

## **A Logic Model Framework**

### **For Programs with Systems Change Intent**

Anna F. Lobosco, Ph.D.  
NYS DDPC  
99 Washington Ave., 12th fl., Suite 1230  
Albany, NY 12210  
518-486-7505  
[alobosco@ddpc.state.ny.us](mailto:alobosco@ddpc.state.ny.us)

Dianna L. Newman, Ph.D.  
Evaluation Consortium Dutch Quad B7  
University at Albany/SUNY  
Albany, NY 12222  
518-442-5018  
[dnewman@uamail.albany.edu](mailto:dnewman@uamail.albany.edu)

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## **A Logic Model Framework For Programs with Systems Change Intent**

by  
Anna F. Lobosco, Ph.D. & Dianna L. Newman, Ph.D.

### Defining Systems Change:

**Systems change** is a process that shifts the way that an organization or community makes decisions about policies, programs, and the allocation of its resources — and, ultimately, in the way it delivers services and supports its citizens and constituencies (modified from Comprehensive Community Change Initiatives - [http://www.ccitoolsforfeds.org/systems\\_change.asp](http://www.ccitoolsforfeds.org/systems_change.asp) ).<sup>1</sup>

### A Proposed Logic Model for Systems Change

Systems change is a complex process. It involves a dynamic set of inter-relationships and multiple dimensions - to set in motion a unified process that will lead to far reaching results. Typically, systems change work is concerned with modifying large community and government systems for two purposes: 1) to turn marginalized and fragmented approaches into a comprehensive and effective system; and 2) to integrate that system into the larger community of services and resources. This work can and will be sustained if, and only if, it is meaningful to all who are affected by the changes in policy and/or practice.

The method proposed for improving the documentation of systems change work is based on strands of several frameworks have been combined into a global logic model for guiding systems change initiatives:<sup>2</sup>

- The Route to Success framework (PA DDC, 2009) for effecting systems change is a conceptualization that includes improving the knowledge base, selecting social strategies, engaging stakeholders, support for policy entrepreneurs, and effectively using unexpected events (or “tipping points” – see Gladwell, 2000, 2008);<sup>3</sup>
- The four areas of change that occur when systems change activities have been successful – policies and procedures, infrastructure, design and delivery of services, and expectation of consumer outcomes and experiences (Newman, 2001, 2002);<sup>4</sup>
- A recent delineation of the dimensions of sustainability of funded work that differentiates sustainability at the individual, organization, community and population levels with an

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<sup>1</sup> While not elaborated in this definition, this also includes intangible community resources that include acceptance, encouragement and support for participation of individuals with developmental disabilities and their families in their communities.

<sup>2</sup> These are consistent with the Comprehensive Community Initiative framework and toolbox for federal staff working on systems change which is described in Appendix A.

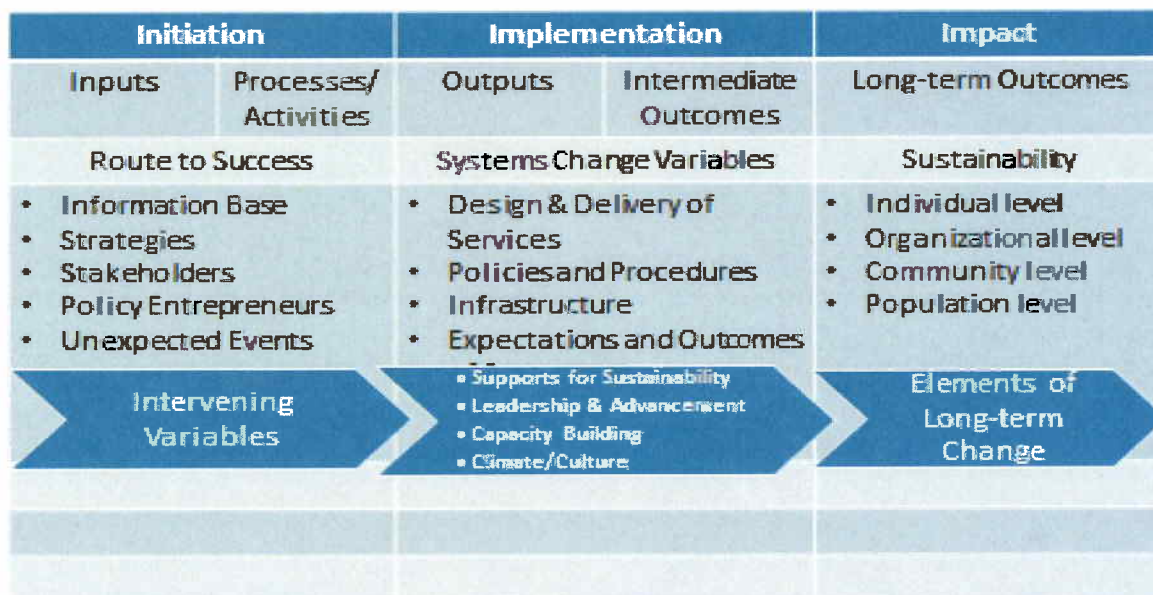
<sup>3</sup> See Appendix B for a description of the Routes to Success.

<sup>4</sup> See Appendix C for a description of these areas of change.

emphasis on sustainability of concepts rather than maintenance of funding for specific programs or projects (Scheirer, 2010).<sup>5</sup>

Taken together, these frameworks comprise the following logic model for systems change. This approach assumes each state DDC chooses their systems change goals with activities and strategies to achieve them. The *logic model* provides the structure so that state level systems change is viewed as tangible and concrete and that the proposed activities are designed to achieve the intended objective. This level of focus and connectedness is critical to moving systems change initiatives forward so that the various components are directed to coherent and meaningful long-term outcomes. Explanation of each element of this logic model follows in the attached appendices.

## An Example: Logic Model for Systems Change



From Newman and Lobosco, 2010

<sup>5</sup> See Appendix D for a discussion of dimensions of sustainability.

## **Background Information**

**Appendix A:** Using the CCI Conceptualization of Systems Change

**Appendix B:** Routes to Success

**Appendix C:** Areas of Change

**Appendix D:** Dimensions of Sustainability

## Appendix A

### Using the CCI Conceptualization of Systems Change

Recent emergence of a Toolkit for Federal Staff Who Work With Comprehensive Community Initiatives (2009) highlighted the difficulties of working on a systems change mission. Its increasingly broad applicability makes it a valuable resource. This website was developed by an outside evaluation/technical assistance consultant using data and information from the funded programs and their work over time.

A Comprehensive Community Initiative ([www.ccitoolsforfeds.org](http://www.ccitoolsforfeds.org)) is defined as an effort to better the lives of children, youth and families through systems change work. It recognizes the systems change as different from a conventional service-delivery and as challenging to plan and implement. Several characteristics set CCI apart from conventional service delivery programs; they:

- **take a broad view of community problems** (Step back to see the problem in its entirety and take into account the range of factors that impact a problem—social, economic, political, and geographic);
- **engage all sectors of the community** (Reach beyond traditional agencies to engage members of nontraditional and natural networks);
- **use long-term strategies** (Systems change takes time requiring long-term projects, extending beyond typical Federal funding cycles of 1 to 5 years);
- **build trust and forge common purpose** (Systems change ultimately comes down to collaborative working relationships — along with the drive and collective purposes that sustain them);and
- **encourage participatory decision-making** (Requires that all stakeholders -community members, grant staff, evaluators, technical assistance providers, and funders - come together to make decisions and carry out the work in structures that tend toward the nonhierarchical and form a learning community).

When funds are spent just to deliver services, their impact is limited to the people who receive those services. But when funds are devoted also to systems change, their impact can extend beyond a single program — to multiple programs, agencies, and service recipients, or to the entire community — and far into the future. For this reason, funders are more and more interested in systems-change efforts. Even when funding provides for the time to build collaborative relationships and structures, day-to-day pressures divert energy and focus from the long-term, systems-change work, to the immediacy of service delivery. It takes vigilance to maintain the vision of the initiative. Thus, funds from the federal Office of Juvenile Justice and Delinquency Prevention were used to develop a toolkit for federal staff overseeing systems change endeavors.

In the CCI conceptualization, **systems-change** is a change in the way that a community makes decisions about policies, program services, and the allocation of resources. It enlarges who participates in decision making to include families and others affected by decisions. As a result, decisions reflect a larger, better-informed perspective on family and community needs and priorities. To undertake systems change, a community must build collaborative bridges among multiple agencies, community members, and other stakeholders. (Comprehensive Community Change Initiatives/[http://www.ccitoolsforfeds.org/systems\\_change.asp](http://www.ccitoolsforfeds.org/systems_change.asp) )

A system is a collection of components that interact with one another to function as a whole. Systems change may involve...

- Shifting system components and/or their sequence
- Shifting interactions between system components
- Altering the "whole" through shifts in underlying choices, as well as...
- Shifting the manner in which the system provides feedback to itself.

(Adapted from Foster-Fishman et al., Using a Systems Change Approach to Evaluate Comprehensive Community Change Initiatives)

Systems change takes place in multiple dimensions. These dimensions are inter-connected so that a change in one supports change in all the others. To truly transform community systems, shifts are required that rely on:

- Joint governance and shared decision-making – including all affected by decisions in the decision making so those decisions reflect a larger, better-informed perspective on needs and priorities;
- Cultural competence - knowledge and skills to help understand, appreciate, and communicate with people whose culture and life experience differ from others;
- Service coordination and integration - looking at the total service-delivery system, identifying gaps, duplication, and overlaps in services to ensure that a person seeking help encounters a seamless path through the services they need;
- A unified fiscal strategy - looking collectively at all the funding streams and other resources already devoted to solving the problem, they may be able to reconfigure these multiple streams to use funds more efficiently and /or identify new sources of funding to fill gaps and expand services;
- Supportive public policy – looking beyond formal written laws, regulations, procedures, and protocols to the unwritten, informal culture of agencies and organizations and the way people are accustomed to doing things to identify and rectify barriers and contradictions.

Because systems change is complex, involves diverse stakeholders, multiple programs and wide ranging activities drawing resources from many sources over a long period of time, logic models are viewed as an essential foundation and tool for all aspects of the change effort throughout the life of the project.

## Appendix B

### Routes to Success

The Pennsylvania Developmental Disabilities Council (2009) funded a project, called **Route to Success**, with the Human Services Research Institute (HSRI) and the Temple University Institute on Disability to identify indicators for DDC funded projects that are likely to result in positive systems change for people with developmental disabilities. In this conceptualization, systems change involves making changes in the way major parts of community service systems are linked together and how they function (Center for Civic Partnerships, 2001); focus on goals or outcomes; is usually a result of small steps taken over time; typically is spurred on by a dedicated group of advocates and/or an individual champion, working in collaboration; and see individual advocacy as essential.

The conceptualized model is based on the work of John Kingdon (2003) and Julius Richmond (1983) who both posit that system change results when a number of activities addressing different parts of a system come together. System change is not the direct result of one of these kinds of activities but rather results when efforts in each of the areas converge to bring about system change. These efforts do not need to be sequential; rather, regardless of sequence, efforts in several areas together are more likely to result in change. This conceptualization was tested with funded projects and the following five (5) activities are necessary for systems change to occur and define the work of systems change:

1. **Improving the knowledge base:** System change is more likely when people representing a wide range of stakeholders have common information, detailed information, and reliable information about the nature of the problem, possible solutions, and the impact of various courses of action. Projects that focus on the following kinds of activities are addressing the area of improving the knowledge base:
  - Identifying the specific problems, collecting data about population trends or unmet needs, identifying or examining potential solutions, best practices, or discovering the social determinants that exist
  - Disseminating the information or data gathered in a variety of formats, to a range of stakeholders
2. **Selecting clear social strategies:** Accomplishing a particular goal is more likely when activities have been planned to account for a range of social points of view. Projects that focus their efforts on the following kinds of activities are addressing the area of using clear social strategies:
  - Identifying the constraints around a particular course of action, documenting contributions (in terms of activities, support, resources) toward a particular cause, establishing clear, simple to understand goals, identifying and recruiting key players to the effort, developing a plan of action in which players, responsibilities, outcomes and evaluation strategies are detailed, organizing institutional support for a course of action, and celebrating the successes of particular efforts
  - Establishing a need for a particular data set and then going about gathering data to address concerns or barriers
  - Sharing this information broadly, so that a range of stakeholders can become involved and informed
  - Building coalitions, formal or informal, to address a problem
3. **Obtaining stakeholder involvement:** Broadly defined, stakeholders come from a variety of backgrounds and have unique experience and capacity to become involved in system change. The force and energy that can be brought to a problem is greatly increased when many stakeholder positions are involved. Persons with disabilities, families, providers, agency managers, politicians



play powerful roles in all system change. Projects that examine or seek to influence the climate in which a project is undertaken are directed at obtaining stakeholder involvement and creating the momentum within different stakeholder groups to take action. Such projects are often engaged in some or all of the following:

- Identifying who cares about the project/problem/situation, describing how this problem with this population relates to other problems with other populations, connecting this particular problem with greater, more broadly experienced problems, building on already existing or already successful efforts of others, analyzing the complexity, difficulty, or urgency of the problem
  - Bringing like stakeholders together to share experiences and ideas and to build an action strategy
  - Bringing different stakeholders together to foster coordination and collaboration among them
  - Developing common content so that all stakeholders can be part of building the same case for change
4. **Supporting policy entrepreneurs:** Policy entrepreneurs are those people who become champions of a cause, those who are willing to take a public stand about the importance of an issue or a possible solution to a problem. While projects do not necessarily have to have a policy entrepreneur, those that have them use them and celebrate them. "Policy entrepreneurs"(1) were rated as very or somewhat important in 15 out of 23 case studies of critical factors in policy change; further, they were seen as the key to sustainable change.
5. **Using unexpected events:** There are those times when events, that cannot be anticipated, have a significant impact on the success of an activity. Projects cannot anticipate the occurrence of such events; by definition, they are unpredictable, accidental. However, projects must be prepared and ready to seize opportunities that these unexpected events offer. Sometimes the event celebrates a wonderful new step toward a goal; sometimes the event highlights a crisis or a terrible problem for the services system. In either case, these unanticipated opportunities should be seized for the additional momentum they may give.

The conceptualized model has since been applied to DDC process in a variety of ways to clarify purposes of the work and its connections to ongoing efforts inside and outside of the DDC with an eye to meeting the mission, including:

- Grantee applications:
  - Thinking about projects as they are planned for strategic identification of needed work and project scope of work as well as clarifying the larger context of project work
  - Applying the model while projects are in process to review progress, promote the project, and look for unexpected events
  - Using the model at the end of a project to identify alliances, champions, next steps, directions and lessons learned with an eye to the broader context.
- DDC applications:
  - Drafting Requests for Proposals (RFPs)
  - Working with funded projects and connecting those projects to one another
  - Planning long-term and building on past work



## Appendix C

Areas of Change:

Newman (2001, 2002) and colleagues developed and piloted an evaluation model where systems change is viewed as an active process that is developmental in nature – not an outcome but actions that lead to incremental steps or progress. The model assesses systems change according to three developmental levels – initiation, implementation and impact – that can occur in a cyclical fashion. As the organization changes, it is important to document activities, learning, uses and outcomes that are occurring at each phase. This evaluation model has been used in education, substance abuse, technology, mental health and developmental disabilities venues in over 100 program evaluations (Newman, 2008; Newman, Smith, Geehan, & Viamonte, 2004); a meta-evaluation of these studies revealed four key factors as occurring when true systems change has occurred:

- **Policies and procedures** – formal and informal operational and organizational policies and procedures that guide the everyday work of the program/organization/system;
- **Infrastructure** – underlying foundations or basic framework of a program/organization/system (i.e., resource allocation, organizational structure, communication systems);
- **Design and delivery of services** – processes that envelop program content, formal communication, supporting theories and knowledge bases, design, delivery, capacity, outreach and the like; and
- **Expected outcomes/experiences** – the expectations and experiences of program consumers and providers (i.e., redefinition of what would be expected and delivered from a program not just more of the same).

Following are a brief definition and an overview of each of the above described “legs” of systemic change, some examples of successful practice, and key indicators for when documenting systems change. Wherever possible, the examples are framed in terms of participation of critical stakeholders, but especially program consumers.

Operational and organizational **policies and procedures** guide the everyday work of most, if not all, programs. It is a rare program that does not have a “policies and procedures manual” for its staff. Since policy and procedure changes can be minimal or pervasive, minor or major, the difficulty arises in measuring the magnitude of change in terms of actual impact. There is also a comparable difficulty in measurement of efforts that prevent a “bad” (albeit well-meaning) policy or procedure change that would have a detrimental effect upon the lives of real people. If policy/procedure changes are being tallied, a “bad” change and a “good” change are counted equally and there is no indicator of magnitude. Similarly, government funded programs are guided by legislation and regulation – all work done under that funding must be consistent with the letter and intent of those policies. Examples of changes to policies and procedure systems change might include:

- Major or pervasive change: new or amended legislation at any level of government that creates, deletes, or expands a service option used by many people (i.e., changes in age at which social security can be tapped).
- Minor or minimal change: a minor wording change in current program regulations or forms that may change a select type of service for a select group (number of minutes allowed in a mental health “hour”).

Of note - These examples do not qualify the change as “good” or “bad;” rather, it is noted that a component of the supporting systems has been changed.

Key indicators of participatory systems change in policies and procedures include:

- Initiation: 1) involvement of all stakeholders in the identification of the policies and procedures that are needed to support the changes and in discussions of how these policies and procedures

will be developed; 2) involvement of all stakeholders in identifying which policies and procedures work and which need to be restructured; and most importantly, 3) acknowledgement of the need for, and subsequent placement of, all stakeholders on any policy and procedures decision making teams.

- **Implementation:** 1) an acknowledged role for all stakeholders in overseeing the implementation of policies and procedures; and 2) the development and assessment of outputs and outcomes that encompass policies related to all stakeholders; all stakeholders have a voice in modifying these policies as they are examined via formative evaluation.
- **Impact:** 1) Changes in policies and procedure that impact the organization's regulations for all stakeholders including rights and responsibilities for all groups; and 2) The rights of all groups are weighed equally in the planning and implementing summative evaluation and the subsequent decision making process.

The **infrastructure** of a system represents the underlying foundation or basic framework that holds it together and allows it to function; it includes the resources that are devoted to its existence including, most notably, funding, personnel, equipment, space, partnerships and collaborations. These resources can be prioritized and deployed in various configurations to attain differing results; consequently, there are as many infrastructure arrangements as there are programs and systems. Examples of changes to systemic infrastructure change include

- **Special education:** moving from self-contained classrooms to inclusive classrooms (changes in space, staffing requirements, classroom equipment, and partnerships).
- **One-stop access to services:** moving from insulated, hierarchical access to complimentary coordinated services (inter- and intra-agency collaboration, funding, personnel training/knowledge).

Key indicators of participatory systems change in infrastructure include:

- **Initiation:** 1) All stakeholders are part of the planning process and in identifying which components of the infrastructure need to be supported, enhanced, added or removed. 2) When envisioning the new or enhanced infrastructure, resources necessary to support all stakeholders e.g., staff, administrators, consumers, parents, advocates, and community members, are considered.
- **Implementation:** 1) The needs identified above are prioritized and decisions in support of their acquisition are made based on a "democracy" policy. 2) While not all needs may have equal weights, the implementation of all resources is considered with justifiable reasons, accepted by a consensus building process, used to prioritize the implementation process.
- **Impact:** 1) Changes in infrastructure are assessed and valued based on the needs of all stakeholders, not just on "economy" or "efficiency". 2) All stakeholders continue to have a voice in the summative evaluation and in revisioning the goals of the project. 3) Values of different stakeholders are included in the discussion of needs and continue to be a supporting process for the delineation of future changes in resources.

It is within the **service design and delivery** processes where the program becomes most evident and where most traditional program evaluation occurs. Key system concepts include program content, formal communication systems, supporting theories and knowledge base, design delivery, capacity, outreach/advertising, etc. How all of this is arranged and configured to address one or more service needs defines the program, its constituency, and its expected outcomes. What many program implementers forget is that a change in design and delivery of services generally requires a change to the supporting system that supports the delivery. Examples of changes to the design and delivery of services include:

- Technology integration: Moving from stand-alone curriculum on how to use technology and the use of technology labs to curriculum and instructional practices that view technology as a tool for teaching and learning (change in content, communication, supporting theories of pedagogy, and design and delivery of information)
- Person centered planning: Moving from top-down expert referent decision making to purposeful consumer involved information sharing and decision making (changes in communication, supporting approaches, design and implementation of service delivery, and capacity to serve).

Key indicators of participatory systems change in design and delivery of services include:

- Initiation: As is typical in participatory processes, representatives of all stakeholder groups should be part of the design and delivery of services. During this stage, there should be a sharing of visions and values of what constitutes services and, if resources are limited, in prioritizing who gets what services and to what degree. The development of service outcomes is key at this phase and should represent all groups.
- Implementation: Implementation activities should reflect the appropriate services to stakeholders, and from a systems change viewpoint, should reflect meeting outputs that will lead to outcomes and associated indicators. Key to this stage is formative evaluation; this process should match the general tenets of participatory evaluation. Program modifications should be based on consensus building among the stakeholders and a re-clarification of visions, strategies, or indicators as needed to promote sustainability.
- Impact: The impact stage of delivery and services further extends traditional participatory evaluation of the program to examination of the outcomes from the viewpoints and values of all stakeholders. The delineation of significant changes, their impact on stakeholders, and the valuing of the impact should represent a collaborative process of data analysis, interpretation and reporting. The presentation of the final summative report should convey the voices of all participants along with information on the weight of those voices in design, implementation, and analysis.

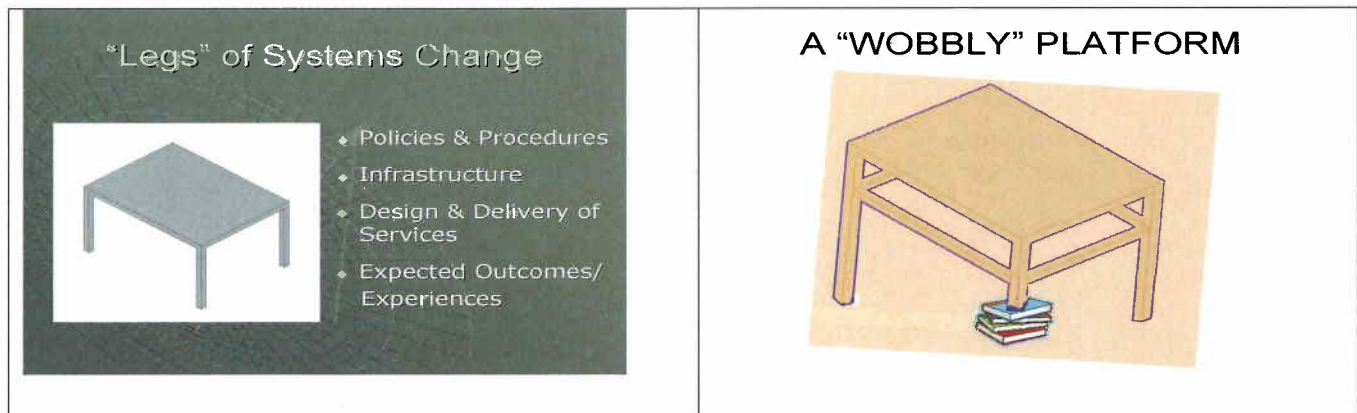
In looking at **expected consumer outcomes and experiences**, there are three major reasons for seeking systems change in education and human services programs: 1) to improve participant outcomes (i.e., higher student achievement); 2) to promote greater efficiency (i.e., serve more people with the same amount of resources or serve the same number with fewer resources); or 3) to employ a different guiding philosophy. (i.e., move from provider-directed to consumer-directed services, or teacher-centered to student-centered practices). In each instance, the experiences and outcomes for program participants will be different – receipt of new, more or higher quality services, greater improvement in learning or physical well-being, greater responsiveness or satisfaction, increasing capability, and the like.

- Deinstitutionalization: Providing family supports (respite, home modifications, service coordination, sibling programs, counseling, etc.) to families of children with significant disabilities allowed families to keep their children living at home rather than admitting them to an institution. In this instance, more families receive needed assistance, it is done for a lower cost, the children are more functionally capable, and it maintains families in communities (rather than growing or maintaining segregated institutions).
- School Counseling: Moving from a “silo” approach to treatment of K-12 social, behavioral and academic issues where parents and teachers meet with different service teams to a “braided” approach that recognizes that the three are interrelated and must be addressed in a unified approach (Change in parent expectations of services, counselor expectations of their role in providing services, and student expectations of their role as learner).

Key indicators of participatory systems change in expected consumer outcomes and experiences include:

- **Initiation:** 1) all stakeholders or their representatives are involved in a discussion of what the new expectations will be for the end consumers (e.g., better incoming skills, more exiting knowledge and abilities, etc.); 2) expectations (and objectives) reflect changes in all stakeholders perceptions of their own skills and planned interactions; and 3) strategies are developed that include ways to transfer expectations for all parties including in-depth communication of visions, sharing of needs, and a discussion of different philosophies.
- **Implementation:** 1) all stakeholders receive active learning or assistance in sharing expectations and the verbalizations of expectations and indicators. Other activities include sharing of values as a part of the process. 2) formative evaluation assesses an understanding of these new expectations and the degree to which they are accepted and 3) program modification and revisioning is used to reinforce these new expectations and their acceptance.
- **Impact:** 1) summative evaluation documents sustainable, integrated changes in expectations of consumers and the perception of all stakeholders on what the consumers can do; 2) these expectations continue to “fuel” further growth in expectations and the search for ways that involvement can be increased.

Newman and Lobosco (2007) and Lobosco and Newman (2007) have conceptualized these four factors as table legs that support a systems change platform<sup>6</sup>. When the systems change effort is initiated, all four legs do not have to be perfectly balanced. A wobbly table can still serve its intended purpose though the wobble may be annoying, at best, or an impediment, at worst. If the legs are too far out of balance, however, the table may become non-functional or hazardous and not serve its purpose as a secure platform. Thus, attention to all four legs is essential as the systems change effort proceeds and – from a formative perspective, help program managers to see where work still needs to be done.



This point is especially important because, rarely, do systemic change efforts intend to totally overhaul or replace a program or set of programs; it is more likely that systems change efforts will be explained as programmatic refinement. It is also more likely that those refinements and change efforts will begin

<sup>6</sup> *There is another set of concomitant factors which brace the systems change table legs though their exact placement has not yet been defined. Those factors are climate and culture, capacity building, support for sustainability, and leadership and advocacy.*

by focusing on one of the four “legs of the systems change table” – those key areas of change that occur when systems change efforts are successful. It is important to keep the dynamic nature of systems change firmly in mind because changes to one table leg will inevitably have an impact on the other three. For example, one can not simply change policies or procedures without assessing what concurrent changes may need to be made to the infrastructure, the design/delivery of services/supports, or people’s expectations of and experiences with the program.



## Appendix D

### Dimensions of Sustainability

The term sustainability (Shulha, Lee, & Van Melle; 2001) also includes the concepts of usability,<sup>7</sup> maintainability,<sup>8</sup> replicability,<sup>9</sup> and transferability.<sup>10</sup> These concepts are particularly important to funders who see them as key indicators of change, including systems change, because of their link to: 1) the ability of a grant funded demonstration or pilot program to sustain and maintain itself once the demonstration period and grant funding is exhausted, and 2) the ability to take the change that has occurred under grant funding and disseminate to, and replicate in, other settings. The emphasis is on stimulating integral and pervasive change that withstands the test of time – while also acknowledging the continuous and cyclical nature of systems change.

For purposes of DDC work, sustainability is what happens to a program or intervention after external funding ends. It is the capacity to endure; development that meets the needs of the present without compromising the ability of future generations to meet their own needs; equity over time, being fair and sensitive to future generations as we play out the present.

Sustainability is more than making sure that there is a funder after our project funds are exhausted and it needs to be considered from the very outset of our work.

We want the “concepts” that we are working on to survive, to grow and flower, and to take on a life of their own - in some way, shape or form - that may or may not mean the specific project gets an infusion of funds to continue. However, there are states that have laudable service systems, or laudable elements of the service system, but it has grown at an unsustainable rate and it is being increasingly threatened as money gets tight. There are those who have said that the system is fundamentally flawed because it is creating huge dependency on public funding when it should be creating less dependence on and greater independence from the system and considering how to create capacity and a sense of responsibility in the community for support of all citizens.

Scheirer (2010) notes that sustainability is important to funders, to community partners, and to the program itself as the focus moves from program outcomes to longer term effectiveness and ability to scale up or replicate the program more broadly. This perspective is developmental in nature as sustainability is affected by all the earlier stages of problem identification, solution specification, implementation, achievement of outcomes, and the question of future use. Four levels of sustainability are identified:

- Individual/client-level outcome – sustaining the benefits or outcomes for consumers;
- Organizational-level outcome – sustaining specific program activities;
- Community-level outcome – sustaining enhanced community or organizational capacity (coalition, partnership);
- Population-level outcome – sustaining attention to the issue or problem via dissemination or replication.

While it is laudable to identify sources of funding to keep specific projects going beyond the DDC funding stream, the focus is largely on maintaining and building on the concept that was demonstrated. A few key questions arise:

- How is sustainability measured?

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<sup>7</sup> *Having utility and especially practical worth or applicability*

<sup>8</sup> *To keep in an existing state - preserve from failure or decline*

<sup>9</sup> *Capable of being duplicated or replicated*

<sup>10</sup> *To convey from one person, place, or situation to another*



- What about unintended and negative consequences?
- When to assess sustainability and maintenance or deterioration over time?
- Is there a threshold that can be used to determine sustainability?
- How much adaptations can occur and still be the same program?
- Does continued existence mean it was caused by the initial funding source?

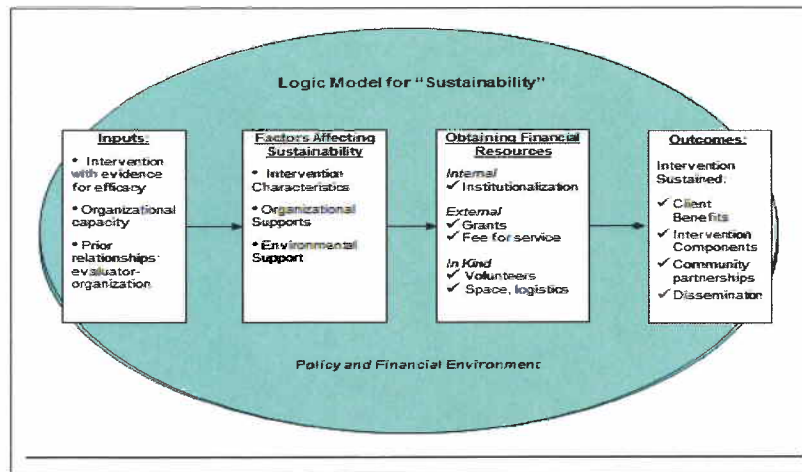
Unfortunately, like many other areas of systems change, the knowledge base is sparse as most sustainability studies did not look at a uniform set of factors, used retrospective data collection and relational analysis, focus largely on health programs, and had relatively small samples. However, those studies did identify the following factors influencing sustainability:

- Project design/characteristics
  - The intervention is flexible and adaptable enough to be modified from its original form
  - Low personnel cost or volunteer-driven
  - Evaluation was done and showed effectiveness (or had a reputation for effectiveness)
- Organizational factors:
  - Good fit between program and host agency mission, objectives and operating routines
  - Presence of an internal “champion”
  - Organization has strong existing capacity
  - Benefits “felt” by agency and/or staff
- Community involvement or environment
  - Presence of external funding
  - Non-monetary support by other community organizations

Additionally, sustainability of evidence-based programs include four (4) major processes/levels of decision making and/or support:

- Information dissemination based on the demonstration, including how the change agents work
- Decision to adopt/use the program based on program attributes and adaptability
- Implementation processes in each adopter organization, including an implementation support system; and
- Sustainability based on active or passive rejection of the innovation.

Using this information, a logic model for sustainability was developed:



From Scheirer, M.A. (2010)

The NYS DDPC (2010) has, in turn, taken this and other information on sustainability and developed a compendium to guide its work. This compendium identifies 5 critical points, or phases,<sup>11</sup> for doing work toward conceptual sustainability of its funded efforts. This compendium is supplemented by a delineation of roles and responsibilities for the DDPC and its funded programs as related to sustainability. The compendium also includes questions to answer and potential activities for each phase. The five points are:

1. **Design Phase** (Initiation, Pre-Start Up) where extensive information gathering and analysis is conducted to assure that the program is designed to take into account all relevant programmatic factors;
2. **Delivery Phase** (Implementation, Funding Cycle) where possible resources and assistance to funded projects are identified and provided;
3. **Diffusion Phase** (Scaling Up, Replication, Expansion) where strategies are identified for disseminating information and encouraging conceptual sustainability in the field;
4. **Time Out and Turn Around** (Your decision points—"If this does not happen by \_\_\_\_\_, then what turnaround strategy or what last resort will you use?") where alternatives for assisting unsuccessful endeavors are identified; and
5. **Exit Phase** where potential activities for assuring long-term sustainability are considered as the focus of funded effort move to other concerns.

This compendium, while having a very short life thus far, is viewed as a valuable asset to maintain a focus on sustainability of DDC work from identification of the problem and programmatic concept through the entire life of the funded program and beyond.

<sup>11</sup> The assistance of Jon Vogelsang is noted with appreciation in the identification of the five phases of sustainability work identified in this Compendium.

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## LOGIC MODEL

**Employment Objective #3.1:** Reduce by 5% the gap in employment rate for people with developmental disabilities in relation to employment levels within the general population.

Assumptions	Initiation		Implementation		Impact
	Inputs	Processes/Activities	Outputs	Initial/Intermediate Outcomes	Long-term Outcomes
	Route to Success		Systems Change Variables		Sustainability
<ul style="list-style-type: none"> <li>Current systems are not working cohesively to facilitate employment.</li> <li>Employment and personal goals should be the first options considered for youth and adults with DD (even those with the most significant disabilities) when planning for how they spend their days.</li> <li>It is likely that existing employment services, supports, assistance and incentives are not used to their potential.</li> <li>Structured communication and shared goals amongst state agencies should improve employment outcomes.</li> <li>Earlier expectation of and preparation for employment should improve job readiness.</li> <li>Individuals with DD,</li> </ul>	<u>Information Base:</u> <ul style="list-style-type: none"> <li>SED Transition resources &amp; website</li> <li>Project summaries (peer mentoring, service learning, youth leadership, employment &amp; transportation)</li> <li>NYS SSA demonstration final reports</li> </ul> <u>Strategies</u> <ul style="list-style-type: none"> <li>OPWDD Employment Training Program Internships</li> <li>OPWDD Employment services options (SEMP, etc.)</li> <li>VR service options</li> <li>SED/Spec. Ed work experience options</li> <li>Project SEARCH</li> <li>NYS USDOL Disability Employment Initiative grant</li> </ul> <u>Policy entrepreneurs</u> OPWDD Employment First Platform <u>Stakeholders &amp;</u>	<u>Information Base</u> <ul style="list-style-type: none"> <li>Identify lessons learned from business-led approaches to employment to encourage dissemination and replication of promising practices. (44)</li> <li>Create connections &amp; resources that will improve the ease &amp; outcomes of school to work transitions (49)</li> <li>Investigate emerging industries to institute employment development activities to prepare individuals for employment in those industries (i.e. alternate energy, "green" industries, etc.) (50)</li> </ul> <u>Strategies</u> <ul style="list-style-type: none"> <li>Explore and demonstrate ways of using personal goals and informed choice to build career paths for individuals w DD including but not limited to the use of work incentives such as</li> </ul>	<u>Service Design/Delivery</u> <ul style="list-style-type: none"> <li>Project SEARCH Summary report (44)</li> <li>Identification of emerging industries and needed preparation for working in those industries (50)</li> <li>Programs developed/refined (45, 46)</li> <li>Mentoring guidance from business leaders (44, 47))</li> <li>Increased availability and use of hands on work experiences and skill development activities (44, 47)</li> <li>Job readiness curriculum Best practices report (PNS)</li> <li>Best practices program report (PNS)</li> </ul> <u>Policies &amp; Procedures</u> <ul style="list-style-type: none"> <li>Information needed to develop policies &amp; procedures to support the OPWDD Employment First platform (48) and school-to-work transitions</li> </ul>	<u>Service Design/Delivery</u> <ul style="list-style-type: none"> <li>Increased options for vocational readiness and work experiences available across the DD, VR, Spec. Ed., and DOL offerings (46, 47)</li> <li>Targeted job readiness skill building to the needs of emerging industries (50)</li> <li>Increase percentage of people in OPWDD day services (state &amp; voluntary) who are engaged in employment- or community service-related skill development or work experiences (Measure: % people in OPWDD day services who are participating in employment/community service/ Baseline 15% or 9300 people)</li> </ul> <u>Policies &amp; Procedures</u> <ul style="list-style-type: none"> <li>Fully implement an Employment First policy with concomitant</li> </ul>	<u>Individual Level</u> <ul style="list-style-type: none"> <li>Individuals with sustained paid employment and work experience in integrated/competitive community settings (compensated at or above minimum wage)</li> </ul> <u>Organizational Level</u> <ul style="list-style-type: none"> <li>Fully implemented Employment First Policy</li> <li>Improved employment preparation for students (PNS)</li> <li>Enhanced cross-agency communication and collaboration related to youth school-to-work transition (PNS)</li> </ul> <u>Community Level</u> <ul style="list-style-type: none"> <li>Employment expectations for all individuals with DD (even those with the most significant disabilities)</li> </ul>

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**Employment Objective #3.1:** Reduce by 5% the gap in employment rate for people with developmental disabilities in relation to employment levels within the general population.

Assumptions	Initiation		Implementation		Impact
	Inputs	Processes/Activities	Outputs	Initial/Intermediate Outcomes	Long-term Outcomes
	Route to Success		Systems Change Variables		Sustainability
<p>families, educators, administrators and policy makers need better information and resources.</p> <ul style="list-style-type: none"> <li>Individuals with DD and their families must participate in systems change processes.</li> <li>The needs and expectations of employers must be focal in the systems change processes.</li> <li>The workforce needs of emerging industries should be considered in person centered planning and job development.</li> </ul>	<p><u>Partners/Collaborations</u></p> <ul style="list-style-type: none"> <li>OPWDD</li> <li>SED/ACCES-VR</li> <li>SED/Spec.Ed.</li> <li>DOH/Medicaid</li> <li>DOL/ Disability Employment Program Integrated Resource Teams</li> <li>UCES – SCDD, WIHD, RFK</li> <li>P&amp;A</li> <li>Employers</li> <li>SANYS</li> <li>APSE</li> <li>NYSRA</li> <li>NYSACRA</li> <li>OPWDD Talent Development Consortium</li> <li>State Rehabilitation Council</li> <li>Medicaid Infrastructure Grant Interagency Committee</li> </ul> <p><u>Unexpected Events</u></p> <ul style="list-style-type: none"> <li>ADD Youth employment</li> </ul>	<p>Ticket to Work, Impairment Related Work Expenses, Plans to Achieve Self-Support, Medicaid Buy-In, etc. (45)</p> <ul style="list-style-type: none"> <li>In conjunction with the OPWDD Employment First Platform, the DOL Disability Employment Program Integrated Resource Team approach and pertinent others, explore, pilot and/or encourage replication of promising practices for employment programs which focus on individualized and inclusive employment and increase the number of individuals with significant disabilities and/or complex needs involved in: <ul style="list-style-type: none"> <li>Pre-employment and work readiness</li> <li>Customized employment and discovery</li> </ul> </li> </ul>	<p>(PNS: 49)</p> <p><u>Infrastructure</u></p> <ul style="list-style-type: none"> <li>People trained on use of existing employment incentives to meet their employment goals (45)</li> <li>Funds leveraged to explore, pilot or replicate promising practices (46)</li> <li>Internship &amp; job opportunities in DD services agencies (47)</li> <li>New or easier connections to employment supports and services (44, 49)</li> <li>Increased worker/provider/educator skill in facilitating vocational readiness and employment goals (49)</li> <li>Statewide and regional Consortia (PNS)</li> </ul> <p><u>Consumer/Expectations/Outcomes</u></p> <ul style="list-style-type: none"> <li>Resource materials on school-to-work transition for students, families and educators (49)</li> </ul>	<p>procedures (including the OPWDD Employment First Platform) (48)</p> <ul style="list-style-type: none"> <li>Greater willingness of employers to hire individuals with DD (44)</li> </ul> <p><u>Infrastructure</u></p> <ul style="list-style-type: none"> <li>Increased number of individuals with DD and family members in the DD workforce (47)</li> <li>Increased use of existing supports and work incentives for attaining employment goals (45)</li> <li>Statewide co-enrollment of services system (PNS)</li> </ul> <p><u>Consumer/Expectations/Outcomes</u></p> <ul style="list-style-type: none"> <li>Greater ease in access and more options for obtaining employment services that effectively assist in meeting employment goals (49, 45)</li> <li>Increased knowledge of career services, opportunities and resources (44, 49, PNS)</li> </ul>	<p><u>Population Level –</u></p> <ul style="list-style-type: none"> <li>Reduce by 5% the gap in employment rate for people with developmental disabilities in relation to employment levels within the general population (Measure: 2008 disability Status Report/(Cornell U. EDI) or other comparable data – Employment rate general population 78.9% vs people with disability 36.2%/ Baseline: disparity is 42.7%)</li> </ul>



## LOGIC MODEL

**Employment Objective #3.1:** Reduce by 5% the gap in employment rate for people with developmental disabilities in relation to employment levels within the general population.

	Initiation		Implementation		Impact
Assumptions	Inputs	Processes/Activities	Outputs	Initial/Intermediate Outcomes	Long-term Outcomes
	Route to Success		Systems Change Variables		Sustainability
	<p>PNS Funding opportunity (PNS 2011)</p> <p><u>Other</u></p> <ul style="list-style-type: none"> <li>Part B funds &amp; matching funds</li> </ul>	<ul style="list-style-type: none"> <li>Supported employment</li> <li>Self-employment</li> <li>Competitive employment (46)</li> <li>Encourage internships &amp; jobs in disability agencies that also promote leadership opportunities in planning, implementing &amp; evaluating DD services. (47)</li> </ul> <p><u>Policy Entrepreneurs</u></p> <ul style="list-style-type: none"> <li>Support OPWDD Employment First Platform initiatives and goals. (48)</li> </ul> <p><u>Stakeholders &amp; Partners/Collaborators</u></p> <ul style="list-style-type: none"> <li>OPWDD Talent Development Consortium</li> <li>State Rehabilitation Council</li> <li>Medicaid Infrastructure Grant Interagency Committee</li> </ul> <p><u>Unexpected Events</u></p> <ul style="list-style-type: none"> <li>Funded Youth Employment PNS application</li> </ul>	<ul style="list-style-type: none"> <li>Resource materials on use of existing employment incentives for meeting employment goals (45, 49)</li> <li>Readily available assistance with job search, placement and skill development (44, 49)</li> <li>Training and informational sessions on employment issues/topics/processes/resources for individuals &amp; families (PNS, 49)</li> <li>Training and informational sessions on employment issues/topics/processes/resources for educators and employers (PNS, 49)</li> <li>Network of youth and young adult trained self-advocates (PNS)</li> <li>Youth/Young Adult Employment Summit (PNS)</li> </ul>	<ul style="list-style-type: none"> <li>Increases in job readiness, placement and successful performance (PNS)</li> </ul>	

# An Example: Logic Model for Systems Change

Initiation		Implementation		Impact
Inputs	Processes/ Activities	Outputs	Intermediate Outcomes	Long-term Outcomes
Route to Success		Systems Change Variables		Sustainability
<ul style="list-style-type: none"> <li>• Information Base</li> <li>• Strategies</li> <li>• Stakeholders</li> <li>• Policy Entrepreneurs</li> <li>• Unexpected Events</li> </ul>		<ul style="list-style-type: none"> <li>• Design &amp; Delivery of Services</li> <li>• Policies and Procedures</li> <li>• Infrastructure</li> <li>• Expectations and Outcomes</li> </ul>		<ul style="list-style-type: none"> <li>• Individual level</li> <li>• Organizational level</li> <li>• Community level</li> <li>• Population level</li> </ul>
Intervening Variables		<ul style="list-style-type: none"> <li>• Supports for Sustainability</li> <li>• Leadership &amp; Advancement</li> <li>• Capacity Building</li> <li>• Climate/Culture</li> </ul>		Elements of Long-term Change