary (Section VI).

Table 2 Key Terms and Concepts Used in the <i>Organization Effectiveness and Efficiency Scale</i>	
Term	Definition
Evaluation	The process of carefully and systematically appraising the status of evidence-based indicators via evidence criteria
Collaborative Evaluation	Assessment techniques that immerse evaluation in the cultural milieu of the organization, systematically engage stakeholders, and integrate their expertise throughout the evaluation
Evidence	Data or information that furnishes proof
Evidence-based approach	Using evidence to evaluate an organization's effectiveness (achieving intended results) and efficiency (intended results in relation to the expenditure of resources)
Evidence-based indicators	Objective, evidence-based measures that reflect best practices related to organization process and performance
Evidence-based indices	Measures reflecting an organization's effectiveness, efficiency, and sustainability
Best practices	Practices based on research-based knowledge, professional values, professional standards, and clinical judgment. Current best practices in the field of intellectual and closely related developmental disabilities are represented by the twenty evidence-based indicators assessed on the <i>OEES</i>
System of supports	An approach to the provision of individualized supports that is based on the individual's personal goals and the standardized assessment of the pattern and intensity of support needs. These strategies involve natural supports, skill acquisition/education techniques, environmental accommodation, incentives, personal strengths, and professional services.
Multiple perspectives	Viewing and evaluating the organization's performance from four perspectives: those of the customer, and the organization's growth, financial analyses, and internal processes
Outcomes	Something that follows as result or consequence

Personal outcomes	The benefits derived by program recipients that are the result, direct or indirect, of program activities, services, and supports. Personal outcomes are frequently conceptualized and measured in reference to core quality of life domains.
Organization outcomes	Organization-referenced products that result from the resources an organization uses to achieve its goals and the actions implemented by an organization to produce these outcomes. Organization outcomes are assessed via evidence-based indicators related to each of the four performance-related perspectives: customer, and the organization's growth, financial analyses, and internal processes.
Organization learning	The understanding and use of best practices related to an organization's customer, growth, financial analyses, and internal processes. Organization learning is an organization-based approach to enhancing the organization's effectiveness and efficiency, and results from continuous quality improvement and organization transformation.
Integrative approach to continuous quality improvement	Integrating self-assessment, strategic planning, capacity building, and performance evaluation into a continuous quality improvement loop and incorporating values, best practices, and core transformation processes.

A Collaborative Approach to Evaluation

From a conceptual and measurement perspective, the collaborative approach to evaluation used with the *OEES* is consistent with evidence-based evaluation approaches such as participatory evaluation, utilization-focused evaluation, and empowerment evaluation (O'Sullivan, 2012). Collaborative evaluation involves the *OEES* Interviewer and Organization Respondents agreeing jointly on the evaluation/assessment, with the ultimate goals being to increase: (a) the knowledge and understanding of the evaluation/assessment process; (b) the capacity for self-critique, self-determination, and systematic inquiry at the level of the individual and the organization; (c) organization learning that fosters shared values and understanding among organization members; and (d) the likelihood that the assessment's findings will be incorporated into subsequent decision making to improve organization performance and enhance organization transformation (Cousins & Chouinard, 2012).

There are a number of significant advantages to using the collaborative approach to evaluation such as employed by the *OEES*. Chief among these are: (a) a clear delineation of the primary evaluation focus. (In reference to the *OEES*, the evaluation focus is the organization's status on twenty evidence-based indicators.); (b) the involvement of organization personnel (i.e. stakeholders) in the assessment process; (c) a shared process of decision making that is reflected in the *OEES* by using a consensus score for each indicator based on the evidence available to the organization-based respondents; (d) pre-evaluation of activities that involve becoming familiar with the data sets and required evidence; (e) basing the assessment on data-based inquiries. (On the *OEES*, the assessment of each of the evidence-based indicators is based on three evidence criteria that are sequenced according to Deming's plan-act-evaluate assessment process.); (f) a focus on evaluation capacity building, which is the educational component of evaluation. (This involves understanding evaluation methods and evaluation ways of thinking.); (g) a commitment to cultural responsiveness. (The *OEES* was developed with input from organization personnel

from five countries (Belgium, The Netherlands, Spain, Taiwan, and the United States), and was field tested on multiple organizations within each of these countries. In addition, comparable forms of the Scale have been translated into four languages (Complex Chinese, English, Dutch, and Spanish). These development activities and language-based translations allow the respective version to capture the cultural context of an organization.); (h) the incorporation of systems/networking considerations. (These considerations are reflected in the core concepts embedded in the Scale's evidence-based indicators and evidence criteria. These core concepts include: quality of life, personal outcomes, individualized supports, systems thinking, right-to-left thinking, balanced scorecard, outcomes evaluation, alignment, continuous quality improvement, program logic models, best practices, and evidence-based practices.); and (i) the active involvement and engagement of stakeholders in implementing the assessment results to guide CQI and organization transformation.

An Evidence-Based Approach to Performance Assessment

Evidence-based practices related to performance assessment are based on current best evidence. This evidence is information obtained from credible sources that uses reliable and valid methods, and is based on a clearly articulated and empirically supported theory or rationale (Schalock et al., 2011; van Loon et al., 2013). The twenty *Evidence-based indicators* assessed on the *OEES* are objective measures that relate to an organization's processes and performance. These literature-based indicators: (a) reflect best practices in the provision of services and supports to persons with disabilities; (b) involve management strategies that facilitate an organization's growth and goal achievement; (c) include financial analyses that enhance an organization's reportability and accountability; and (d) incorporate logic models to enhance the organization's capacity for evaluation and knowledge production.

Table 3 lists the five evidence-based indicators associated with each of the four performance-based perspectives discussed in the following section. The *OEES* is structured around these perspectives and indicators.

Table 3	
Performance-Based Perspectives and Evidence-Based Indicators Assessed on the <i>OEES</i>	
<i>Customer Perspective</i>	<ol style="list-style-type: none"> 1. Aligns services/supports to identified support needs 2. Reports the number of clients living or working in more independent, productive, and community-integrated environments 3. Measures personal outcomes 4. Reports and analyses aggregated personal outcomes 5. Uses technology to enhance personal outcomes
<i>Growth Perspective</i>	<ol style="list-style-type: none"> 6. Articulates the organization's mission and intended results 7. Enters into partnerships 8. Develops program options 9. Utilizes and evaluates high performance teams 10. Monitors job satisfaction and develops job enrichment programs

Financial Perspective

11. Compares unit costs across different locations and service delivery platforms
12. Reports percentage of budget allocated to client-referenced supports
13. Monitors the relationship between social capital and agency-based fiscal capital
14. Uses fixed and variable cost data to establish a baseline cost rate
15. Analyses overhead rate to increase efficiency

Internal Processes Perspective

16. Horizontally aligns input, throughput, and output components
17. Vertically aligns an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components
18. Demonstrates relationship between units of service/support provided and the clientele's assessed support needs
19. Uses data related to personal outcomes and organization outputs for multiple purposes
20. Uses evidence-based indicators for continuous quality improvement

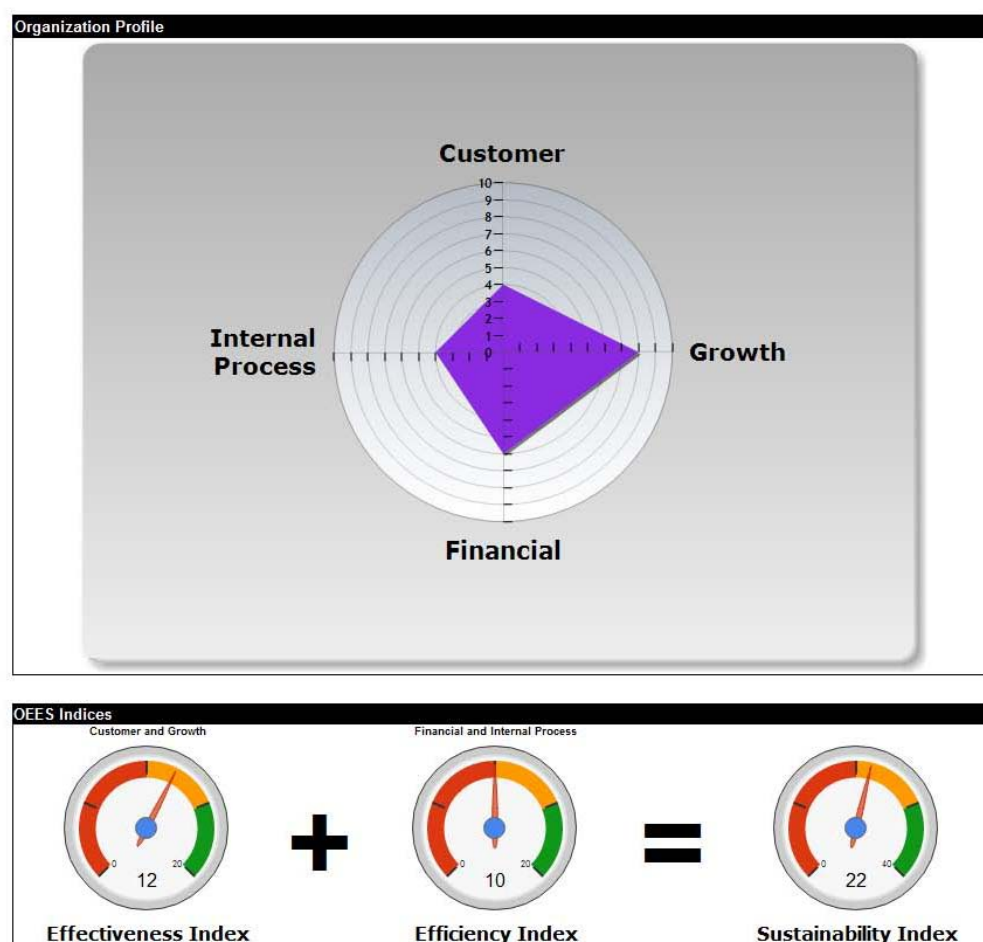
A Multiple Perspective Approach to Performance Evaluation and Management

A broader approach to performance evaluation and management is an emerging characteristic of today's not-for-profit organizations that are attempting to meet the increasing needs for measurability, reportability, and accountability (Schalock & Verdugo, 2012). In reference to the *OEEs*, this multiple perspective approach to performance evaluation and management is based on the four *performance-based perspectives* and twenty *evidence-based indicators* summarized in Table 3. These four performance-based perspectives, which are described below, reflect a balanced approach to performance evaluation and management.

- The *customer perspective* encompasses aligning services/supports to identified support needs, reporting the number of clients living or working in more independent, productive, and community integrated environments; measuring personal outcomes; reporting and analyzing aggregated personal outcomes; and using technology to enhance personal outcomes.
- The *growth perspective* encompasses articulating the organization's mission and intended results, entering into partnerships, developing program options, utilizing high performance teams, and monitoring job satisfaction and developing job enrichment programs.
- The *financial perspective* encompasses comparing unit costs across locations and platforms, reporting the percent of budget allocated to client-referenced supports, monitoring the relation between social capital and agency-based capital, using fixed and variable cost data to establish a baseline rate, and analyzing overhead rate to increase efficiency.
- The *internal processes perspective* encompasses horizontally aligning input, throughput, and output program components; vertically aligning an organization's input, throughput, and output component to the corresponding individual-level input, throughput, and output components; demonstrating the relationship between service/supports provided and the clientele's assessed support needs; using data related to personal and organization outcomes for multiple purposes; and using evidence-based indicators for continuous quality improvement.

As shown in Table 3, there are five evidence-based indicators associated with each of these four performance-based perspectives. Assessment scores obtained from the OEES result in profiles summarizing scores for each of these four performance-based perspectives, and three *evidence-based indices*. The three evidence-based indices are: (a) *an effectiveness index* based on measures related to the customer and organization's growth; (b) *an efficiency index* based on measures related to the organization's financial analyses and internal processes; and (c) *a sustainability index*, which is the sum of the effectiveness and efficiency indices. The importance of these four perspectives and three indices is that they not only incorporate the current emphasis on evidence and evidence-based practices, but they also reflect a *balanced scorecard* approach to evaluating and managing organization performance (Schalock & Verdugo, 2012; Tasi et al., 2009; Wu et al., 2011). Figure 1 depicts exemplary OEES performance-based perspective profiles and evidence-based indices.

Figure 1. Exemplary OEES Graphic Summaries



A Comprehensive Approach to Continuous Quality Improvement and Organization Transformation

Continuous quality improvement (CQI) is an integrative, sequential, and participatory process that is based on best practices and whose primary purpose is organization change and transformation. CQI and organization transformation require a sequential *organizing framework* that guides the steps involved in quality improvement and transformation.

Organizing Framework: Overview

Quality improvement and organization transformation are facilitated when there is an organizing framework that involves sequential steps that guide the process. Such an organizing framework is shown in Figure 2 that depicts continuous quality improvement (CQI) and organization transformation as a continuous improvement loop whose four components begin with an initial self-assessment and continues as a sequence of activities related to strategic planning, capacity building, and performance evaluation.

In the *OEES*, evidence-based indicators are used as the basis for each of these activities.

- For self-assessment and performance evaluation, the indicators are assessed on the basis of available evidence.
- For strategic planning, the evidence-based indicators are used as a basis for formulating and implementing best practices quality improvement strategies.
- For capacity building, the evidence-based indicators are used as a basis for implementing capacity building activities related to services and supports, resource development, and/or research and evaluation.



Figure 2. Continuous Improvement Loop

Organizing Framework: Initial Self-Assessment

CQI and organization transformation begins with organization personnel assessing the organization's current status on the twenty evidence-based indicators composing the *OEES*. The results of this self-assessment sensitizes organization personnel to the four perspectives on organization performance (customer, and the organization's growth, financial analyses, and internal processes) and the core values and transformation concepts involved in CQI and organization transformation.

- *Core values.* Not-for-profit organizations are driven by values that frame their purpose and processes. At the individual level, these values are dignity, empowerment, self-determination, nondiscrimination, and inclusion. At the

- organization level, the values reflect quality assurance, quality improvement, and accountability.
- *Transformation concepts.* The transformation process is guided by a number of key concepts that are also embedded in the twenty evidence-based indicators assessed via the *OEES*. These involve quality of life, personal outcomes, individualized supports, right-to-left thinking, balanced scorecard, organization outcomes, outcomes evaluation, alignment, continuous quality improvement, program logic models, best practices, and evidence-based practices.

Information regarding the organization's current status on either specific evidence-based indicators or the four performance-based perspectives should not be used to compare organizations or for resource allocation. Rather the primary use of self-assessment information is to: (a) present a balanced scorecard for understanding the organization's current status, and (b) provide a baseline (i.e. benchmark) for quality improvement generally and strategic planning and capacity building specifically.

Organizing Framework: Strategic Planning

As described in the literature, strategic planning is a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does with its resources, and why it does it, with a focus on best practices. Strategic planning builds on a shared vision that is values-based and action oriented. In addition, strategic planning: (a) is an inclusive, participative process in which all stakeholders assume a shared ownership; (b) requires critical thinking skills involving systems thinking, synthesis, and alignment; (c) results in the alignment of the organization's resources to personal and organizational outcomes; and (d) lays the basis for continuous quality improvement and organization transformation (Drucker, 1974; Faust, 2003; Schalock & Verdugo, 2012).

In reference to the *OEES*, the evidence-based indicators assessed on the Scale provide a basis for formulating and implementing quality improvement strategies based on best practices and aligning those strategies to each of the four performance-based perspectives. How this is done is shown in Table 4.

<p>Table 4</p> <p>Best Practices/Quality Improvement Strategies Aligned with Performance-Based Perspectives and Evidence-Based Practices</p>		
Perspective	Evidence-Based Indicator	Exemplary Best Practices/ Quality Improvement Strategies
Customer	1. Aligns services/supports to identified support needs	Develops a standardized approach to the assessment of individual support needs that are important to and for the individual
	2. Reports the number of clients living or working in more independent, productive, and community integrated environments	Develops a data system that keeps track of client movement and can analyze and report the aggregated data
	3. Measures personal outcomes	States/describes personal outcomes Implements a standardized approach to the assessment of personal outcomes
	4. Reports and analyzes aggregated personal outcomes	Develops prototypes to analyze and report personal outcomes in meaningful ways (e.g. by program component or diagnostic group)
	5. Uses technology to enhance personal outcomes	Becomes familiar with current technology devices and strategies Uses individualized assistive technology devices and strategies Develops a way to evaluate the effectiveness of technology in enhancing personal outcomes
Growth	6. Articulates the organization's mission and intended results	Develops a mission statement that encompasses service delivery philosophy and intended results Operationalizes intended results into evidence-based indicators that are objective and measurable
	7. Enters into partnerships	Identifies potential partners Establishes partnerships Reports and analyzes the impact of partnerships
	8. Develops program options	Uses tacit or explicit knowledge to become familiar with potential/additional program options Specifies the parameters of the new or expanded program Implements new program(s)
	9. Utilizes high performance teams	Relates the concept of high performance teams to the organization Develops and implements specific high performance teams that are relevant to the organization
	10. Monitors job satisfactions and develops job enrichment programs	Develops and implements job satisfaction surveys Develops a procedure for relating survey results to the content and format of the job enrichment program(s)
Financial	11. Compares unit costs across different locations and	Establishes a standardized approach to calculate unit costs

	platforms	Determines unit costs across different locations and platforms Develops a process to compare unit costs
	12. Reports percentage of budget allocated to client-referenced supports	Determines components of a system of supports Determines percent of total budget allocated to client-referenced supports
	13. Monitors the relationship between social capital and agency-based capital	Develops a policy regarding the contribution of social capital to the organization's budget Develops a data system for capturing the measures (e.g. hours of volunteer service) and computing the ratio of social capital to agency-based capital
	14. Uses fixed and variable cost data to establish a baseline rate	Establishes fixed and variable costs Develops a process/data system to calculate the ratio of fixed to variable costs Uses ratio to establish baseline cost rate and monitor rate over time
	15. Analyzes overhead rate to increase efficiency	Operationally defines how the organization calculates overhead rate Develop process to monitor overhead rate over time
Internal Processes	16. Horizontally aligns input, throughput, and output program components at the individual level	Identifies and describes the organization's service delivery components Uses a logic model to align service delivery components
	17. Vertically aligns an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components	Identifies and describes the input, throughput, and output components at the individual and organization level Uses a mapping system to show how the components can be vertically aligned between the individual and organization levels
	18. Demonstrates the relationship between units of service/support provided and the clientele's assessed support needs	Establishes a standardized approach to defining units of service and the assessment of support needs Establishes a procedure to demonstrate the relationship between the two
	19. Uses data related to personal and organizational outcomes for multiple purposes	Establishes a policy regarding data sets and their uses Implements a data collection system Develops plans for using specific data for multiple purposes (e.g. reporting, monitoring, evaluation, and continuous quality improvement)
	20. Uses evidence-based indicators for continuous quality improvement	Identifies which evidence-based indicators will be used for continuous quality improvement Aligns specific quality improvement to specific evidence-based indicators

Organizing Framework: Capacity Building

Capacity building represents a continuum of activities that improve an organization's ability to achieve its mission and enhance its effectiveness and efficiency. Capacity building is a ubiquitous concept that is commonly used throughout the not-for-profit sector and is increasingly being used in new public management, outcomes evaluation, and evidence-based practices (Bishop, 2007; Kapuco et al., 2011; Linnell, 2003; Levine et al., 2013; Millesen & Bies, 2007; Sobeck & Agins, 2007).

As a framework for capacity building, the evidence-based indicators assessed on the OEES can be used as a basis for designing and implementing activities related to enhancing the organization's capacity regarding services and supports, resource development, and research and evaluation. The specific evidence-based indicators associated with each of these capacity building areas are listed in Table 5. A description of each indicator is found in Tables 3 and 4.

Table 5	
Evidence-Based Indicators Associated with Capacity Building Activities	
Capacity Building Activity	Evidence-Based Indicators
Services and Supports	1, 6, 8, 12, 16, 17, 20
Resource Development	5, 7, 9, 10, 13, 14, 15
Research and Evaluation	2, 3, 4, 11, 18, 19

Capacity building requires *knowledge transfer* throughout an organization and among all stakeholders. Knowledge transfer is enhanced when it includes the active involvement of stakeholders and potential users, is relevant to peoples' lives and welfare, is understandable and put into user-friendly format, is practical (i.e. usable), can be integrated easily into an organization's services and supports, is evidence-based, is shown to be effective, and is sustainable over time. Knowledge transfer also requires a clear understanding of what services and supports, resource development, and research and evaluation encompass, and what their relationship is to the specific evidence-based indicators assessed on the *OEES*. This relationship is discussed next.

Services and supports. The *OEES* approaches capacity building in reference to services and supports from four perspectives:

- A multidimensional quality of life model is employed to frame the services and supports around core quality of life domains and their enhancement. In our work to date, eight core domains have been identified and validated cross-culturally: personal development, self-determination, interpersonal relations, social inclusion, rights, and emotional, physical, and material well-being.
- A system of supports is used to align personal goals and assessed support needs to individual support plans and desired personal outcomes. As commonly defined, a system of supports includes natural supports, technology, prosthetics, education (new skills), environmental accommodation, incentives, personal strengths and assets, professional services and positive behavior supports.

- Personal, quality of life-related outcomes are used for multiple purposes including: (a) data for outcomes evaluation, (b) evidence for determining best practices, (c) outcome variables in organization and systems-level information systems, (d) outcome variables in public policy analysis, and (e) dependent variables in multivariate research studies.
- Program logic models are employed to align services and supports to identified support needs and desired personal outcomes.

Resource development. The *OEEES* provides a framework for the development of resources related to the perspectives of the customer, and the organization's growth, and financial status.

- In reference to the customer, resource development is enhanced through the use of technology to foster positive personal outcomes.
- In reference to an organization's growth, resource development is enhanced through partnerships, high performance teams, and job enrichment.
- In reference to an organization's financial status, resource development is enhanced by developing social capital, the evaluation of cost rate over time, and analyzing overhead rate to increase efficiency.

Research and evaluation. Not-for-profit organizations are increasingly being expected to evaluate their own performance and use that information for knowledge production, CQI, and organization transformation. Information from the *OEEES* can be used to develop capacity building activities related to the consumer, the organization's financial analyses, and the organization's internal processes.

- In reference to consumers, the organization's research and evaluation capacity is enhanced through collecting and analyzing data indicating the number of clients living and working in more integrated, productive, and community integrated environments, measuring personal outcomes, and aggregating personal outcomes.
- In reference to the organization's financial analyses, research and evaluation capacity is enhanced through comparing unit costs across different locations and platforms.
- In reference to an organization's internal processes, an organization's research and evaluation capacity is enhanced through demonstrating the relationship between units of services/supports provided and the clientele's assessed support needs, and using data related to personal and organization outcomes for multiple purposes.

Organizing Framework: Subsequent Performance Evaluation

Subsequent performance evaluation is the fourth component of a comprehensive approach to CQI and organization transformation. Performance evaluation can occur at any point in the quality improvement/transformation process, but it will have more meaning and value, and result in more useful information, if it is an integral part of the sequential process depicted in Figure 2, and if it is done subsequent to strategic planning and capacity building.

For many organizations, performance evaluation is something done externally, rather than as an integral part of an organization-based, sequential CQI/transformation process. In addition, many organizations are 'data rich and information poor' since they have not implemented a performance evaluation and management system that: (a) is based on a systematic approach to measuring the same best practice evidence-based indicators that are used in self-

assessment, strategic planning, and capacity building; and (b) provides information that can be used for multiple purposes.

Three types of information result from the reliable administration of the *OEES*: (a) evidence-based indicators raw scores, (b) performance-based perspective profiles, and (c) evidence-based indices. Graphic depictions of (b) and (c) were presented in Figure 1. A summary of this information and its multiple uses is presented in Table 6.

Table 6 Performance Evaluation Information Obtained from the <i>OEES</i> and Potential Uses	
Performance Evaluation Information	Potential Uses
Evidence-based indicator raw scores	One or more of these raw scores can be targeted for enhancement through the implementation of the respective best practice strategy that comprises the indicator (see Table 4).
Performance-based perspective profiles	The four performance-based profiles (and/or their associated raw scores) can be used as a basis for: (a) a balanced scorecard approach to reporting, monitoring, and research, and (b) benchmarking in strategic planning and capacity building.
Evidence-based indices	<p>These three indices can be used for reporting, monitoring, and benchmarking the organization's change and transformation.</p> <ul style="list-style-type: none"> -The Effectiveness Index reflects the relative strength of the organization from the perspectives of the organization's customers and growth. -The Efficiency Index reflects the relative strength of the organization from the perspective of the organization's financial analyses and internal processes. -The Sustainability Index reflects the organization's ability to: (a) adapt and change in reference to the four performance-based perspectives, (b) incorporate best practices into their policies and practices, and (c) provide a range of best practices service delivery opportunities and practices.

Participative Leadership

Participative leadership directs and participates in the organization transformation. This approach to leadership distinguishes between management and leadership. Management is a set of processes that keep a complicated system of people and technology running smoothly. Management involves planning, budgeting, organizing, staffing, controlling, and problem solving. In distinction, leadership is all about change. Participative leadership involves inspiring people and organizations to change, *to want to change*. CQI and organization transformation is based on a collective effort that involves personnel at all levels of the organization.

Participative leadership involves both roles and functions. As discussed in more detail in Schalock and Verdugo (2012, 2013):

- Leadership roles involve mentoring and directing, coaching and instructing, inspiring and empowering, and collaborating and partnering.
- Leadership functions involve communicating a shared vision, encouraging and supporting the power of personal mastery so that people can grow and develop insight and skills, stressing a systems perspective that focuses on the major factors influencing a person's behavior, promoting a community life context for enhancing a person's quality of life, emphasizing the essential role of organizations as bridges to the community, monitoring personal and organizational outcomes, and ensuring knowledge transfer throughout the organization.

This approach to participative leadership focuses clearly on the role of the organization's leader in CQI and organization transformation. To bring these changes about, participative leaders need to understand the adaptive nature of implementing change (Bisset et al., 2013) and the sequential steps involved in bringing about change (Schalock & Verdugo, 2012). Collectively, this understanding underscores the importance of participative leaders: (a) creating a clear vision of the future and what a transformed organization will look like; (b) using simple communication to enhance knowledge and understanding of the steps involved in the organization's transformation; (c) employing constructive engagement that involves empowering others to implement the change; (d) generating short-term wins to provide immediate feedback and reinforcement; and (e) anchoring the new approach in the organization's culture.

Summary and Contact Information

In summary, the *OEES* was developed to assist not-for-profit organizations meet the increasing need to be more effective in terms of achieving intended results, more efficient in terms of their resource utilization, and more sustainable in terms of adapting to change and providing a range of sound service delivery opportunities and practices. Successfully meeting these needs requires that organizations embark on continuous quality improvement and organization transformation.

The advantage of using the *OEES* is that it allows organizations to implement a collaborative approach to evaluation and an evidence-based approach to performance assessment, view performance evaluation from multiple perspectives, and take a comprehensive approach to continuous quality improvement and organization transformation. In the end, organization transformation is about improving the effectiveness and efficiency of organizations and enhancing the quality of those whom they serve. As reflected in the Exhibits presented in Section IV, organizations from a number of countries are successfully using the *OEES* for those purposes.

For more information about the *Organization Effectiveness and Efficiency Scale* contact:

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Section II

The Development and Field Testing of the OEES and Its Psychometric Properties

The OEES was developed consistent with best practices regarding test construction. Constructing the OEES involved four phases. The first involved conducting a thorough literature review in the areas of performance management and program evaluation to identify evidence-based indicators, evidence criteria, and performance-based perspectives. The references used in this literature review are presented in the Reference Section. The second phase used concept mapping with a panel of experts to aggregate the evidence-based indicators to a conceptual and measurement framework that encompasses the performance-based perspectives. The third phase involved constructing the initial Scale based on the evidence-based indicators, evidence criteria, and performance-based perspectives. The fourth phase involved conducting three field tests of the Scale across potential user groups to determine its psychometric properties, utility, feasibility, and usability.

Literature Review

The review of performance management and program evaluation literature identified the twenty most commonly used evidence-based indicators that reflect organization best practices and are used to evaluate organization performance. These were listed previously in Table 3. These indicators are reported in the published work of Divorski & Scheirer (2001), Donaldson (2007), Gugui & Rodriquez-Campos (2007), Magolius et al. (2009) Perkins et al. (2011), Veerman & van Yperen (2007), and Wasserman (2010). The literature review also identified the quality improvement strategies most commonly used in today's disabilities organizations. *These quality improvement strategies are the evidence criteria used to assess the twenty evidence-based indicators.* These quality improvement strategies, and their literature basis, are discussed more fully in Schalock and Verdugo (2012, 2013).

The literature review also identified four performance-based perspectives used commonly in performance evaluation and management: those of the consumer, and the organization's growth, financial analyses, and internal processes. An extensive discussion of these four perspectives is found in Fuller (1997), Niven (2008), Schalock & Verdugo (2012, 2013), Tsai et al. (2009), and Wu et al. (2011).

Concept Mapping

Investigators constructing new scales have employed a variety of methods such as concept mapping to establish the content domain of a particular measure under development. Concept mapping is a multi-step process that can be used to establish a conceptual map of related concepts. In the case of the OEES, these related concepts were the twenty evidence-based indicators, the sixty evidence criteria, and the four performance-based perspectives. For a more technical discussion of concept mapping methodology refer to Kane and Trochim (2007), Rosas and Kane (2012), and Sutherland and Katz (2005).

Concept mapping was used in developing the initial version of the OEES, which is built around those evidence-based indicators and performance-based perspectives summarized in Table 3. This process involved an expert panel, composed of the Scale's authors plus ten colleagues familiar with performance measurement and program evaluation, who assigned each indicator to one of the four perspectives, and three quality improvement/evidence criteria to each evidence-based indicator. Clear operational definitions were provided for each perspective, indicator and criterion/strategy. Initial agreement was high and subsequent discussion and clarifications reconciled any discrepancies.

Constructing the Initial Scale

Once the evidence-based indicators and evaluation criteria were finalized in regard to their wording, clarity, and placement within the four perspectives, the initial version of the Scale was constructed. This construction involved the following four activities.

1. Three *evaluation criteria* were developed by the expert panel for each evidence-based indicator. *These criteria operationalized the evidence-based indicators into logical, sequential steps through which an organization would proceed in planning, doing, and evaluating the indicator, and provided the metric by which the level of the indicator could be assessed.* These sequential evidence criteria are included in the OEES adjacent to the respective evidence-based indicator (See Section III).
2. Examples of evidence for each of the twenty evidence-based indicators were developed based on discussions with service providers and consensus within the expert panel. These examples anchor the respective evidence-based indicator to typical organization-based and generally available documents, reports, and processes.
3. A 3-point Likert scale was developed to assess the status of each evidence-based indicator. This commonly used metric/assessment technique was field tested to determine its sensitivity and utility in evaluating the level of each evidence-based indicator. Scoring is based on the number of evidence criteria met. On this rating: 2= 3 evidence criteria met; 1=1 or 2 evidence criteria met; and 0= no evidence available.
4. A description of the Scale was written, along with administration and scoring instructions. This material was edited jointly by the Scale's authors. Once completed, and the English version of the Initial Scale finalized, the Scale underwent three field tests. As discussed next, slight revisions of the Scale were made after each field test.

Field Tests

Field Test #1

In the first field test (January-March, 2012) we focused on four aspects of the Scale: (a) its etic (i.e. universal) properties; (b) its potential to be used for self-assessment, strategic planning, capacity building, and performance evaluation; (c) the utility of using a 3-point scoring metric for the evidence-based indicators and evidence criteria; and (d) the utility of the three evidence-based indices. Respondents were from 10 NGO organizations in Taiwan and twelve organizations in Spain providing services and supports to persons with intellectual and closely

related developmental disabilities. After translating (and back translating; Brislin, 1986) the initial Scale into Complex Chinese and Spanish, a series of questions were asked the respondents regarding the four aspects of the Scale. Results indicated that: (a) the concepts found within the Scale were relevant to their organization and were understandable; (b) the Scale could be used for the stated purposes, although cultural differences were found in that the Taiwanese culture is more process than outcome oriented in reference to human services; (c) the evidence-based indicators could be accurately and validly assessed via the 3-point Likert Scale; and (d) the three evidence-based indices had both value and utility in regard to reporting, monitoring, evaluation, and continuous quality improvement.

Field Test #2

In the second field test (June-July, 2012) we focused on: (a) inter-respondent reliability, (b) the clarity and understanding of the evidence-based indicators, and (c) the proper sequencing of the evidence criteria. Respondents were personnel from thirteen Flemish and one Dutch organization providing residential and day services and supports to persons with intellectual and closely related developmental disabilities. The number of clients served ranged from 10 to 100. For this second field test, the initial Scale was translated (and back translated) into Dutch and incorporated the content and process changes suggested by respondents in the first field test. The following analyses were computed on the data obtained from these organizations: (a) intra-class correlation coefficients (i.e. the agreement between the raters); (b) percent of agreement (i.e. the percent of agreement among raters); (c) correlation between perspective scores; and (d) Cronbach's Alphas (i.e. internal consistency among the scores). A summary of these results is presented in Table 7.

Table 7 Psychometric Properties of the OEES (Second Field Test)	
Analysis	Summary of Results
Intra-class Correlation	Client Perspective Score: .78 Growth Perspective Score: .85 Financial Perspective Score: .69 Internal Processes Perspective Score: .90
Percent of Agreement	Average across the 20 indicators: 72% Range among the 20 indicators: 50-92%
Correlation Between Perspective Scores	Average across Perspective Scores: .50 Range among the Perspective Scores: .32-.66 Significant Correlation Coefficients: Client vs. Internal Processes: .66 ($p < .01$); Growth vs. Internal Processes: .62 ($p < .01$)
Cronbach Alphas	Client Perspective: .62 Growth Perspective: .79 Financial: .50 Internal Processes: .65

The data summarized in Table 7 guided the following content and process changes to the initial version of the Scale. First, although there was strong agreement among the raters in that all correlation coefficients were greater than .69 and all percentage of agreement exceeded 50%,

there was a perceived need to use a consensus score to reduce variability and increase the stability of the respective scores. Second, although there was a positive correlation between the four perspectives, only two correlation coefficients (Client vs. Internal Processes and Growth vs. Internal Processes) were statistically significant. The lowest correlations were obtained between the Financial and all other perspectives, which resulted in the removal of one evidence indicator that was replaced by one that was considered by financial officers to be more relevant and robust. Third, three of the Cronbach Alphas fell within the acceptable range (Client, .62, Growth, .79, and Internal Processes, .65 (Cicchetti & Sparrow, 1981). The low alpha score for the Financial Perspective (.50) supported the changes to the Financial Perspective described above. In addition, the authors: (a) re-analyzed each of the three evidence criteria associated with each evidence-based indicator, and edited 10 of them to conform better to the plan-do-evaluate assessment format; and (b) developed the Glossary that provides definitions of the terms used in the *OEES*. Using the Glossary ensures an unambiguous interpretation of the terms and concepts used in the Scale.

Field Test #3

Two important activities occurred prior to the third field test. First, the initial translations of the Scale were refined, consistent with the process and content changes noted earlier. Second, electronic/web-based versions of each translated Scale were constructed, along with a standardized scoring form and reporting format. These electronic versions are available on-line through either the authors (see end of Section I for web site addresses) or via the general *OEES* web site: www.oeessonline.org.

In the third field test (January-March, 2013) we employed the electronic version of the Scale to evaluate the following aspects of the *OEES*: (a) descriptive statistics; (b) its psychometric properties; (c) the degree to which the items reflect organization-referenced best practices; (d) its intended uses; and (e) the time required to understand and administer the Scale.

Sample description. Data were collected from forty-four organizations in eight countries: Belgium (n=12), Canada (2), Mainland China (9), Germany (1), Ireland (1), Spain (3), Taiwan (13), and the United States (3). The majority of respondent organizations provide support to persons with intellectual disability (88.4%), with more than half (52.6%) providing services and supports to people of age, persons with emotional/behavioral problems, children and youngsters within special education, and persons with complex and multiple disabilities. Additional aspects of the sample were:

- 63% provide residential care, 72% day-care, 61% community-based programs, 16% special school, 40% supported employment, 30% sheltered employment, and 23% 'other.'
- Most of the organizations provide services and supports to a mixed group of children, adolescents, and adults and/or elderly. Seven organizations provide support only to adults, and two only to children.
- The number of clients supported by the organizations varied between 8 and 3,700, with about one-third being small organizations providing support to seventy or fewer clients. We classified the respondent organizations into four group sizes: small (70 or fewer clients; 32%), medium (70-110 clients, 16%), large (110-200 clients, 18%), and very large (>200 clients, 34%).

- The number of full-time equivalent (FTE) staff members varied between 6 and 1,900. According to the number of FTEs, about half of the sample can be regarded as a small organization having fifty FTEs or fewer (48%) and a quarter (25%) as very large.

Descriptive statistics. The *OEES* consists of four perspectives. Each perspective is measured according to five evidence-based indicators. Table 8 presents the mean scores and standard deviations for each of the twenty *OEES* evidence-based indicators.

Table 8 OEES Item Mean Scores and Standard Deviations (3rd Field Test)		
Perspective	Item Mean and Standard Deviation	Perspective Mean and Standard Deviation
Client	1. 1.47 (.63) 2. 0.98 (.71) 3. 1.3 (.64) 4. 0.88 (.76) 5. 0.93 (.67)	5.56 (2.42)
Growth	6. 1.42 (.55) 7. 1.47 (.55) 8. 1.26 (.69) 9. 1.16 (.72) 10. 1.19 (.63)	6.49 (2.13)
Financial	11. 1.12 (.73) 12. 1.12 (.70) 13. 0.56 (.59) 14. 0.84 (.75) 15. 0.98 (.80)	4.60 (2.53)
Internal Processes	16. 0.98 (.59) 17. 0.77 (.65) 18. 0.91 (.68) 19. 0.98 (.67) 20. 0.86 (.77)	4.49 (2.53)

Psychometric properties. As shown in Table 9, and based on Cronbach's Alpha values, all four of the perspective scores have an acceptable to good level of internal consistency (Cicchetti & Sparrow, 1981). Each of these values is higher than those obtained during the second field test (see Table 7).

<p>Table 9</p> <p>Internal Consistency of the Four Perspective Scores (3rd Field Test)</p>	
Perspective	Cronbach's Alpha
Client	.753
Growth	.701
Financial	.749
Internal Processes	.805

As shown in Table 10, all Pearson Product Moment correlation coefficients among the four perspective scores were statistically significant at either the .05 (*) or .01 (**) level.

<p>Table 10</p> <p>Correlations Among Perspective Scores (3rd Field Test)</p>				
Perspective	Client	Growth	Financial	Internal Processes
Client	1.00	.62**	.34*	.72**
Growth	.62**	1.00	.36*	.66**
Financial	.34*	.36*	1.00	.50**
Internal Processes	.72**	.66**	.50**	1.00

Degree item reflected best practices. Respondents were asked to evaluate (3=high, 2=somewhat, 1=not) the degree to which items within each of the four performance-based perspectives reflected organization-referenced best practices. The average rating per perspective was: Customer (mean=2.9), Growth (2.8), Financial (2.6), and Internal Processes (2.9).

Intended uses. Respondents were also asked to indicate (3=definitely, 2=maybe, 1=no) whether or not they intended to use the Scale for one or more of its intended uses: self-assessment, strategic planning, capacity building, and/or subsequent performance evaluation. The majority of the respondents indicated that it would be used for self-assessment, strategic planning, or performance evaluation. Its use for capacity building was seldom mentioned, possibly because the concept of capacity building was either not well understood, or not well explained. In follow-up interviews with the respondents regarding intended uses of the Scale, the respondents suggested that the following three aspects of the administration and scoring of the Scale need to be addressed in the *OEES Manual*. First, the Interviewer and Respondents need to be very familiar with the key concepts and terms used in the *OEES*. To address this need, we added Table 2 to Section I of the Manual, and updated and clarified all terms and concepts found in the Glossary. Second, the respondents indicated strongly that the Interviewer needs to be a person with experience in the management of an organization (e.g. a quality assurance or quality management coordinator). Although the Interviewer can be internal or external to the

organization, he/she needs to interview at least two managerial-level or above organization personnel and report a consensus score. We have added this requirement to the instructions regarding Scale Administration (see Section III). Third, the items (i.e. evidence-based indicators and associated evidence criteria) need to be less open to interpretation. As a result of this suggestion, we developed the ‘OEES Interviewer Template’ (see Table 11-Section III).

Time requirements. Three questions were asked the respondents concerning the time required to understand and administer the OEES. Results indicated that the average amount of time required to: (a) understand the *OEES* was 1.5 hours; (b) understand the terms and concepts used in the OEES was 1.00 hour; and (c) administer the *OEES* via the on-line version was forty-five minutes.

Section III

Administration and Scoring Procedures and Interpretation Guidelines

Overview

The *OEES* employs a collaborative approach to evaluation. Although such an approach increases the use of assessment information and fosters organization learning and transformation, it does require building the organization's capacity to self-evaluate and use the resulting information for quality improvement. It also poses challenges to those involved in the assessment process. These challenges center primarily on the need to understand the conceptual and theoretical model on which the instrument was developed; base the assessment on clearly defined and understood terms, concepts, and metrics; and involve knowledgeable and competent persons who trust one another during the assessment process and share the evaluation findings (Fitzpatrick, 2012; O'Sullivan, 2012; Rodriguez-Campos, 2012).

Authors of the *OEES* addressed these challenges by: (a) employing an administration procedure that specifies the role and competencies of the Interviewer and the Respondents; (b) providing a template to administer the *OEES* in a conversation format; (c) employing a scoring procedure that results in immediate feedback; and (d) providing interpretative guidelines to facilitate understanding the obtained scores and their potential uses. Each of these strategies is described in more detail on subsequent pages.

Administration Procedures

The Interviewer

The Interviewer should be competent in assessment strategies that involve the collaborative approach to evaluation, familiar with organization management, and familiar with the conceptual and theoretical approach used in the *OEES*. This approach focuses on performance-based evaluation, multiple perspectives on performance, and the use of evidence-based indicators that reflect best practices. The Interviewer can be internal to the program (e.g. a quality assurance or quality manager) or external to the organization (i.e. a consultant). The Interviewer should use a conversation format to obtain from the Respondents a consensus score for each of the twenty evidence-based indicators. A template is provided in Table 11 to facilitate this process.

The Respondents

At least two Respondents *are interviewed jointly* by the Interviewer. Respondents should be managerial level or above in the organization. They need to be familiar with data sets in the organization's management information system, and knowledgeable in how to access and interpret information. Respondents should also be aware of the four performance-based perspectives (i.e. the customer, and the organization's growth, financial analyses, and internal processes).

The Interview Process

The *OEES* can be administered and scored by using either the on-line version of the Scale or the hard copy. For either format, the Interviewer begins the session with a brief overview of the *OEES*, including its purpose, the key terms and concepts used, and its conceptual/theoretical approach (see Section I-Tables 1, 2, and 3, and Figures 1 and 2). Thereafter, the Interviewer uses Table 11 (“OEES Interviewer Template”) to structure the conversation while conducting the interview with two or more Respondents. As shown in Table 11, for each of the twenty evidence-based indicators, there is a list of related terms and concepts (which are defined in the Glossary), and a description of the item’s intent. Prior to scoring each item, the Interviewer needs to be sure that the Respondents are familiar with both the terms and concepts and the item’s intent.

Table 11 OEES Interviewer Template		
Evidence-Based Indicator	Related Terms and Concepts	Item’s Intent
Aligns services/supports to identified support needs	Assessed support needs, personal goals, individualized supports, system of supports	To ensure that the services and supports provided to the person focus on what is important to and for the individual.
Reports number of clients living or working in more independent, productive, and community integrated environments	Movement data, independent environments, community integrated environments, best practices	To determine whether service recipients are moving into environments that are more independent, productive, and community integrated.
Measures personal outcomes	Personal outcomes, assessment of personal outcomes	To focus on the importance of identifying and maximizing outcomes which are important to the person.
Reports and analyses aggregated personal outcomes	Personal outcomes, evaluation	To ensure that personal outcomes are analyzed, reported, and used for CQI and organization transformation.
Uses technology to enhance personal outcomes	Technology (information and assistive)	To emphasize the importance, potential, use, and evaluation of information and assistive technology to enhance personal well-being and personal outcomes.
Articulates the organization’s mission and intended results	Values, service delivery components, service delivery philosophy. Intended results, evidence-based indicators	To communicate to all stakeholders the organization’s measurable goals and objectives.
Enters into partnerships	Advocacy groups, parent organizations, consortia	To realize that an organization’s effectiveness and efficiency are enhanced through viable and effective partnerships.
Develops program options	Strategic planning, program options	To increase the organization’s sustainability through the provision of a range of sound service delivery

		opportunities and practices.
Utilizes high performance teams	High performance teams, assessment, evaluation, individualized supports, monitoring, outcomes evaluation, quality improvement	To develop and utilize high performance teams that are responsive to the horizontal structuring of organizations, and that increase the organization's effectiveness and efficiency through the focus on teamwork, synergy, raising the performance bar, 'us accountability', and promoting a learning culture.
Monitors job satisfaction and develops job enrichment programs	Job enrichment, capacity building, resource development, empowerment, involvement	To address capacity building and resource development through increased job satisfaction, job enrichment, and empowering others to implement quality improvement and organization transformation activities.
Compares unit costs across different locations and platforms	Unit costs, platforms	To employ a cost accounting system that permits comparing unit (e.g. hours, day, month) costs across program types and locations.
Reports percentage of budget allocated to client referenced support	Components of a system of supports, client-referenced supports	To emphasize that the primary function of a not-for-profit organization is to provide individualized supports to service recipients.
Monitors the relationship between social capital and agency-based capital	Social capital, agency-based capital	To appreciate that resources are more than agency-based capital. Resources also include the knowledge and contribution of family, volunteers, and other community organizations.
Uses fixed and variable cost data to establish a baseline rate	Fixed costs, variable costs	To analyze both fixed and variable costs and to use that information, plus the ratio of the two, for reporting, monitoring, and evaluation.
Analyzes overhead rate to increase efficiency	Overhead rate, overhead costs	To attempt to reduce overhead rate levels to increase the organization's efficiency.
Horizontally aligns input, throughput, and output program components	Alignment, organization's service delivery components, program logic models, horizontal alignment	To graphically portray the organization's service delivery components and demonstrate evidence of horizontal alignment.
Vertically aligns an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components	Service delivery components, program logic models, alignment, mapping system, vertical alignment	To become sensitive to both the easier communication to stakeholders and the increased effectiveness and efficiency that occurs when an organization's input, throughput, and output components are aligned with the corresponding individual-level components.
Demonstrates relationship between units of service/ support provided	Units of service, support needs, system of supports	To increase the organization's accountability and ability to conduct

and the clienteles' assessed support needs		evaluation and research activities.
Uses data related to personal and organization outcomes for multiple purposes	Personal outcomes, organization outcomes, evaluation, reporting, monitoring, evaluation, continuous quality improvement	To enhance the organization's ability to use personal and organization outcomes for reporting, monitoring, evaluation, research, CQI, and organization transformation.
Uses evidence-based indicators for continuous quality improvement	Evidence-based indicators, quality improvement strategies, continuous quality improvement (CQI), Radar Chart, Dash Board, performance-based measures, multiple perspectives, multiple uses of data, performance-based perspectives, performance management	To enhance the organization's ability to use evidence-based indicators for reporting, monitoring, evaluation, research, and continuous quality improvement.

Scoring Procedures

Scoring Criteria

The scoring of each evidence-based indicator is based on the evaluation criteria associated with each indicator. Based on the number of criteria met, the indicator is scored 2, 1, or 0.

- 2 = all 3 criteria are met
- 1 = 1 or 2 criteria are met
- 0 = no criteria are met

Consensus Score

A consensus score (between or among the Respondents) is used. That is, *the evaluation score for each indicator is a consensus score based on the two (or more) Respondents.*

OEES Scoring Form

Consensus scores are entered onto either the on-line *OEES Electronic Scoring Form* or the hard copy *OEES Scoring Form*. If the hard copy version of the Scale is used, the *OEES Scoring Form* is presented as Figure 3 (see page 41).

Interpretation Guidelines to Facilitate Understanding and Potential Uses

From its inception, the *OEES* was meant to be an evaluation instrument that could be used for multiple purposes that involved self-assessment, strategic planning, capacity building, and subsequent evaluation. These multiple purposes require an understanding of two things. First, how the perspective and indices profiles can be used for reporting, benchmarking, and providing a framework for continuous quality improvement. Second, how the evidence-based

scores and their associated evaluation criteria/quality improvement strategies can be used for quality improvement activities. Two interpretation guidelines related to these purposes are discussed next.

Guideline #1: Analyze the Perspectives Profile and Indices

Four performance-based perspectives are assessed on the Scale: those of the customer, and those of the organization's growth, financial analyses, and internal processes. Summative scores regarding the four perspectives are shown graphically on a Radar Chart (see Figure 1-Section I of the Manual). In addition, three evidence-based indices are also computed based on perspective scores: an Effectiveness Index (total of Customer and Growth Perspectives), an Efficiency Index (total of Financial and Internal Processes Perspectives), and a Sustainability Index (total of Effectiveness and Efficiency). Collectively, these figures show the organization's relative strengths in regard to the four perspectives and three indices. These two graphic summaries should not be used to compare organizations, but rather for reporting, benchmarking/monitoring, and providing a framework for continuous quality improvement.

- *Reporting*: Presenting a balanced scorecard regarding an organization's performance in reference to the four performance-based perspectives and three evidence-based indices.
- *Benchmarking/Monitoring*: Providing a baseline for strategic planning and capacity building activities, and evaluating organization change and transformation over time in regard to the four perspectives and three indices.
- *Continuous Quality Improvement*: Identifying perspectives or indices for needed improvement. Once the perspective or indices that need improvement are identified, then one proceeds to analyzing perspective-specific evidence-based indicator scores. Guideline #2 explains how this is done.

Guideline #2: Analyze Perspective-Specific Evidence-Based Indicator Scores

Evidence-based indicator scores are used to compute the performance-based perspective and evidence-based indices profiles described in Guideline #1. The analysis of the specific evidence-based scores will identify the evidence-based indicators that have the lowest score. These indicators provide a basis for formulating and implementing quality improvement strategies based on best practices and aligning those strategies to each of the four performance-based perspectives (see Table 4-Section I of the Manual for specific examples). As with the perspective and indices profiles, the actual value of the indicator scores is meaningless from an organization comparison perspective: *these scores should be interpreted and used for strategic planning, organization learning, capacity building, and continuous quality improvement. They should not be used to compare organizations or for resource allocation.*

In summary, the *OEES* is administered by a trained Interviewer who uses a consensus approach to interview two or more manager-level Respondents on the twenty evidence-based indicators contained within the Scale. The scores obtained from the assessment can be used to summarize the organization's current status on four performance-based perspectives and three evidence-based indices.

The purpose of the evaluation based on the *OEES* is to provide information that both summarizes the organization's current status on the evidence indicators and can be used for subsequent activities related to quality improvement and organization transformation. The following section of the Manual discusses, with real-life examples, how organizations internationally are using the *OEES* and the information it provides for these purposes.

Organization Effectiveness and Efficiency Scale

Customer Perspective

Customer Perspective Focus: The Customer Perspective encompasses: (a) aligning services/supports to identified support needs, (b) reporting the number of clients living or working in more independent, productive, and community integrated environments, (c) measuring personal outcomes, (d) reporting and analyzing aggregated personal outcomes, and (e) using technology to enhance personal outcomes.

<i>Evidence-Based Indicator</i>	<i>Evidence Criteria</i>	<i>Examples of Evidence</i>	<i>Scoring of Evidenced-Based Indicator (Circle)</i>
1. Aligns services/supports to identified support needs	Develops a standardized approach to the assessment of individual support needs that are important to and for the individual Uses that information to develop an Individual Supports Plan Determines that individualized supports provided are aligned with support needs that are important to and for the individual	Assessed supports needs data; incorporation of support need data into the Individual Supports Plan	2 1 0
2. Reports the number of clients living or working in more independent, productive, and community integrated environments	Has a data system that keeps track of client movement into more independent, productive, and community integrated environments Aggregates movement data Analyzes and reports the aggregated data	Data sets within the organization's management information system	2 1 0
3. Measures personal outcomes	States/describes desired personal outcomes Implements a standardized approach to the assessment of personal outcomes Analyzes and reports personal outcomes information	Ongoing use of a reliable and valid personal outcomes scale outcomes	2 1 0
4. Reports and analyses aggregated personal outcomes	Aggregates assessed personal outcomes Summarizes aggregated personal outcomes in meaningful ways (e.g. by program component or geographical location) Analyzes and reports aggregated personal outcomes	Data sets within the organization's management information system	2 1 0
5. Uses technology to enhance personal	Is familiar with current assistive technology devices and strategies	Policy of using IT and AT; demonstrations that they are	

outcomes	Uses individualized assistive technology devices and strategies Evaluates their effectiveness in enhancing personal outcomes	being used; see the use of such devices in practice; evaluations of the impact of their use	2 1 0
Customer Perspective Score			

Scoring Format:

2 = 3 evidence criteria met

1 = 1 or 2 evidence criteria met

0 = no evidence criteria met

Growth Perspective

Growth Perspective Focus: The Growth Perspective encompasses: (a) articulating the organization's mission and intended results, (b) entering into partnerships, (c) developing program options, (d) utilizing high performance teams, and (e) monitoring job satisfaction and developing job enrichment programs.

<i>Evidence-Based Indicator</i>	<i>Evidence Criteria</i>	<i>Examples of Evidence</i>	<i>Scoring of Evidenced- Based Indicator (Circle)</i>
6. Articulates the organization's mission and intended results	Develops a mission statement that encompasses service delivery philosophy and intended results Operationalizes intended results into evidence based indicators that are objective and measureable Evaluates the evidence based indicators against the intended results	Mission statement with specific goals and objectives	2 1 0
7. Enters into partnerships	Identifies potential partners (e.g. advocacy groups, parent organizations, consortia members, community organizations, and businesses) Establishes partnerships Reports and analyzes the impact of the partnerships	List of partners; summaries/reports of partnership-related activities	2 1 0
8. Develops program options	Does strategic planning regarding the development of program options Implements the program options consistent with the strategic plan Reports increased program options over time	A listing of program options; policy statements	2 1 0
9. Utilizes high performance teams	Relates the concept of high performance teams to the organization Develops specific high performance teams that are relevant to the organization Evaluates the effectiveness and efficiency of the established high performance teams	Protocols regarding meetings, composition and specific tasks of the respective teams, conflict resolution strategies	2 1 0
10. Monitors job satisfaction and develops job enrichment programs	Conducts job satisfaction surveys and plans job enrichment programs based on survey results Implements job enrichment programs that includes staff training activities Evaluates and modifies job enrichment programs based on their intended results	Results of job satisfaction surveys, description of job enrichment programs, description of staff training/development activities	2 1 0

Growth Perspective Score

Effectiveness Index

Scoring Format:

2 = 3 evidence criteria met

1 = 1 or 2 evidence criteria met

0 = no evidence criteria met

Financial Perspective

Financial Perspective Focus: The Financial Perspective encompasses: (a) comparing unit costs across locations and platforms, (b) reporting the percent of budget allocated to client-referenced supports, (c) monitoring the relation between social capital and agency-based capital, (d) using fixed and variable cost data to establish a baseline rate, and (e) analyzing overhead rate to increase efficiency.

<i>Evidence-Based Indicator</i>	<i>Evidence Criteria</i>	<i>Examples of Evidence</i>	<i>Scoring of Evidenced-Based Indicator (Circle)</i>
11. Compares unit costs across different locations and platforms	Establishes a standardized approach to calculate unit costs (e.g. hours of service/support) Determines unit costs across different locations and platforms Compares unit costs across different locations and platforms	Budget cost calculations regarding unit costs, costs across locations, and comparative costs across program platforms	2 1 0
12. Reports percentage of budget allocated to client referenced supports	Defines operationally components of client-referenced supports (e.g. the components of a system of supports) Determines percent of total budget allocated to client-referenced supports Reports percentage on a regular basis	Budget; financial reports; Annual Report (can be used to calculate operating costs)	2 1 0
13. Monitors the relationship between social capital and agency-based capital	Has a policy regarding the contribution of social capital to an organization's budget Develops a data system for capturing the measures (e.g. hours of volunteer service) Computes the ratio of social capital to agency-based capital	Budget; financial estimate of value of social capital	2 1 0
14. Uses fixed and variable cost data to establish a baseline rate	Establishes fixed and variable costs Uses ratio to establish a baseline cost rate Monitors cost rate over time (e.g. T 1, T 2 etc.)	Budget; monitoring and evaluation of cost rate over time	2 1 0
15. Analyzes overhead rate to increase efficiency	Defines how the organization calculates overhead Monitors overhead rate If necessary, adjusts rate to increase efficiency	Overhead rate calculations; analyses of rate levels over time	2 1 0
Financial Perspective Score			

Scoring Format:

2 = 3 evidence criteria met

1 = 1 or 2 evidence criteria met

0 = no evidence criteria met

Internal Processes Perspective

Internal Processes Perspective Focus: The Internal Processes Perspective encompasses: (a) horizontally aligning input, throughput, and output program components, (b) vertically aligning an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components, (c) demonstrating the relationship between service/supports provided and the clienteles' assessed support needs, (d) using data related to personal outcomes and organization outputs for multiple purposes, and (e) using evidence-based indicators for continuous quality improvement..

<i>Evidence-Based Indicator</i>	<i>Evidence Criteria</i>	<i>Examples of Evidence</i>	<i>Scoring of Evidenced- Based Indicator (Circle)</i>
16. Horizontally aligns input, throughput, and output program components	Identifies and describes the organization's service delivery components Uses a logic model to show how the service delivery components can be aligned horizontally into input, throughput, and output components Analyzes the horizontal alignment among input, throughput, and output components	Availability of program logic models that graphically portray the organization's input, throughput, and outcome/output components; evidence of horizontal alignment	2 1 0
17. Vertically aligns an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components	Identifies and describes the input throughput, and output components at the individual and organizational levels Uses a mapping system (e.g. logic model, concept map, or a strategic activities system map) to show how the components can be vertically aligned between the individual and organizational levels Analyzes the vertical alignment of the input, throughput, and output components between individual and organizational levels	Evidence of or examples of horizontal alignment; evidence of or examples of vertical alignment	2 1 0
18. Demonstrates relationship between units of service/support provided and the clienteles' assessed support needs	Establishes a standardized approach to defining units of service and the assessment of support needs Determines the relationship between units of services/supports provided and the person's assessed support needs Analyzes the relationship between units of service/supports provided and the person's assessed support needs	Description of a standardized approach to defining units of service; description of the organization's standardized approach to the assessment of individual support needs; research/evaluation studies determining the relationship between units of service provided and consumer's assessed support needs	2 1 0
19. Uses data related to personal and organizational outcomes for multiple purposes	Has a policy regarding data sets and data use Implements a data collection system Uses data for multiple purposes (e.g. reporting, monitoring, evaluation, and continuous quality	Descriptions of data sets; examples of how personal outcomes data are used; examples of how organization output data are used	2 1 0

	improvement)		
20. Uses evidence-based indicators for continuous quality improvement	Employs evidence-based indicators in strategic planning Aligns quality improvement strategies to specific evidence-based indicators Evaluates the impact of the strategies	Examples of evidence-based indicators/practices; examples of performance-based measures; performance-based perspectives; balanced scorecard; radar charts; specific quality improvement plans	2 1 0

Internal Processes Score

Efficiency Index

SUSTAINABILITY INDEX:

Effectiveness Index + Efficiency Index:

[]

Scoring Format:

2 = 3 evidence criteria met

1 = 1 or 2 evidence criteria met

0 = no evidence criteria met

Figure 3. OEES Scoring Form

OEES Scoring Form					
Sustainability Index	Effectiveness Index	PERSPECTIVE	INDICATOR	SCORE	
		Customer	1		
			2		
			3		
			4		
			5		
		Total Score Customer Perspective (Indicators 1 to 5):			
		PERSPECTIVE	INDICATOR	SCORE	
		Growth	6		
			7		
	8				
	9				
	10				
	Total Score Growth Perspective (Indicators 6 to 10):				
	Effectiveness Index (Customer and Growth Perspectives):				
	Efficiency Index	PERSPECTIVE	INDICATOR	SCORE	
		Financial	11		
			12		
			13		
			14		
15					
Total Score Financial Perspective (Indicators 11 to 15):					
PERSPECTIVE		INDICATOR	SCORE		
Internal Process		16			
		17			
	18				
	19				
	20				
Total Score Internal Process Perspective (Indicators 16 to 20):					
Efficiency Index (Financial and Internal Process Perspectives):					
Sustainability Index (Effectiveness and Efficiency Indices):					

Section IV

How Organizations are Using the OEES And the Information It Provides

Application Model

The *OEES* Application Model presented in Figure 4 shows the four primary uses of the Scale and the major by-products resulting from each use. For self-assessment, organization personnel come to understand the perspectives on organization performance and the core concepts and values in organization practices. They are also provided with data for quality improvement. For strategic planning, organization personnel use best practices, as reflected in the twenty evidence-based indicators and aggregated into the four performance-based perspectives, to align those evidence-based practices and perspectives to strategic planning goals and quality improvement strategies. For capacity building, organization personnel use the twenty evidence-based indicators as quality improvement strategies to enhance the organization's capacity regarding services and supports, resource development, and research/evaluation. For subsequent performance evaluation, item scores, perspective profiles, and the three performance-based indices are used for reporting, monitoring, evaluating change, and continuous quality improvement, including strategic planning and capacity building.

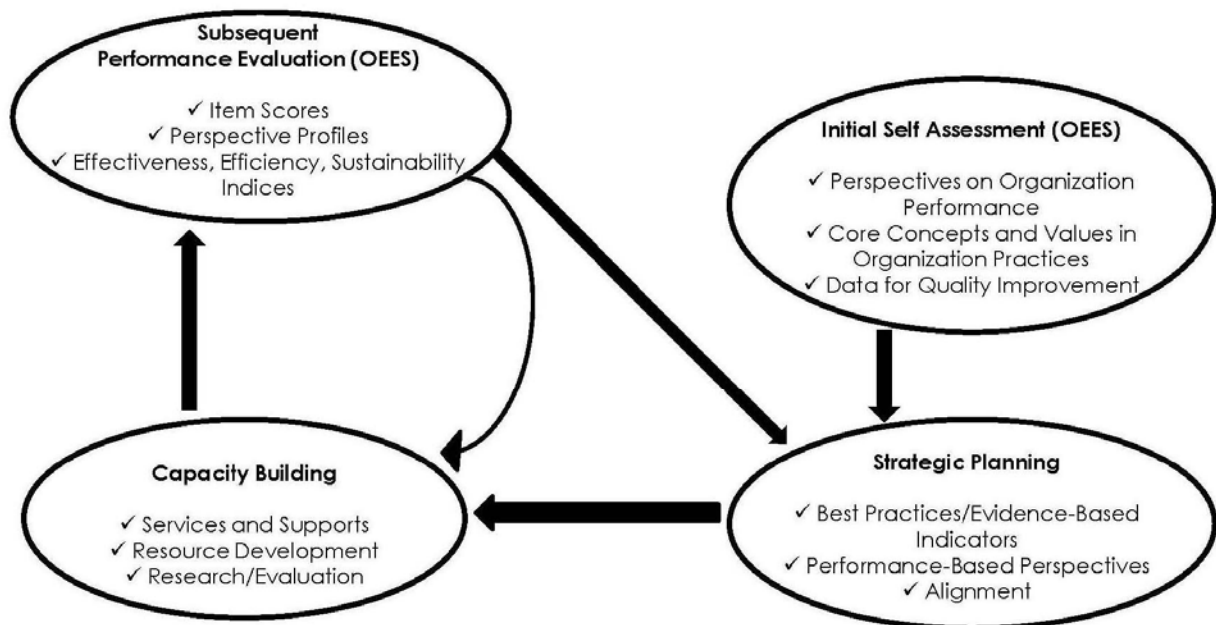


Figure 4. OEES Application Model

Regardless of its use, those using the OEES need to keep two points clearly in mind. First, application of the Scale and the information it provides is successful only to the degree that knowledge transfer occurs throughout the organization and among all key stakeholders. Second, the OEES can be used in conjunction with other approaches to performance assessment and quality management.

Knowledge Transfer

Knowledge transfer is enhanced when it involves all organization personnel, key stakeholders, and potential users. The ‘knowledge’ that is being transferred needs to be relevant to peoples’ lives and welfare, is understandable and put into user-friendly formats, is practical (i.e. usable), can be integrated easily into an organization’s services and supports, is evidence-based, is shown to be effective, and is sustainable over time (Association of European Science and Knowledge Transfer; Graham et al., 2009; Institute for Knowledge Transfer; NCDDR 2013; www.ncddr.org). The OEES authors have maximized knowledge transfer by:

- Defining clearly the key terms and concepts that are embedded in the Scale and form its conceptual and theoretical approach to performance evaluation (see Tables 1-5 in Section I and the Glossary).
- Identifying evidence-based indicators that are the basis for performance-based evaluation and management and are used for multiple purposes.
- Approaching performance-based evaluation and management, organization change, and organization transformation as a continuous process that begins with self-assessment (that produces the knowledge) and continues through strategic planning and capacity building activities.
- Using the same evidence-based indicators as assessment items for self-assessment and subsequent performance evaluation and as quality improvement strategies for strategic planning and capacity building. This multiple use of the same evidence-based indicators facilitate knowledge transfer and hence enhances the organization’s effectiveness and efficiency.

Using the OEES in Conjunction with Other Approaches

The OEES can be used in conjunction with other approaches to performance assessment and quality management. One such approach is the EFQM model that is used throughout Europe. As shown in Exhibit I, APROSUB in Spain uses both approaches and has aligned the four performance-based perspectives found in the OEES with the APROSUB process, personal and organization outcomes, and corresponding EFQM sub-criteria.

Exhibit I

Using the OEES in Conjunction with Other Approaches to Performance Assessment and Quality Management

Juan A. Gonzalez, Executive Director, and Angela Amate, President
APROSUB (juangonzales@aprosub.es)

APROSUB is an organization that provides services and support to people with intellectual disabilities within the province of Cordoba, Spain. Within its forty-two years of existence APROSUB has consolidated a network of services, providing support for 850 people with intellectual disability. The network of services consists of three preschool centers, five primary and secondary schools, six units of daytime staying with occupational therapy, four units of daytime staying, five residences and a specific resource center.

During the last forty years there have been various stages with different approaches. Currently, the concepts quality of life, self-determination, and rights are driving the change in APROSUB as an organization. The process has been focused on two basic functions: organizational change and technical development. Special emphasis is given to generating change in respect of the organization's culture related to the supports paradigm, quality of life, ethics, and ways of improving management.

APROSUB has sought to align the strategic perspectives with people-oriented processes and a management system based on the EFQM model, in order to gain in efficiency and organizational effectiveness and thus to achieve the mission of the organization: "to improve the quality of life of those with intellectual disability and their relatives, facilitate and provide support required within a framework that promotes the exercise of their rights".

In order to achieve this, supported by an important framework of people (more than eighty people participated) we initiated the concept that has become the "Map of Processes of APROSUB". We understood that this concept had to be clearly directed towards PEOPLE. It had nothing to do with the organization of the services provided by us, but rather the need to ensure that everything was directed towards improving quality of life. In order to achieve this it was essential that "self-determination" as well as "exercise of rights" played a fundamental role.

APROSUB'S PROCESSES MAP		
Strategic processes	Key processes	Support Processes
Organizational	Welcome	Project Management
Professionals	Design of Personal Plan Support	Environmental Management
Quality	Development of Personal Plan	Health Management
Ethics	Support	Financial Process
Dynamization	Right promotions	Infrastructure Process
Associational	Prevention of infringement	General services Process
Strategic Planning	Provide support for the family	Administrative Process
Environmental		Occupational Hazard Prevention
Management		Data Protection Act

To ensure the best management of the whole system, the organization is deeply committed to follow the EFQM model in which it currently holds 400+ of the European seal of Excellence. This allows us to assure that the organization is clearly oriented to its clients and mission. By using the four performance-based perspectives obtained from the OEES as an organizing framework, we are able to

align components of our Process Map to personal and organizational outcomes and EFQM sub-criteria. This alignment, which is shown in the following chart, has facilitated both knowledge transfer throughout the organization and a planning framework for participative leadership and organization management.

OEES Perspectives	APROSUB Process	Outcomes	Sub-Criteria EFQM
FINANCIAL	Financial	Sustainability	1b, 1e, 3e, 4b, 9a, 9b
	Administrative		
CUSTOMER	Welcome	Improved personal outcome	1c, 2a, 5a, 5b, 5e, 6a, 6b
	Personal Plan Support		
	Right Promotion		
	Prevention of rights infringement	Improved family outcome	
	Health System Management		
	Support to families		
INTERNAL PROCESSES	Quality	Generate value to customers	2d, 5a, 5b, 5c, 5d, 5e, 9a, 9b
	Organization		
	Strategic Planning		
	Environmental Management		
	Ethics		
GROWTH	Environmental Management	Professional growth and development	1a, 1b, 1c, 1d, 2a, 2b, 2c, 2d, 3a, 3b, 3c, 3d, 3e, 4a, 7 ^a , 7b, 8a, 8b, 9a, 9b
	Quality	Organizational growth and development	
	Staff		
	Strategic Planning		
	Innovation		

We understand that the culture and evaluation processes are essential to establish indications to measure effectiveness and organizational efficiency at any time. In this way we can see some of the organizational results that APROSUB is currently achieving in relation to the Customer Perspective.

Perspective	Strategic Objective	Indicators	Outcomes
Customers	Quality of life	% of people who are providing support and services to individual plan	100%
		% of professionals with basic training in PCP	88.58%
		% of families trained in basic PCP	31.23%
		% of people who have an individual support plan	100%
		% of families formed newly incorporated under PCP	100%
		% of newly incorporated professionals trained under PCP	100%
		% of professionals who have advanced training on self-determination	87.21

In summary, the Application Model that was shown in Figure 4 and the material presented in Exhibit I indicate how the *OEES* can be used for multiple purposes, which in and of itself enhances the organization's efficiency. The remaining material in this Section of the Manual shows how the *OEES* can be used for self-assessment, strategic planning, capacity building, and subsequent performance evaluation. For each of these uses an overview of the respective use will be provided followed by two or more examples (i.e. Exhibits) describing how IDD-related organizations from multiple international jurisdictions are using the Scale for these multiple purposes.

Self-Assessment

Self-assessment requires a different mind-set than has traditionally been the case regarding organization evaluation. Historically (and currently) organizations have been evaluated for purposes related to licensing, certification, accreditation, or funding. This process of evaluation and the use of the resulting evaluation information has not only established 'an evaluation mind-set' but it has also resulted in some fear, anxiety, and apprehension about evaluation and the need to 'look good.' *In distinction, the 'evaluation mind-set' embedded in the OEES considers evaluation as an organization-based, collaborative process whose primary purpose is quality improvement.*

The *OEES*-based evaluation mind-set changes how organizations and their stakeholders view evaluation generally and self-assessment specifically. The successful implementation of this new mind-set requires at least three things. First, this approach to evaluation/self-assessment involves a set of best practices that frame the collaborative evaluation process. The *OEES* provides this framework. Second, organization personnel must be honest in their assessment of the status of evidence-based indicators, and formulate their evaluation on the basis of 'what is' rather than 'what someone might want to see.' Third, the evaluation process needs to be viewed as a collaborative process that: (a) increases knowledge and understanding of the evaluation/assessment process; (b) encourages self-critique and systematic inquiry at the level of the individual and organization; (c) enhances organizational learning; and (d) allows organization personnel to incorporate assessment findings into subsequent decision making. This collaborative approach to evaluation is consistent with the rise of participative scientific research that is increasingly becoming the favored 21st Century model for conducting evaluation and research (Nielsen, 2011; Toerpe, 2013).

The quality and utility of self-assessment is enhanced when those involved in the process understand:

- An evidence-based approach to performance assessment based on best practices. Indicators reflecting these best practices can be used for self-assessment, strategic planning, capacity building, and subsequent performance evaluation.
- The multiple perspective approach to performance evaluation and management that involves the perspective of the customer, and the organization's growth, financial analyses, and internal processes.
- A comprehensive approach to continuous quality improvement and organization transformation that includes an organizing framework that involves sequential steps that guide the continuous quality improvement and organization process (see Figures 2 and 4).

- The core values driving nonprofit organizations. At the individual level, these values are dignity, empowerment, self-determination, nondiscrimination, and inclusion. At the organization level, the values reflect quality assurance, quality improvement, and accountability.
- The transformation concepts that are guiding organizational transformations. These core concepts involve quality of life, personal outcomes, individualized supports, right-to-left thinking, balanced scorecard, organization outcomes, outcomes evaluation, alignment, continuous quality improvement, program logic models, best practices, and evidence-based practices.
- The proper use of *OEES*-related information. Specifically, information regarding the organization's current status on either specific evidence-based indicators or the four performance-based perspectives should not be used to compare organizations. Rather *the primary use of self-assessment information is to present a balanced scorecard for understanding the organization's current status, and provide a baseline (i.e. benchmark) for strategic planning and capacity building.*

Organizations use the self-assessment process and the resulting information in a variety of ways. For example, in Exhibit II, Dr. Claudia Claes of University College, Gent University describes how the OEES can be used as an internal evaluation process that allows an organization to detect strengths and limitations in its service delivery system, and by identifying and responding to this information can be more effective in the attainment of goals, objectives, and outcomes.

Exhibit II

Self-Assessment Practical Guidelines

Claudia Claes-University Colleges-Gent University
(Claudia.claes@hogent.be)

The Lork is a service-facility in Brussels providing supports to fifty-five persons with an intellectual disability. The mission statement of the Lork starts from the Quality of Life concept and stresses self-determination, inclusion and well-being. The management team consists of seven people. In January, 2013 Lork chose to do a self-evaluation on the level of the organization, using the OEES. The Interviewer was the Exhibit's author and the Respondents were the management team. Based on this exercise some practical guidelines and self-assessment procedures are shared.

Why Self-Assessment?

A self-assessment is an internal process of review that allows an organization to detect strengths and weaknesses and to be more effective in the attainment of goals, objectives and outcomes. A small group of staff-members (the management team) reflect on different aspects of activities and procedures from an holistic approach. The management team collects information on strengths and weaknesses, evidence indicators and performance outcomes. Once the self-evaluation is completed, the organization uses the information to make strategic choices and to develop action plans. The Lork made the decision to

do a self-assessment every year. They choose to come together as a team at an external location. A number of important practical guidelines regarding self-assessment emerged from Lork's experience with the OEES.

Practical Guidelines: *How to Start?*

Create Commitment

Self-assessment is a first step in a strategic planning process, and requires agreement from management and professionals to work in the same direction. The OEES provides a quality of life (QOL) framework and a brief introduction of the basic QOL principles is useful to get everyone on the same track. In case of the Lork, the introduction was given by the external Interviewer.

Get an Outsider Involved

An outsider might be the Interviewer, or another stakeholder as part of the self-assessment team. In case of the Lork, the self-evaluation process was guided by an external Interviewer. A team might benefit from bringing an outsider in who can ask questions, discuss some objectives, or serve as the devil's advocate if necessary.

Search for Alignment

It is important that all departments of the organization are involved. The Lork looked for 'mixed couples' (coming from the financial, pedagogical, and social department) to do the initial scoring exercise and to bring in an integrative and broad perspective. The OEES and its balanced perspective lead to this integrative approach.

Identify Resources

A good overview of potential resources (financial resources, personnel) prevents the reduction of good ideas in terms of financial shortages or lack of manpower. The director of the organization provided a clear overview of changes in resources and manpower for the next two years.

Evaluate External or Internal Audits

The OEES forces Respondents to collect and reflect on data and evidence indicators. The quality manager of the Lork made a summary of previous internal and external audits and was able to illustrate each item of the OEES with formal objectives.

Practical Guidelines: *At the Meeting*

Get Everyone Involved

The OEES stands for a way of collaborative evaluation. In case of the Lork, the interviewer asked the self-assessment team members to read the items per domain and write down an individual score. The team-members were then given a few minutes to discuss the results two by two and to write down the arguments. The interviewer started a group discussion by asking for the scores and the arguments. Arguments for low and high scores were discussed and at the end, *a consensus score was given by all*

team-members.

Strengths and Weaknesses

Each domain of the OEES was summarized by a number of strengths and weaknesses. Strengths and weaknesses were formulated in terms of the 'philosophy' of each domain of the OEES. The weaknesses were transferred into opportunities (based on their strengths) and formulated in terms of SMART objectives (SMART = Specific, Measurable, Attainable, Relevant and Time-bound). SMART objectives allow organization management to specify why the goals are important, who is involved, and what is going to happen.

Self-Assessment

Each team member was asked to reflect on the SMART objectives in terms of their own role and responsibilities. Per objective, each team member was asked to reflect on present and future roles. They were also asked to think about one action that they believed should be taken out of their own role and responsibility.

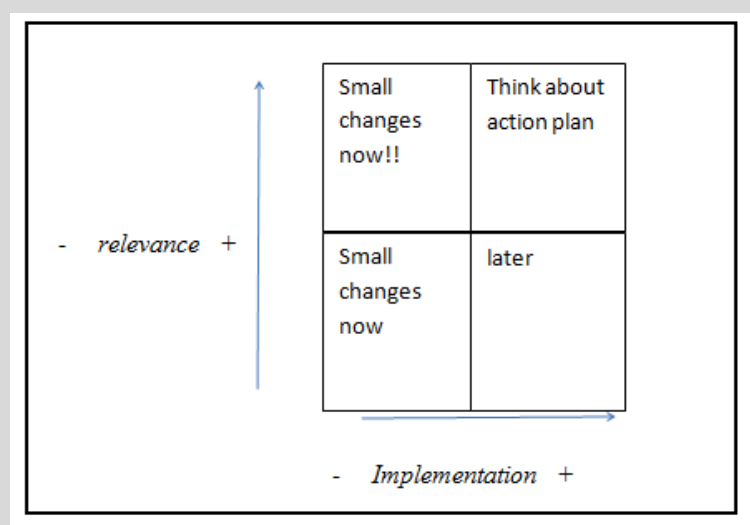
Practical Guidelines: At the End

Limit the Number of Priorities

At the end of the meeting, all objectives were screened on a list of priorities. Criteria were: (a) ease of implementation, and (b) relevance. The engagement of the team in this prioritizing process empowers their own engagement and enhances the investment of the implementation of the action plan(s).

Small Changes First

A priority cross was developed based on the two criteria 'ease of implementation' and 'relevance'. Relevant actions and those easy to implement got the highest priorities.



Time for Action Planning

To assure that the results of the self-assessment process would be transferred in concrete action plans, a next meeting was scheduled to discuss the action plans. The coordination and preparation of that meeting was done by the quality manager.

Communication

To get everyone of the organization involved, the director of the organization communicated about the self-assessment process and its intention and results to all stakeholders of the organization. She also presented the OEES as a self-assessment instrument to the government as a framework for quality improvement.

In Exhibit III Patty van Belle-Kusse of the Arduin Foundation in The Netherlands describes how information from the OEES can be used as a basis for Qualitative Analysis. This analysis and action center on organization learning that fosters shared values and understanding among organization members, and focus on decision making to enhance organization performance and transformation.

Exhibit III

Using the Organization Effectiveness and Efficiency Scale for Qualitative Analysis

Patty van Belle-Kusse, CEO, Stichting Arduin (The Netherlands)
(PBELLE@arduin.nl)

The underlying philosophy of the authors of the *OEES* and the organizations they represent is “that one should manage primarily on the basis of purpose and not on the basis of numbers.” There are significant uses for the quantitative scores and profiles obtained from the *OEES*. Specifically, the quantitative information provides a picture of the organization’s current status on evidence-based indicators and performance-based perspectives, and generates data for quality improvement activities related to strategic planning and capacity building.

As shown in this Exhibit, *qualitative analysis regarding where the organization is and where it wants to be in reference to each performance-based perspective* can facilitate both participative leadership and organization transformation. The following ‘Qualitative Analysis Template’ used by the Arduin Management Team provides a discussion/action oriented framework for capturing the tacit and explicit knowledge of organization leaders as they contribute their qualitative comments regarding the scores and profiles obtained from the OEES.

Qualitative Analysis Template

Perspective and Evidence-Based Indicator Numbers	What do you think about our current scores?	What do you want to improve?	To what extent do you want to improve?	How will you do it?	How will you know you have done it?
Customer (Evidence-based indicators # 1-5)					
Growth (# 6-10)					
Financial (#11-15)					
Internal Processes (#16-20)					

Strategic Planning

Strategic planning is a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does with its resources, and why it does it, with a focus on best practices. Strategic planning: (a) builds on a shared vision that is values-based and action oriented, (b) is an inclusive, participative process in which all stakeholders assume a share ownership, (c) requires critical thinking skills involving systems thinking, synthesis, and alignment, (d) results in the alignment of the organization's resources to personal and organizational outcomes, and (e) lays the basis for continuous quality improvement and organization transformation. The twenty evidence-based indicators assessed on the *OEES* provide a basis for formulating strategic actions based on best practices and aligning those actions to each of the four performance-based perspectives (see Section I, Table 4).

Alignment is both a critical thinking skill and an essential process in strategic planning. Alignment involves placing or bringing critical organization services and functions into a logical sequence such as that depicted in Figure 5. At the individual level, alignment occurs when personal goals and assessed support needs (input) lead logically to the provision of a system of supports (throughput), which in turn produces valued personal outcomes (output). At the organization level, alignment occurs when the organization's resources are used as a basis for an organization's services and functions that lead logically to performance-based outcomes such as aggregated personal outcomes.

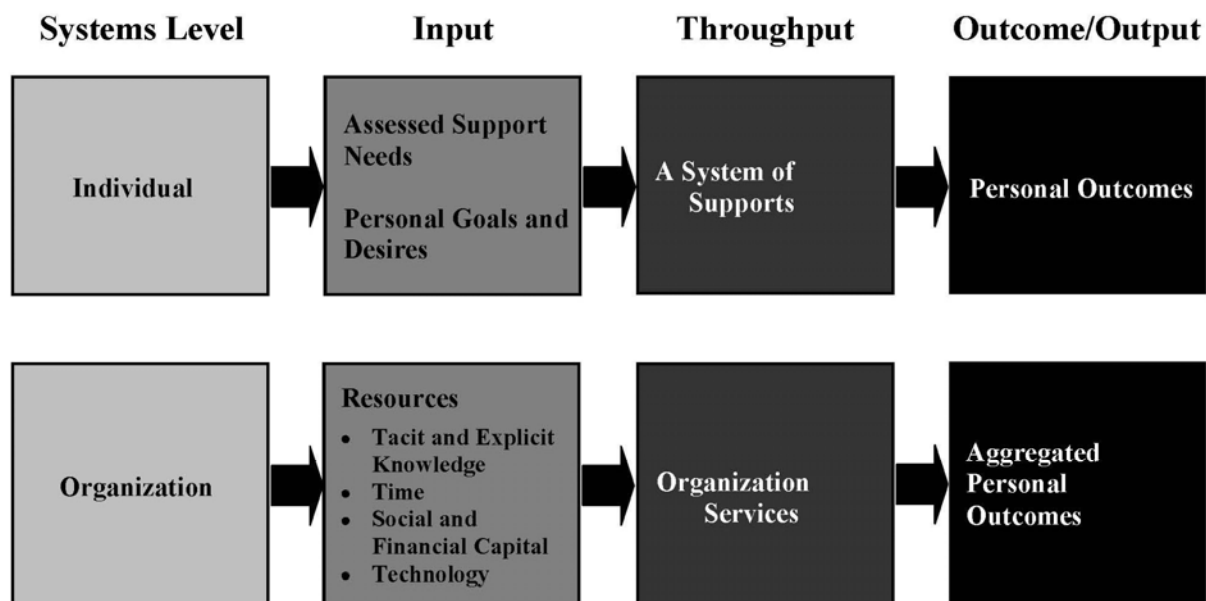


Figure 5. Individual and Organization-level Alignment

The challenge to organizations engaging in strategic planning is to think logically about what constitutes input, throughput, and output in reference to each of the four performance-based perspectives. Many organizations using the *OEES* have found that the program logic model format provided in Table 12 is useful in aligning the four perspectives to organization-level processes.

Table 12 Alignment of Performance-Based Perspectives to Organization Processes			
Perspective	Input	Throughput	Output
Customer	Personal goals, assessed support needs	Align input to support plan based on personal outcomes framework Increase personal involvement and motivation through active involvement in Support Team Implement a system of supports	Enhanced valued personal outcomes
Growth	Tacit and explicit knowledge, social capital, technology	Develop program options Develop high performance teams Increase direct support staff involvement Engage in networking, consortia, and partnerships	Increased program options, increased staff knowledge and involvement, increased networks

Financial	Cost data, budgeting practices, resource allocation practices/ models	Bundle critical functions Develop an economy of scale based on fixed and variable costs Access social capital and natural supports Base resource allocation on major cost drivers	Reduced overhead rate, reduced cost per unit of service/ support, increased percent of budget allocated to client-referenced services and supports
Internal Processes	Management strategy, organization history, organization culture	Use program logic models to align processes and functions Develop web-based information systems Align information systems to performance-based perspectives Develop protocols for using data for multiple purposes	Alignment of service delivery components. availability of relevant performance based information, use of outcomes data for multiple purposes

The two Exhibits that follow reflect the intent of strategic planning: to produce fundamental decisions and actions that shape and guide quality improvement and organization transformation. Exhibit IV, authored by Daniel Herrero, Managing Director of APROSUBA 3 in Spain, shows how his organization uses the four performance-based perspectives evaluated on the *OEES* as a framework for their strategic planning activities. The example provided on page 2 of the Exhibit shows clearly how the organization aligns the objectives of the organization's strategic plan to the specific *OEES* items/evidence-based indicators.

Exhibit IV

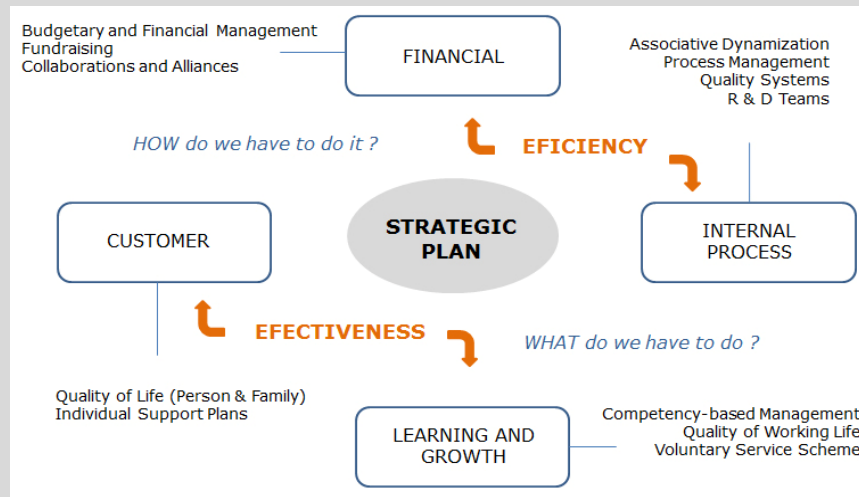
Alignment Between The OEES and the Strategic Plan of APROSUBA 3

Daniel Clavero Herrero, Managing Director APROSUBA 3
(directorgerente@aprosuba3.org)

Aprosuba 3 is a social non-for-profit organization, declared of public utility, founded in 1972, belonging FEAPS (Spanish Confederation of Organizations in support of Persons with Intellectual and Developmental Disabilities). In December 2011 the General Assembly of Members of Aprosuba 3 approved the Strategic Plan for the period 2012-2015, as the result of more than one year's work by the different stakeholders of the organization. The Plan is based on six main themes, divided into eighteen strategic lines and thirty-six expected results, which should bring a big change: effectiveness in improving the quality of life for people with intellectual disabilities and their families and efficiency in the performance of person-centered supports and services deployed within the organization and the environment.

The scheme shown on the following page links the most important aspects of our Strategic Plan in

terms of Effectiveness and Efficiency, as part of a Social Balanced Scorecard, where the focus is on the CUSTOMER perspective rather than the financial results.



The OEEES is greatly useful as a tool for evaluating our Strategic Plan and the extent of targets compliance aimed at increasing the efficiency and effectiveness of our organization. Thus, we can establish the relationship and alignment between the objectives of our strategic plan and the specific items of the scale. An example is shown below and on the following page.

EXAMPLE

OEEES		I STRATEGIC PLAN - APROSUBA 3	
ITEM	INDICATOR	ITEM	OBJECTIVE
1	Aligns services/supports to identified support needs	1.1.3	Set up individual support plans for each person
		1.2.2	Set up individual support plans for each family
2	Reports the number of clients living or working in more independent, productive, and community integrated environments	5.1.1	Foster a more inclusive environment.
3	Measures personal outcomes	4.4.2	Establish a system for evaluating the quality of services / supports.
4	Reports and analyses aggregated personal outcomes	4.4.2	Establish a system for evaluating the quality of services / supports.
5	Uses technology to enhance personal outcomes	6.1.1	Structure the system and the access to information.
6	Articulates the organization's mission and intended results	6.3.1	Spread our Mission and role in society.
7	Enters into partnerships	5.2.1	Consolidate, strengthen and promote partnerships and collaboration frameworks in pursuit of our aims.
8	Develops program options	4.4.1	Adapt the portfolio of services / supports to the needs of people with intellectual and developmental disabilities and their families.
9	Utilizes high performance teams	3.1.1	Design a plan of personnel management

		4.5.1	Promote forums for the development of new projects
10	Monitors job satisfaction and develops job enrichment programs	3.1.5	Enhance professional development.
		3.1.7	Improve working conditions affecting the quality of working life.
11	Compares unit costs across different locations and platforms	4.1.1	Design a budgetary and financial management control system.
12	Reports percentage of budget allocated to client referenced supports		
13	Monitors the relationship between social capital and agency-based capital	4.1.2	Develop a system of Fundraising
14	Uses fixed and variable cost data to establish a baseline rate	4.1.1	Design a budgetary and financial management control system.
15	Analyzes overhead rate to increase efficiency	4.1.1	Design a budgetary and financial management control system.
16	Horizontally aligns input, throughput, and output program components	4.2.1	Identify and define the processes in the organization.
17	Vertically aligns an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components	4.2.2	Implement appropriate quality systems (Q-Feaps, ISO, EFQM)
18	Demonstrates relationship between units of service/support provided and the clientele's assessed support needs	4.4.1	Adapt the portfolio of services / supports to the needs of people with intellectual and developmental disabilities and their families.
19	Uses data related to personal outcomes and organizational outputs for multiple purposes	4.4.2	Establish a system for evaluating the quality of services / supports.
20	Uses evidence-based indicators for continuous quality improvement	4.2.2	Implement appropriate quality systems (Q-Feaps, ISO, EFQM)

Exhibit V, authored by Tim Lee in Taiwan, shows how his organization uses *OEES* self-assessment information to develop 3-4 key action oriented strategic anchors that will move the organization towards its vision. These action oriented strategic anchors are based on the *OEES* items that are deemed most crucial to the organization's current state of development. Once the strategic anchors are developed, the team develops a strategic action map that incorporates *OEES* items and guides the quality improvement process.

Exhibit V

OEES and the Formulation of Organizational Strategy

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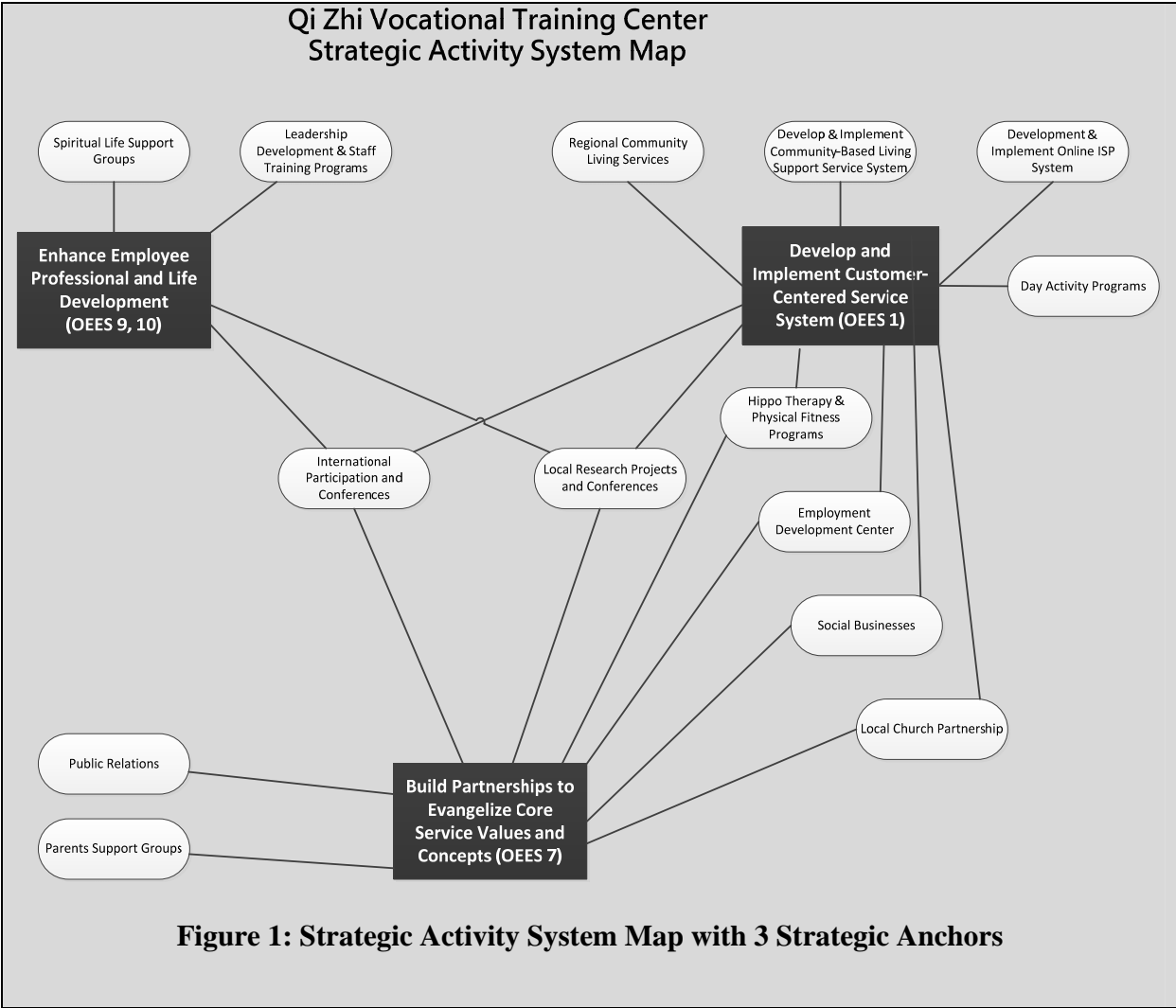
Michael Porter defines strategy as the creation of a different set of tightly fit activities to deliver a unique competitive position and a unique mix of value to customers.¹ The idea of “tightly fit activities” corresponds to one of the foundational concepts of the OEES, alignment. And the idea of “value to the customers” corresponds to another central concept, personal outcome. With these ideas in mind, the core leadership team at Qi Zhi Vocational Training Center set out to formulate the organization’s strategic plan. The team followed a five step process described below.

1. Analysis of external conditions – The team looks at issues such as Taiwan’s economic condition, cultural/societal attitudes, political climate, direction and changes in government policy, and the direction and changes of other service providers.
2. Self-assessment with OEES – Using the OEES the core team evaluated each department and program to understand what we are doing well, where we are falling short, and why. Since the scale is evidence based, it requires us to gather the necessary data, perform values based analysis and move beyond subjective feelings and superficial “vanity” performance numbers.
3. Formulating strategic anchors – Taking the information from the previous two steps, the team develops 3 ~ 4 key strategic anchors that we believe will move the organization toward its vision. The action oriented strategic anchors are based on OEES items that are deemed most crucial to the organization’s current state of development. We limit the anchors to no more than 4 in order to focus our limited energy and resources and create a unique strategic position. As Michael Porter points out, “The essence of strategy is choosing what *not* to do.”²
4. Formulating strategic action map – It is much easier to communicate complex relationships and ideas through pictures. The team draws up a map of the organization’s main actions/activities in relation to the strategic anchors so that everyone from bottom to top is clear on their role and purpose in achieving the organization’s purpose and vision. The key idea here is alignment of vision, strategies, and actions. The actions and activities in the map are also derived from OEES items. (Figure 1)
5. Formulating a One Page Organization Playbook³ – To further communicate the organization’s overall plan, the core team formulates a one page organization playbook. This simple document enables every staff member, no matter the position, to evaluate their decisions against organization’s overall strategy, further empowering employees, flattening the organization (Figure 2).

¹ Porter, Michael. “What is Strategy.” *Harvard Business Review* November-December 1996: pp. 61-78

² P. 70.

³ Lencioni, Patrick M. *The Advantage: Why Organizational Health Trumps Everything Else In Business*. San Francisco: Jossey-Bass, 2012. Print.



partnerships, and supports coordination (Crisp et al., 2000; Kapuca et al., 2011; Levine et al., 2013; Loza, 2004; Seld & Sowa, 2011). Key aspects of each involve:

- Infrastructure: developing and/or organizational practices, technical expertise, high performance teams, and human resource development activities focused on skills, knowledge, and expertise.
- Partnerships: entering into ‘win-win’ partnerships to share resources, share knowledge and expertise, learn from one another, reduce duplicity, and conduct research and evaluation activities.
- Supports coordination: working with individuals, families, other organizations, systems, and the community at large to maximize the availability of supports and to coordinate the procurement and provision of a system of supports.

The following three Exhibits reflect each of these three approaches to capacity building. The first Exhibit reflects infrastructure changes related to developing and expanding organization practices and technical expertise. In Exhibit VI Sarah Kelly and Christy Lynch of the KARE organization in Ireland describe how they have used OEES self-assessment information to develop a capacity-building template, complete a capacity-building profile, and identify two research and evaluation focused capacity building activities that will increase the organization’s effectiveness and efficiency. Consistent with the three Evidence-Based Indices (Effectiveness, Efficiency, Sustainability) that can be computed from *OEES* data, KARE has developed a Capacity-Building Index that is incorporated into their annual operational planning process and is used for benchmarking and monitoring through subsequent *OEES* self-assessments.

Exhibit VI

The Organization Effectiveness and Efficiency Scale and Capacity Building

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KARE is an innovative and progressive, not for profit organization providing service and supports to people with an intellectual disability living in the mid and south Kildare, east Offaly, west Wicklow and northeast Carlow areas of Ireland.

KARE uses the EFQM Business Excellence Model as the organization’s quality assurance framework and have been externally assessed against this model since 2005, receiving 5-star accreditation in 2013. The organization uses a process of organizational planning that includes the development of a Strategic Plan, typically on a three year cycle, which is implemented through Strategy Mapping and an annualized Balanced Scorecard.

KARE participated in the third pilot study of the OEES and found the instrument to be very useful and complementary to our existing planning process. The indices helped name and give a clear direction to areas for improvement. It has been particularly beneficial to be able to use the results of our OEES assessment to view the organization through a number of different lenses. The Capacity Building view has enabled us to identify and understand the knowledge and abilities we need to develop to deliver on our organizational goals and further improve our effectiveness and efficiency.

The approach we have taken to using the OEES for Capacity Building is straightforward and involves the following steps:

1. Carry out a self-assessment using the OEES.

2. Populate the Capacity Building template with the scores from the OEES. (Table 1 illustrates an Excel spreadsheet which allows us to view the OEES results through different lens by filtering i.e. by Perspective or by Capacity Building areas.)
3. Complete the Capacity Building Profile (see Figure 1).
4. Review the Capacity Building results
5. Identify areas for Capacity Building
6. Prioritise areas for Capacity Building based on those which will most impact the organization's effectiveness and efficiency
7. Develop an Action Plan to implement prioritized improvements

As Research and Evaluation was our lowest scoring Capacity Building area, we prioritized two items from this area for action as follows:

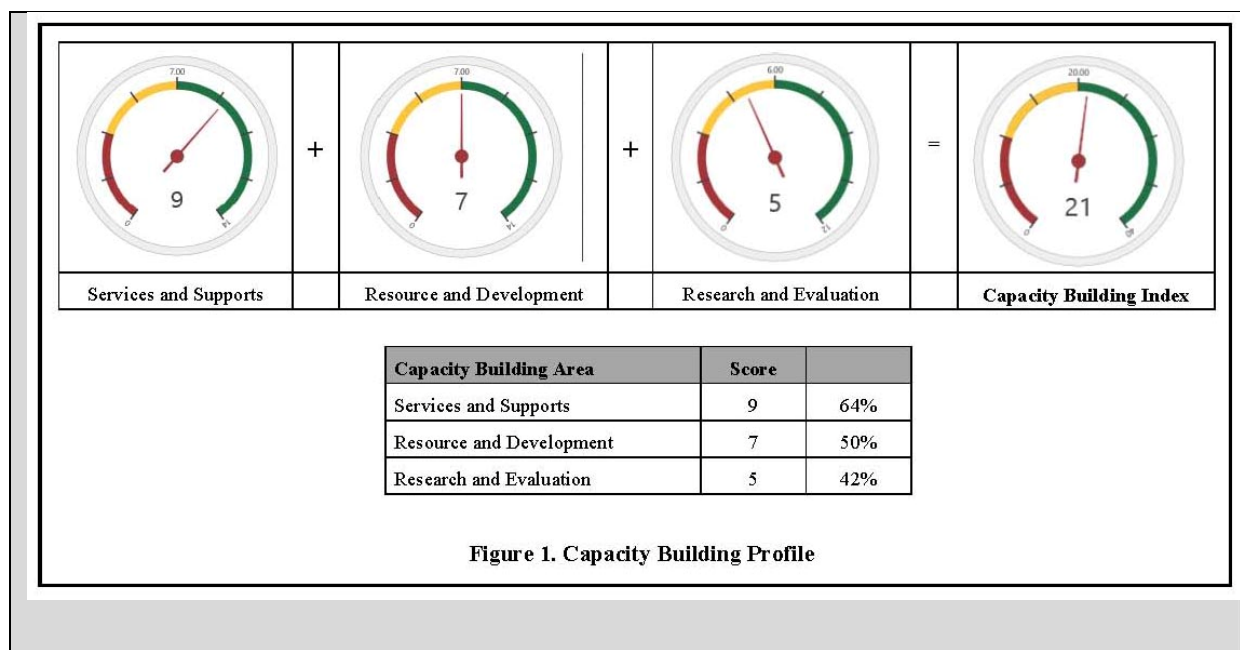
- a. Introduce a standardised approach to the assessment of personal outcomes
- b. Establish a standardised approach to calculating unit cost across locations and programmes.

These items were prioritised based on their ability to bring maximum benefit for the effort involved. In addition to building our capacity they will assist in increasing our effectiveness (action a) and our efficiency (action b). In order to facilitate their achievement these actions have been incorporated into the organisation's Improvement Plan and progress is monitored through our quarterly Improvement Plan reviews.

We will use the OEES into the future to review our Capacity Building Index by incorporating a reassessment information into our annual Operational Planning process.

Table 1

OEES Perspective	Capacity Building Area	Indicator Number	Evidence-Based Indicator	Score
Customer	Services and Supports	1	Aligns services/supports to identified support needs	1
Growth	Services and Supports	6	Articulates the organization's mission and intended results	2
Growth	Services and Supports	8	Develops program options	2
Financial	Services and Supports	12	Reports percentage of budget allocated to client referenced supports	1
Processes	Services and Supports	16	Horizontally aligns input, throughput, and output program components	1
Internal Processes	Services and Supports	17	Vertically aligns an organization's input, throughput, and output components to the corresponding individual-level input, throughput, and output components	1
Processes	Services and Supports	20	Uses evidence-based indicators for continuous quality improvement	1
Customer	Resource and Development	5	Uses technology to enhance personal outcomes	1
Growth	Resource and Development	7	Enters into partnerships	2
Growth	Resource and Development	9	Utilizes high performance teams	1
Growth	Resource and Development	10	Monitors job satisfaction and develops job enrichment programs	1
Financial	Resource and Development	13	Monitors the relationship between social capital and agency-based capital	0
Financial	Resource and Development	14	Uses fixed and variable cost data to establish a baseline rate	1
Financial	Resource and Development	15	Analyzes overhead rate to increase efficiency	1
Customer	Research and Evaluation	2	Reports the number of clients living or working in more independent, productive, and community integrated environments	1
Customer	Research and Evaluation	3	Measures personal outcomes	1
Customer	Research and Evaluation	4	Reports and analyses aggregated personal outcomes	1
Financial	Research and Evaluation	11	Compares unit costs across different locations and platforms	0
Internal Processes	Research and Evaluation	18	Demonstrates relationship between units of service/support provided and the clientele's assessed support needs	1
Internal Processes	Research and Evaluation	19	Uses data related to personal outcomes and organizational outputs for multiple purposes	1



In Exhibit VII, Yisrael Shurack and Cynthia Roling of Milieu Family Services in Vancouver, BC Canada describe how they used *OEES* evidence-based indicators as a framework for building their organization’s capacity to provide individualized supports to a person with complex challenging behavior support needs. These capacity building efforts involve strategic planning, aligning services and supports to assessed support needs, implementing program options, coordinating supports provision, and evaluating personal outcomes.

Exhibit VII

Capacity Building as a Pro-Active Strategy

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Overview

Capacity building is an intrinsic element of any organization that looks to take a pro-active approach to the support they provide and inculcate a strengths-based model amongst its members. Though capacity building should be seen as an organic process within effectiveness and efficiency maximization, the truth is that it is often understated and overlooked. We believe that this is in part due to the crisis orientated manner in which many social service agencies unfortunately need to operate under given the nature of supporting individuals with complex dynamics. The question becomes how is it possible to build capacity not only as a recourse to a difficult situation, but as a pro-active strategy within the agency

infrastructure and part of the mandate to facilitate person centered support through high powered teams. In the following Exhibit, we describe how we built capacity to provide supports for a young man with a developmental disability with very complex needs. As an overview, Table 1 summarizes the key capacity building activities and the associated OEES evidence-based indicator perspective and item numbers.

Table 1 Key Capacity Building Activities and Associated OEES Evidence-Based Indicator Perspective and Item Numbers	
Capacity Building Activity	Associated OEES Evidence-Based Perspective and Indicator Number
Strategic planning	G7, G8, G9, C1
Aggregating personal outcomes	C1, C3, IP19
Aligning supports and services	C1, G7, G9, IP18, F15
Relating units of service to support needs	IP18, IP19, F11, F14, F15
Implementing program options	G7, G8, G9, F12
Coordinating supports provision	C1, C3, IP18, G1, G6, G8, G10
Evaluating results	C1, C2, G8

Strategic Planning

When we began providing support for a young man with a developmental disability we knew that we needed to develop program options. This included strategic planning with regards to the development of supports that would be relevant and timely (G8). We held a variety of meetings and information was shared so that we could properly develop a protocol of supports (even before actually providing hands on support). One of the first steps was to develop, facilitate and cultivate a high performance team (G9). This meant using the information we had to organize week long training for the new staff which would be support Joe (name changed for privacy). The training incorporated two days of Mandt (positive interaction and relational training), as well as two days of positive behaviour support training. The PBS training focused on creating an individual support plan which would align our services and supports to the relevant identified support needs of Joe (C1). Because the most effective teams establish partnerships we knew we needed to identify potential partners and analyze the impact of that partnership (G7). We were happy that there was already an established relationship between the funder and the PBS support provider. We therefore knew that we needed to focus on strengthening our relationship with the PBS team.

Aggregating Personal Outcomes

In order to ascertain whether our efforts were effective we needed to analyze the aggregated personal outcomes on both the program level, and the individual level (C4). This meant paying close attention not only to the information given to us, but to track trends and keep data on what we were observing (C3). In examining the reporting we had collected, we quickly found that the staffing turnover rate was high, the manager was overwhelmed, Joe's anxiety was increased and he was communicating using extremely challenging behaviours. Analyzing the data gave us the necessary information to engage in multiple ways such as; reporting, evaluating, and most importantly acting on quality improvement plans (IP 19). We needed to do something quickly to facilitate a turnaround in support provision that would leave Joe feeling supported, and staff feeling comfortable in their jobs.

Aligning Supports and Services

Of the steps we took to align our supports and services the coordination of weekly meetings between the manager, regional coordinator, PBS provider, PBS manager, and the shared living provider

was crucial. We knew that we not only needed a high powered team of direct support staff (front line staff) but that our management team needed to be aligned as well (G9). We realized that if we did not have open communication and a clear understanding of the supports we were going to provide as well as a clear assessment of Joe's needs we would could not provide adequate support (IP 18). We established roles and responsibilities, delegated tasks with timelines, and developed a system to discuss internal conflict amongst ourselves. We felt it was important that management present itself as a strong unified team thus giving the staff the reassurance that they could rely on us (G7). Part of these meetings was to discuss and identify a greater understanding of Joe (C1). (F15) Doing this meant we could plan the support we were providing around the strengths and preference of Joe as well as foresee potential issues and plan for them.

Relating Units of Service to Support Needs

An integral step was to look at the relationship between the units of support being provided and Joe's actual support needs (IP 18, 19). This involved examining the resource allocation being provided and ascertaining as to whether the staffing was sufficient to meet Joe's support needs or if additional support was in fact needed (F14). This required analyzing the behaviour charts and critical incidents that occurred. In doing so, it became clear that additional staffing was needed; at minimum for short period of time for a healthy transition period to occur. In order to advocate for additional staffing we would need to provide the funder with data detailing the need and explain how the extra staffing would assist in stabilizing Joe (F11). Having a high powered senior management team was extremely important to this endeavor. Not only did we advocate for the additional staffing, but the PBS team did as well. Once the necessary data were collected and an action plan formulated, we were able to meet with the funder and request for additional funding to provide Joe with the much needed additional staffing (F15).

Implementing Program Options

Once the additional funding was approved it was important to assess Joe's safety as well as the safety of his support staff, as at times when Joe was escalated he was prone to hurt staff. This meant reflecting on program options and implementing a specific plan with regards to keeping both staff and Joe safe (G8, F12). Through our partnership with the behaviour consultants, a Safety Plan was developed that included the use of pony doors as well as visual cues to encourage Joe to not use certain entrances, and calm him before he became too heightened (G7, G9). The extra staffing was specifically put in place so that there could be a tag off between staff every hour due to the fact that Joe began escalating when he interacted with someone for too long (G8). The goal was not to have two staff interact with Joe, but rather to switch off. It became clear that the manager had to create a schedule to ensure that staff understood who should be working with Joe and at what time.

Coordinating Supports Provision

The next step was to coordinate a team meeting with the staff. Now that we had a strong core and an aligned system of supports in place as well as a revised support plan (IP 18) and Safety Plan we felt we were in a position to work through the information with the front line staff(C1, G8). At the staff meeting we went over specific Mandt techniques that were part of Joe's safety plan, reviewed the safety plan, and developed a script for staff to use when working with Joe in an escalated situation. This increased staff's options in supporting Joe and gave the staff explore the difference that support alignment meant for Joe (G1, G8). Job satisfaction is a very important factor in the success of any program. Because the staff was directly involved in the creation of the script they were going to use, and given the chance to discuss (and modify) the support plan, it meant that they were intrinsically more connected and dedicated to it (G10). As a result not only was Joe more successful, but the staff also felt better about their job.

The next step was for the manager to take a more hands off approach so that the staff could build their confidence in their daily activities as well as utilize the autonomy that they had within their roles. This meant keeping in mind the mission of the agency and program, and the role of the manager (G6, G10). Staff needed to make sure that they understood the importance of continuing to write up short daily notes on any challenging behaviours so that the support plan could be reviewed and adjusted as needed and Joe's personal outcomes could be measured (C3).

Evaluating Results

Once the action plan was in full operation Joe's life improved as he was living in a more productive environment and his community integration was increased (C2). Though at times Joe still uses challenging behaviour to communicate the incident rate has dropped drastically and staff are feeling comfortable in providing him with support. As things continue to stabilize our plan is to continue re-assessing Joe's support needs and aligning the provided supports with Joe's important to and important for (C1). Because we were able to stabilize the program we can now look to develop further program options and a more creative strategic plan (G8).

In Exhibit VIII Joanna Pierson and Matt Morgan describe how three chapters of the Arc of Maryland used the *OEES* to: (a) teach new supervisors and coordinators the value of collecting and utilizing data, (b) inform agency personnel to create ways for people to be more a part of their communities, and (c) assist agency personnel to implement effective support systems that focus on self-determination and greater independence. The authors also discuss how their use of the Scale has increased their sensitivity towards future thinking and productive discourses.

Exhibit VIII

The Value of the OEES in Capacity Building

Joanna Pierson, Ph.D. and Matt Morgan, MA, The Arc of Frederick County
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Contributors: Don Rowe, Executive Director, The Arc Carroll County; and Stephen Morgan, Executive Director, The Arc Baltimore

Our Context

Three chapters of The Arc in Maryland used the Organizational Effectiveness and Efficiency Scale (OEES). The Arcs serve people with intellectual and developmental disabilities. The agencies vary in size, including a very large, a medium, and a small provider agency in terms of budget. Each has a different "personality" in terms of the supports and services provided as well as its management emphases and strengths as well as a slightly different reason for using the OEES for capacity building:

- For The Arc of Frederick County the question is how we continue our systems effectively as we expand rapidly; that is how we teach each new Supervisor and Coordinator the value of collecting and utilizing data.

- For The Arc Carroll County the question is how to use data to drive continuing growth towards increasingly self-determined services; that is, how to ensure the ways the data is examined continue to change so that the agency and its staff are continually looking to push their efforts to the next step of creating ways for people to more and more effectively be part of their communities.
- For The Arc Baltimore the question is, “How does the agency reclaim the idea of teaching to complement providing support, thus enabling people to be more fully in control of their own lives and work towards greater independence?”

How the OEES Assisted Us in Capacity Building

Information from the OEES assisted with capacity building in several ways:

- The instrument focuses on what processes exist to create outcomes. It focuses on thinking through what these processes in our organizations should be. All of the agencies found it very helpful to look beyond assuming the processes are good if the outcomes are good. The OEES assists an organization in thinking about which processes to use to achieve excellent outcomes. The Scale also encourages a focus on the personal outcomes of the people served by the agency, rather than just organizational outcomes.
- We found it assisted us in looking at areas other than our individual agency’s current management emphasis, filling in gaps in our knowledge bases and providing specifics as to how to implement areas in which we were weaker. The Scale helps a leader to create a more well-rounded organization.
- It pushed us beyond thinking about the day to day, which is so easy to become fully engrossed in, and which it sometimes seems we are encouraged by our governmental funding and licensing sources to focus all our time addressing. The Scale prodded us to again be sure we are devoting significant time and energy to acting in intentional ways along with planning strategically for the future.
- In addition, the Scale educated us about new tools and reminded us of tools we already know but that we sometimes forget to utilize to strengthen our organizations. It helped that it utilized specific processes that are best and evidence based management practices.
- One nice feature was that it is a very positive tool. In completing it, we felt good about our organizations when responding to the evidence-based criteria. We believe this is not only a reflection of the organizations listed above, but also reflected the design of the Scale itself.

What We Learned About Areas for Future Learning and Training Regarding Capacity Building

1. One useful way to utilize the scale would be to have all members of the leadership group use the Scale in two ways. First, they will rate the organization and compare the responses to locate differences. This would lead to discussions as to why the different perceptions exist. For example, is it different levels of the organizational structure or different departments that see a differently functioning agency? Second, they will compare the ratings that received a “one” to determine the perceptions of various people as to what components of the evidence criteria were met and what were not yet met.
2. All three agencies are very well connected to the communities in which they operate. Using the scale led to a discussion about what exactly is social capital and how should it be measured for each person and then aggregated. For example, we all count volunteer hours and community connections, but what does that really entail and how do you translate that into objective social

capital measures which demonstrate that people are truly included in all the communities in which they interact (work, home, and the “third place”)?

3. We think it will be very useful for discussion sessions with other organizations, in meetings, retreats, and conferences. We learned much in utilizing the Scale to discuss common issues as well as differences in the three organizations.
4. It again highlights for us the lack of use of evidence-based practices utilized in supports and services for people with intellectual and developmental disabilities.
5. We hope to examine how we can utilize what we learned from using the OEES to integrate our results into the systems advocacy we are involved in as part of our advocacy role in our state.

Subsequent Performance Evaluation and Transformational Activities

The Transformational Process

Performance evaluation can occur at any point in the quality improvement/transformation process, but it will have more utility and result in more useful information if it is an integral part of the sequential process depicted in Figure 2: Initial self-assessment>>strategic planning>>capacity building>>subsequent performance evaluation. Subsequent performance evaluation and the use of the information for quality improvement and organization transformation introduce a new role for the participative leader. In addition to performing roles involving mentoring and directing, coaching and instructing, inspiring and empowering, and collaborating and partnering, the participative leader is also a *transformation engineer*.

The role of a transition or transformation engineer involves changing existing complex systems to enable them to adapt and survive (Krumdieck, 2013; Krumdieck & Page, 2012). While commonly focusing on transitions and sustainability in the areas of industry and the environment, transformation engineering is emerging in the nonprofit sector as organizations struggle to develop ways to become more effective in terms of achieving intended results, more efficient in terms of resource utilization, and more sustainable in terms of adapting to change and providing a range of sound service delivery opportunities and practices (Schalock & Verdugo, 2013). As insightfully noted by Krumdieck, 2013, p. 37), “You don’t need to engineer for sustainability. You need to engineer to reduce and eliminate the risk of unsustainability.”

The attributes of successful sustainability transitions that have been identified from projects involving the environment and industry are quite similar to those that have been identified from projects involving the transformation of nonprofit organizations. This comparison is shown in Table 13 and discussed more fully in Krumdieck (2013, pp. 37-40) for the environment and industry, and in Schalock and Verdugo (2013, pp. 178-180) for nonprofit organizations.

Table 13 Attributes of Successful Sustainability Transitions/Transformations	
<i>Industry and Environment</i>	<i>Nonprofit Organizations</i>
Engaged participation	Support coordinators
Collaborative synergy	Horizontally structured
Integrated approaches	Community based
Ecological orientation	Evidence-based practices
Developed stakeholder capacity	Knowledge producers
Sustainability oriented	Quality improvement oriented

The similarity between these two sets of attributes is striking and underscores the key role played by the framework within which performance-related information is interpreted and used. This framework identifies key transformation activities related to *time* (e.g. quality improvement is a continuous process and evidence-based practices are time sensitive), *location* (community based and ecological), and *relationships* (partnerships, horizontally structured organizations, support coordinators, and knowledge producers). Some (e.g. Krumdieck, 2013) have proposed that these key activities reflect not only successful transformation strategies, but also a ‘survival spectrum.’

OEES Information and the Transformation Processes

The *OEES* is based on a number of key concepts and transformation processes. Chief among these are best practices (as reflected in the twenty evidence-based indicators), four performance-based perspectives, the alignment of program components and organization functions, systems thinking, systems of supports, outcomes evaluation, high performance teams, and an integrative approach to quality improvement. Collectively, these concepts and processes not only provide a ‘transformation roadmap’, but they also reflect the attributes of successful sustainability transitions.

Three types of information result from the reliable administration of the *OEES*: evidence-based indicator raw scores, performance-based perspective profiles, and evidence-based indices.

As reflected in the following two Exhibits:

- Evidence-based indicator raw scores can be targeted for enhancement through the implementation of the respective best practice strategy/quality improvement strategy associated with each indicator.
- Performance-based perspective profiles and/or the evidence-based indices can be used as a basis for a balanced scorecard approach to reporting, monitoring, and research and/or benchmarking in strategic planning and capacity building.

The following two Exhibits demonstrate how two large organizations providing services and supports to persons with intellectual and other disabilities have used information from the *OEES* to assist the transformational process. In Exhibit IX, Patty van Belle-Kusse and Jos van Loon describe how the Arduin Foundation program in The Netherlands has used the *OEES* and the four performance-based perspective profiles and evidence-based indicators to develop a Quality Improvement Plan that focuses on data collection, analysis, and use; the further development of partnerships; monitoring the relationship between social capital and agency-

based capital; and the increased use and evaluation of technology to enhance personal outcomes. Note also their experience with collaborative evaluation.

Exhibit IX

The Use of the OEES in Performance Evaluation and Quality Improvement

Patty van Belle-Kusse and Jos van Loon
(PBelle@arduin.nl, Jloon@arduin.nl)

Arduin is a Dutch organization providing services to 740 persons with intellectual disability. As a consequence of a consistent emphasis on the quality of life perspective, Arduin was transformed seventeen years ago from an institution to a community-based organization that currently provides residential services and supports in over 150 normal houses, and provides additional services and supports in supported employment environments, day centers, inclusive schools, and The Academy on Quality of Life.

Despite the advantages of this community-based platform, the integration of the supports paradigm and the quality of life concept, and the commitment to outcomes evaluation, there was a perceived need to look at both evidence-based indicators based on best practices and a wider perspective on performance-evaluation and management. Thus in April, 2013 the Arduin Management Team assessed Arduin using the OEES. A trained external Interviewer administered the electronic version of the Scale and the Management Team served as the Respondents. The intent of the assessment was to understand better the process of collaborative evaluation and to use the resulting information for quality improvement.

OEES Results

The results of this OEES Evaluation, summarized in Figure 1, show that: (a) the Internal Processes Perspective is best developed within the organization, (b) the Growth Perspective needs improvement, and (c) there are also items within the Client and Financial Processes Perspectives that need attention.



Figure 1

Experiences with Collaborative Evaluation

The first dilemma the Management Team encountered was the tension between the use of the OEES for internal use only and the desire to depict the organization at its best. In a system in which external parties have the tendency to fund organizations and in which transparent information could be (mis)used to give financial penalties, you better be careful as a Management Team with how you interpret and certainly how you report the realities within your organization. Although it was emphasized that this administration of the OEES was meant for internal use only, this tension was present during the entire interview.

A second dilemma associated with the performance evaluation was the tension between how things are organized or formally meant to be, and how things actually work out. A lot of time was spent among team members during the self-assessment about “do we really act as we say we do?” This was frequently the case about the use of aggregated personal outcomes within the organization. There is a difference between how we can and want to use these outcomes and how we actually do it in daily practice.

A third theme that became obvious in the discussion was that of evaluating the effectiveness of organizational policy. It had to be admitted that in some cases seemingly appropriate measures were taken to implement a policy towards enhancing QOL, but that these measures were not evaluated on the level of the Management Team on a regular basis.

A fourth theme was that, although it is seen as an important theme within the team, the relationship between the social capital and agency based capital is not measured at all. This was really seen as an eye-opener, a theme to really work on in the future.

Quality Improvement Plan

Based on the results of the OEES assessment as reflected in the Radar Chart and the concerns expressed above, the most important features of the Quality Improvement Plan are:

- (1) A strategy will be developed within the Management Team in which data that is collected are more structurally combined, analyzed, evaluated and discussed. A whole day's management review will be scheduled at the beginning of each year in which the many available quality indicators will be evaluated. For example: (a) aggregated movement data and aggregated personal outcomes will be evaluated, not only on an individual level in the Individual Supports Plan, but also on the organizational level, and (b) evidence based quality indicators, which are systematically collected, will be evaluated against the intended results.
- (2) Another aspect is that an overview of partnerships in which the organization participates will be made, with an evaluation of the impact of these partnerships.
- (3) Also the financial department will develop a data system to monitor the relationship between social capital and agency-based capital.
- (4) A study will be conducted regarding the possibilities of current assistive technology devices and strategies and their effectiveness in enhancing personal outcomes will be evaluated.

In the final Exhibit in this section of the Manual, Wolfgang Meyer and Anne Huffziger describe how their organization in North Rhine-Westphalia, Germany has used the OEES for strategic planning, program implementation, and organization evaluation. In their Exhibit, the

authors also present impressive pre-post data on the four performance-based perspective profiles that shows the dramatic increase in the Customer Perspective following the agency-wide introduction of the quality of life concept and the standardized assessment of personal outcomes.

Exhibit X

The Use of Organization Effectiveness and Efficiency Scale (OEES) in Planning and Evaluation

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Our Context

Sozialwerk St. Georg e.V. was founded in 1952 by the Catholic parish of St. Barbara in Gelsenkirchen-Buer-Erle, North Rhine-Westphalia, Germany, to help people with assistance needs. We offer structures to people with disabilities and mental illness which allow a flexible change-over between inpatient and outpatient levels of care. Our concept is to respect the uniqueness and dignity of the individual and to provide him or her with the support needed to lead a self-determined life. For the past few years Sozialwerk St. Georg has been committed to helping people in need of assistance to integrate into the community and to enable them to live in an autonomous and self-determined way. A network of outpatient assistance, shared care and inpatient care schemes has been developed which meets the needs of care in the community. In 2012, from over 4,200 client care cases, Sozialwerk St. Georg e.V. was able to provide assistance to approximately 3,700 people in need. Around 2,500 staff members supported clients in fifty-two care facilities and more than thirty outpatient contact and drop-in centres throughout North Rhine-Westphalia. Care was provided in both in- and outpatient capacities in the areas of accommodation services and support in daily life, work and activities, the everyday and leisure time.

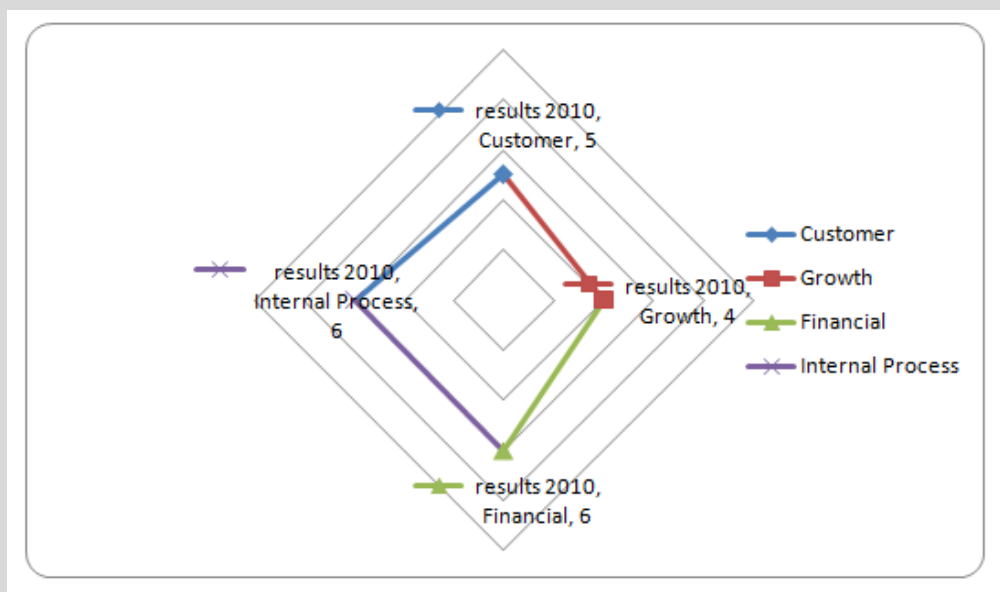
The Use of the OEES

Sozialwerk St. Georg has used Balanced Scorecard for strategic planning companywide since the year 2000. Although this has been a very successful approach for sorting different thoughts and arguments and bringing them back on track in terms of a unified main roadmap, the 'basic' Balanced Scorecard misses the analytical function to give an overview of the organization's status quo regarding effectiveness and efficiency. Thus far, and as depicted in the following figure, we have used the OEES for strategic planning, programme implementation and organization evaluation.

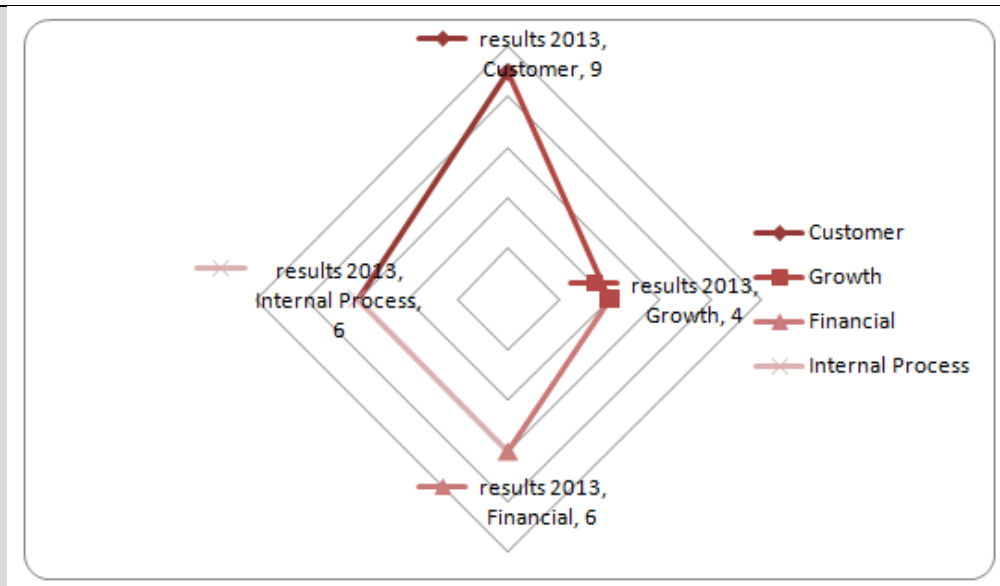


The process begins by establishing an overview of our organization's status. The second and third steps represent the usual planning and implementation of goals and programmes. The fourth step includes the current classic Balanced Scorecard-based goal and programme evaluation as well as the (new) OEES-based organizational re-evaluation.

A good example of this four-step process is seen when comparing the strategic picture before Sozialwerk St. Georg implemented the concept of 'Quality of Life' on a company wide scale and thereafter. Measuring the 2010 company status in terms of effectiveness and efficiency the 'under-developed' customer perspective gives a clue regarding a gap between the described vision and the actual focus of the organization.



By comparison, results in 2013 show, after starting the process of implementing the 'Quality of Life' concept and *Personal Outcomes Scales*, a suggested shift in perspective and stronger focus within the Sozialwerk St. Georg organization in terms of its vision and goals to provide assistance to people in need and help them lead self-determined lives.



The twenty evidence-based indicators make it possible to capture the current status of the company. Potential opportunities and risks are quickly identified. Furthermore, the Scale allows another 'perspective' of topics and applications of existing systems. The indicators show new approaches in dealing with services, reporting systems and how to use information systems (vertical alignment) and to provide information in relation to each other. Especially the indices, which deal with controlling the outcome, give us ideas for development opportunities. The three indices (organization's effectiveness, efficiency and sustainability) make it possible to obtain a quick overview of the current status of the organization.

This year (2013) we will present and introduce the Scale during our annual strategic planning workshop (step 2) to the management team. Normally our strategy planning is based on our survey of chance-, risk- and compliance-management, which is divided into the Balanced Scorecard's perspectives. It will be possible to use the Organization Effectiveness and Efficiency Scale to supplement the survey in order to develop our services, especially our reporting system, and to prepare our organization for future developments and to create new programmes.

Section V

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Section VI

Glossary

Agency-based capital: The agency or organization's budget.

Aggregated personal outcomes: Combining individual personal outcomes into a summary form. Metrics include means and standard deviations.

Alignment: Placing or bring critical person-level and organization-level program components and functions into a logical sequence. Alignment positions the service delivery components of an organization into a logical sequence for the purposes of strategic planning, capacity building, service/supports delivery, reporting, monitoring, evaluation, and continuous quality improvement. See also Horizontal alignment and Vertical alignment

Best practices: Practices based on research-based knowledge, professional values, professional standards, and clinical judgment. Current best practices in the field of intellectual and closely related developmental disabilities are represented in the 20 evidence-based indicators assessed on the *OEES*.

Capacity building: A continuum of interventions that improve an organization's ability to achieve its mission in an effective and efficient manner. Three commonly used interventions/ strategies are infrastructure changes, partnerships, and supports coordination.

Client-referenced supports: See Systems of supports

Collaborative evaluation: Assessment techniques that: immerse evaluators in the cultural milieu of the organization, systematically engage stakeholders, and integrate their expertise throughout the evaluation. Collaborative evaluation builds evaluation capacity and facilitates the co-creation of a more complex understanding of programs and organizations.

Community integrated environments: Community-based settings in which people live, work, are educated, and participate in recreation and leisure activities.

Continuous quality improvement: An integrative, sequential, and participatory process that is based on best practices and whose primary purpose is organization change and transformation. Continuous quality improvement involves: (a) strategic planning, with its incorporation of best practices, multiple perspectives, and alignment, (b) capacity building in reference to services and supports, resource development, and research/ evaluation, and (c) performance evaluation, with its focus on evidence-based indicators, multiple perspectives, and performance-based indices, and quality improvement.

Core concepts: Concepts embedded within the evidence-based indicators and evidence criteria assessed on the *OEES*. These concepts include quality of life, personal outcomes, individualized supports, systems thinking, right to left thinking, balanced scorecard, organization outputs, outcomes evaluation, alignment, continuous quality improvement, program logic models, best practices, and evidence-based practices.

Core values: See Values.

Core transformation processes: Best practice strategies that underlie organization change and transformation. The following core transformation processes are embedded in the *OEES* evidence-based indicators: program logic models, quality of life principles, systems of supports, right-to-left thinking, multiple perspectives, outcomes evaluation, alignment, systems thinking, high performance teams, performance evaluation, evidence criteria, and evidence indicators.

Dashboard: A graphic depiction of assessment scores on the *OEES*. A dashboard depicts scores on each of the three evidence-based indices (Effectiveness, Efficiency, and Sustainability).

Data: Factual information (as in measurements or statistics) used as a basis for reasoning, discussion, reporting, monitoring, analysis, evaluation, and continuous quality improvement.

Effectiveness: The degree to which an organization's intended results are achieved.

Efficiency: Producing an organization's planned results in relation to the expenditure of resources.

Evaluation: The process of carefully and systematically appraising the status of evidence-based indicators via evidence criteria. The three primary purposes of evaluation are to: (a) summarize an organization's status on evidence-based indicators related to the perspective of the customer and the organization's growth, financial analyses, and internal processes; (b) provide information for data-based decision making and managing for results; and (c) provide the data for continuous quality improvement.

Evidence: data or information that furnishes proof.

Evidence-based approach: Using evidence to evaluate an organization's effectiveness (achieving intended results) and efficiency (intended results in relation to the expenditures of resources).

Evidence-based indicators: Objective, evidence-based measures that reflect best practices related to organization processes and performance.

Evidence criteria: The criteria used to assess the 20 evidence-based indicators comprising the *OEES*. These criteria are sequenced according to the 'plan-do-evaluate' quality improvement process and also represent quality improvement strategies.

Evidence-based indices: Measures reflecting an organization's effectiveness, efficiency, and sustainability. Three indices are derived from scores on the *OEES*: (a) an *effectiveness index* based on measures related to the customer and organization's growth perspectives; (b) an *efficiency index* based on measures related to the organization's financial analyses and internal processes perspectives; and (c) a *sustainability index* which is the sum of the effectiveness and efficiency indices.

Evidence-based practices: Practices based on outcome indicators and evidence-based evaluation. Evidence-based evaluation involves the assessment of outcome indicators based on a clearly articulated, empirically supported theory or rationale, and a methodologically sound evaluation strategy. The primary use of evidence-based practices is to provide current best evidence to inform clinical and managerial decisions.

Fixed cost: A periodic cost that remains more or less unchanged irrespective of the output level or revenue, such as depreciation, insurance, interest, rent, salaries, and wages.

High performance teams: Horizontally structured work groups who focus on teamwork, synergy, raising the performance bar, focusing on 'us' accountability, and promoting a learning culture. High performance teams are organized around performing six primary functions: assessment; individual supports plan development, implementation, and monitoring; data gathering, processing, analysis, and reporting; outcomes evaluation; continuous quality improvement; and crisis management. They are characterized by being involved, informed, organized, accountable, and empowered.

Horizontal alignment: Depiction of the logical sequence among input, throughput, and output program components. This depiction: (a) identifies classes of critical indicators to evaluate in reference to sequential analysis; (b) clarifies for stakeholders the sequence of events from inputs through processes to outputs; and (c) provides a fuller understanding of the factors that affect personal outcomes and organizational outputs. At the individual level, horizontal alignment involves the logical sequence among assessed needs and personal goals ('input'), to a system of supports ('throughput'), to personal outcomes ('output'). At the organization level, horizontal alignment involves the logical sequence among resources ('input'), organization services ('throughput'), and aggregated personal outcomes ('output').

Impact evaluation: Determining whether a particular support strategy or intervention technique produces a significant effect on the person or situation in question. At the individual level, long-term impacts are frequently evaluated in terms of the individual's social-economic position, health, and subjective well-being; at the organization level, long-term impacts are frequently evaluated in terms of the organization's effectiveness, efficiency, and/or sustainability.

Independent environment: A living, work, or educational environment in which the person has more input, control, and discretion regarding major life activities.

Information: Facts, data, opinion, and/or knowledge.

Individual support needs: A psychological construct referring to the pattern and intensity of supports necessary to achieve the individual's goals, and for the person to participate in activities linked with normative human functioning. Support needs that *are important to the person* include those reflected in the individual's personal goals and desires. Support needs that are *important for the individual* are based on a standardized assessment of an individual's needs and those identified through professional assessments. Individual goals are often expressed in terms of quality of life domains, with support needs important for the individual assessed in reference to major life activity areas and to the individual's exceptional medical and behavioral support needs.

Individual supports plan: The integration of personal goals and assessed support needs with individualized support strategies that are based on a system of supports. A quality of life framework is often used to organize the Plan's components.

Integrative approach to continuous quality improvement: Integrating self-assessment, strategic planning, capacity building, and performance evaluation into a continuous improvement loop that incorporates values, best practices, and core transformation processes.

Job enrichment: Skill training and increased empowerment and inclusion in the organization's roles and functions.

Job satisfaction: A positive feeling towards – and evaluation of – one's job duties, working conditions, responsibilities, and impact.

Key terms used in the OEES: evaluation, collaborative evaluation, evidence, evidence-based approach, evidence-based indicators, evidence-based indices, best practices, systems of supports, multiple perspectives, personal outcomes, organization outcomes, organization learning, performance evaluation and management, integrative approach to continuous quality improvement, and core transformation processes.

Logic model: A graphic model that articulates the operative relationships among a program's input, processes, and outputs. A logic model: (a) identifies critical indicators to monitor, evaluate, and use for multiple purposes; (b) specifies the core processes that can become the targets for quality improvement; (c) clarifies for stakeholders the sequence of events from inputs through outputs; and (d) provides a fuller understanding of the factors that affect an organization's performance.

Mapping system: A systematic way to develop (and thus show) how program components can be vertically aligned between the individual and organization level service delivery components. Examples include logic models, concept maps, and a strategic activities system map.

Monitoring: An oversight and interactive process. At the individual level, monitoring ensures that the Individual Supports Plan is developed on the basis of personal goals and assessed support needs and employs a system of supports to enhance personal outcomes. At the organization level, monitoring: (a) demonstrates compliance with the organization's policies and practices; (b) ensures that the input, process, and outcome/output service delivery components are in place and functioning as anticipated; (c) provides benchmarks for self-comparisons, standards for evaluating current organization performance, and goals that direct quality improvement efforts; and (d) ensures the precision, accuracy, and integrity of the information that is used for reporting, evaluation, and continuous quality improvement.

Movement data: The depiction of where people live, work, and are educated. 'Movement' reflects changes in this depiction towards environments that are more independent, productive, and community integrated.

Multiple perspectives: Viewing and evaluating the organization's performance from four perspectives: those of the customer, and the organization's growth, financial analyses, and internal processes.

Multiple uses: Uses of data and information for various purposes including reporting, monitoring, evaluation, and continuous quality improvement.

Operationalizes: A process wherein the concept or phenomenon in question is stated objectively and put into measurement form.

Organization learning: The understanding and use of best practices related to an organization's customer, growth, financial analyses, and internal processes. Organization learning is an organization-based approach to enhancing the organization's effectiveness and efficiency, and results from continuous quality improvement and organization transformation.

Organization outcomes: Organization-referenced products that result from the resources an organization uses to achieve its goals and the actions implemented by an organization to produce these outputs. Exemplary organization outcomes—as related to the four performance-based perspectives—include: (a) customer, enhanced personal outcomes (e.g. human functioning, quality of life, satisfaction); (b) growth, increased program options, staff involvement, networks/ partners; (c) financial, reduced overhead rate, reduced cost per unit of services/support, increased percent of budget allocated to client-referenced supports; and (d) internal processes, alignment of program components, availability of relevant performance-based information, use of outcomes data for multiple purposes.

Outcomes: Something that follows as a result or consequence.

Outcomes evaluation: The quantitative and qualitative assessment, interpretation, and evaluation of personal and/or organization outcomes. Outcomes evaluation is done in conjunction with quality improvement efforts, impact evaluation, program evaluation, or research studies.

Outcome indicators: Measures that capture individual or organization outcomes. At the individual level, outcome indicators reflect changes in one or more human functioning dimension, level of assessed support needs, and/or quality of life status. At the organization level, outcome indicators reflect changes related to the perspective of the customer, the organization's growth, the organization's financial analyses, and the organization's internal processes.

Overhead costs: Costs that do not contribute to direct client-referenced supports.

Overhead rate: The percent of overhead costs to the total costs.

Performance-based evaluation: See Evaluation

Performance-based perspectives: Perspectives that reflect a balanced approach to strategic planning, program implementation, and organization evaluation. As assessed on the *OEES*, the four perspectives are those of the customer, and the organization's growth, financial analyses, and internal processes.

Performance management: a systematic approach to measuring evidence-based indices and using that information for multiple purposes including strategic planning, capacity building, reporting, monitoring, evaluation, and continuous quality improvement.

Personal outcomes: The benefits derived by program recipients that are the result, direct or indirect, of program activities, services, and supports. Frequently, personal outcomes are operationalized and measured in reference to core quality of life domains.

Platforms: The program options provided by the organization. These can include residential, employment, education, day activity, sheltered workshop, and/or community living.

Productive environment: A living, work, or educational environment characterized by involvement, effort, and accomplishment.

Program implementation: The development of input, throughput, and output service delivery components based on values, core concepts, and quality improvement strategies.

Program logic model: See Logic model

Program options: Services provided or procured for an organization's clientele. These options typically include community living alternatives, employment and education options, community-based activities, transportation, and professional activities.

Quality improvement strategies: The use of specific strategies to enhance an organization's effectiveness and efficiency. The 60 evaluation criteria used on the *OEES* to evaluate the 20 evidence-based indicators represent best practice quality improvement strategies in strategic planning and program implementation.

Quality of life: A multidimensional phenomenon composed of core domains influenced by personal characteristics and environmental factors. These core domains are personal development, self-

determination, interpersonal relations, social inclusion, rights, emotional well-being, physical well-being, and material well-being. These core domains are the same for all people, although they may vary individually in relative value and importance. Assessment of quality of life domains is based on culturally sensitive indicators, which are quality of life-related perceptions, behaviors, and conditions that give an indication of the person's well-being. The assessment of quality of life indicators provides a measure of personal outcomes.

Quality of life principles: Inclusion, equity, empowerment, rights, and self-determination.

Radar chart: A graphic depiction of assessment scores on the OEES. The Radar chart depicts the scores on each of the four performance-based perspectives.

Reliability: The measurement consistency of a test, assessment instrument, or assessment process.

Reporting: Describing key variables associated with an organization's service delivery system, and giving an account of measurable personal outcomes and organizational outputs. The major purpose of reporting is to communicate descriptive information to multiple stakeholders.

Right-to-left thinking: A two-phase process: (a) identifying components of quality services and supports and/or desired personal outcomes, and (b) asking what needs to be in place for these phenomena to occur.

Scoring metric: The approach used to score each of the 20 evidence-based indicators assessed via the OEES. The metric uses the following criteria: 2=3 evidence-criteria met; 2=1 or 2 evidence criteria met; 0= no evidence criteria met.

Self-assessment: One of the primary uses of the OEES. Self-assessment involves an evaluation by organization personnel of the status of each of the 20 evidence-based indicators. Self-assessment requires an 'evaluation mindset' that considers evaluation as an organization-based, collaborative process whose primary purpose is quality improvement.

Service delivery components: Input (e.g. assessed support needs, personal goals, and resources), throughput (e.g. a system of supports and organizational services and functions), and output (e.g. personal and organization outcomes).

Service-delivery philosophy: The values and concepts that are embedded in an organization's culture and serve to guide its mission and strategic goals.

Social capital: The connections among individuals that includes social networks and the norms of reciprocity and trust that arise from them.

Standardized assessment approach: An approach to assessing personal and organizational outcomes that requires a conceptual and measurement framework and the use of a scientifically sound strategy. The strategy involves standardized instructions and a reliable and valid measurement instrument or process.

Strategic anchors: Anchors based on *OEES* evidence-based indicators. These anchors/indicators can be used to formulate a strategic map.

Strategic planning: The process of devising or employing plans or stratagems toward a goal. Strategic planning involves best practices, multiple perspectives, and horizontal and vertical alignment.

Support needs: See Individual support needs.

Sustainability: Adapting to change and providing a range of sound service delivery opportunities and practices. Sustainability involves concepts, principles, and methods from multiple disciplines, including management, economics, industry, environmental science, and social ecology.

Systems approach: Viewing individuals and organizations from a systems perspective in which: (a) input refers to the targeted individuals and their support needs, the provider system, and contextual variables; (b) throughput refers to individual support strategies, organization services, and managerial strategies; and (c) output refers to personal outcomes and organization outputs.

System of supports: An approach to the provision of individualized supports. The system is based on the individual's personal goals and the standardized assessment of the pattern and intensity of support needs, and involves the implementation of individual support strategies. These strategies involve natural supports, technology, education/skill acquisition techniques (the learning of new skills), environmental accommodation, incentives, personal strengths, and professional services. A

system of supports model: (a) aligns the supports provided to the person's assessed and personal support needs; (b) provides a structure for the organization to enhance human performance elements that are interdependent and cumulative; (c) provides a framework for coordinating the procurement and application of individualized supports across the sources of support; and (d) provides a framework for evaluating the impact of individualized supports on the person's functional level and personal outcomes.

Systems thinking: Focusing on the multiple factors that affect human functioning and organization performance. Systems thinking reflects the critical role played by the micro, meso, and macrosystems, and employs the critical thinking skills of distinctions, perspectives, and relationships.

Technology: Instruments or strategies used to enhance personal and organization outcomes. In reference to personal outcomes, assistive and information technology are used as part of a system of supports to reduce the discrepancy between a person's capabilities and his/her environmental demands. In reference to organization outcomes, information technology is used to implement a performance-based management system to collect, upload, analyze, download, and summarize personal and organization outcomes.

Transformation: Changing an organization so that it is more effective, efficient, and sustainable. Transformation involves a continuous quality improvement loop that begins with self-assessment, progressing to strategic planning and capacity building, and continuing through subsequent performance evaluation.

Unit costs: costs by period of time ('time unit'). Examples include cost per hour or costs per day.

Units of service: The basis for the provision of services and supports. The time unit can include hours, visits, or a specified duration (e.g. week or month).

Variable cost: A periodic cost that varies in step with the output or the revenue of the organization.

Validity: The ability of a test, assessment instrument or assessment process to measure what it is designed to measure.

Values: Properties of an entity or phenomenon that are desirable, important, and of worth. Values form the basis of mental models, which are deeply ingrained assumptions, generalizations, and images used to understand the world. Values form the vision and culture of an organization and include dignity, equality, empowerment, self-direction, nondiscrimination, and inclusion.

Vertical alignment: The juxtaposition of organization-level processes with individual-level processes at each logic model component: input, throughput, and output. At the input level, vertical alignment is between the individual's personal goals and desires and assessed support needs and the organization's resources that include tacit and explicit knowledge, time, social and financial capital, and technology. At the throughput level, vertical alignment is between the individually-referenced systems of support and the organization's services. At the output level, vertical alignment is between personal outcomes at the individual level and [the same] personal outcomes aggregated at the organization level.



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