

## **Appendix 1 EVALUATION PLAN**

### **Background**

The Yukon Workers' Compensation, Health & Safety Board (YWCH&SB) contracted the Yukon Chamber of Commerce (YCC) to provide specified services to Yukon employers for a two-year trial period that ended August 31, 2004. This arrangement was made between the two parties following discussions and negotiations over a period of several years.

The Board now requires a formal evaluation to assess the implementation and results of this trial program. The initial intent is that the evaluation will assess:

- The rationale for the program.
- The impacts and effects of the program, recognizing its short-term duration.
- The achievement of the purposes of the program, as set out in Appendix B of the Employer Consultant Contribution Agreement.
- The efficiency of the program and alternative means of delivery.

Following a public *Request for Proposals* process, the Board retained consultants Malloch Graham + Associates to plan and conduct the evaluation. The consultants are independent in terms of their findings and conclusions regarding the evaluation issues, and receive procedural and other advice from a committee of three YWCH&SB staff members (the "Steering Committee").

YWCH&SB adopted a two-phase approach to the evaluation. Phase 1 involves preparation of a formal evaluation plan for the services of the EC (this document), and Phase 2 features the research, reporting and other tasks required to implement the plan. This emphasis on planning allows both the consultants and program leaders the opportunity to carry out the evaluation in a thorough manner.

### **The Employer Consultant Program**

In response to overtures from employers and employer-based groups such as chambers of commerce, the Board agreed to pay for a two-year trial program that provided consultant services to Yukon employers. The Board entered into a contract with the YCC to deliver these services from its Whitehorse office.

The YCC, which has affiliate chambers in several Yukon communities including Whitehorse, subsequently hired an individual to serve as the Employer Consultant for the two-year contract period. YCC invoices the Board for approved and documented costs up to a maximum of \$450,000 over the two years. Actual expenditures for the term were approximately \$320,000 for the initial 23 months; a final claim had not been approved at the time of writing.

Details of the program are outlined in the contract, entitled "Employer Consultant Contribution Agreement." This Agreement sets out program purpose, scope, budget and reporting procedures. In particular, it describes the services to be delivered by the employer consultant; these are summarized in Table 1.

**Table 1**  
**Services Provided by the Employer Consultant – Contribution Agreement**

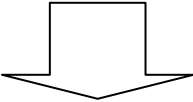
1. Facilitate meeting the objectives of the *Workers' Compensation Act* and the *Occupational Health and Safety Act*.
2. Act in partnership with the YWCH&SB in order to:
  - ▶ Educate employers on topics relating to workers' compensation, injury prevention, and the development of training and awareness programs.
  - ▶ Enhance employers' knowledge of the workers' compensation and occupational health and safety systems, including emerging issues.
  - ▶ Provide advice to employers on programs, services, and opportunities related to workers' compensation and occupational health and safety (such as return to work programs).
  - ▶ Facilitate the engagement of employers in YWCH&SB initiatives (such as the legislative review, the review of assessment premiums etc.).
  - ▶ Provide advice and assistance in appeals relating to occupational health and safety matters and workers' compensation assessments, including representing employers in these appeals.
  - ▶ Provide employers with relevant statistics to help them improve workplace environments.
3. Coordinate education work, in order to avoid overlap and duplication
4. Counsel employers on safety, service, assessment, return to work programs, etc.
5. Advise the Employer Stakeholder Advisory Committee of 'systemic issues' relating to occupational health and safety or workers' compensation assessment appeals.
6. Represent and facilitate the participation of employers at stakeholder advisory committee meetings or in policy working groups etc.
7. Provide advice to employers on the intent, process, and procedures of the workers' compensation and occupational health and safety systems, including the policies of the YWCH&SB.
8. Answer questions related to the occupational health and safety and workers' compensation systems, or refer employers to the YWCH&SB for answers.
9. Educate employers on current issues such as return to work, duty to accommodate, prevention of injuries and illness, and young worker safety.
10. Provide advice to the YWCH&SB on how to best reach the 'employer audience.'

**Program Logic**

Preparing this evaluation plan required thinking about the fundamental logic of the Employer Consultant Program. The process was challenging because the Contribution Agreement focuses on services rather than outputs or outcomes, and aside from Appendix B of the Contribution Agreement, little if any documentation exists for elements such as desired short- and long-term outcomes. The following model is therefore tentative because it is based on the consultants’ and Steering Committee’s best interpretation of the intended outcomes of the program.

Although it is subject to revision as the program is examined in more detail, this model provides a starting point to understanding the logic of providing employer consultant services.

**Table 2**  
**Tentative Program Logic Model**

<b>Program</b>	<b>YWCH&amp;SB Employer Consultant Service</b>
<b>Activities</b>	> Provide consultation, advice, representation, information, education and advocacy services to employers in matters relating to the YWCH&SB
<b>Goals</b>	> To reduce claim processing times > To reduce claim/injury time off work > To improve employers’ knowledge of the WCH&S system > To improve employers’ perceptions of the YWCH&SB
<b>Outputs</b>	> Number of employers using EC services > The number of education/information sessions and participants > Employer participation in YWCH&SB initiatives > Number of stakeholder advisory committee meetings by EC > Number of appeals in which the EC represented employers
<b>Short-term Outcomes</b>	Increased employers’ > Understanding of their legislated rights and responsibilities > Participation in YWCH&SB activities > Proactive in returning injured workers to work > Perceptions of YWCH&SB as fair and transparent
<b>Long-term Outcomes</b>	> Yukon employers consistently act in accordance with their rights and obligations > Time missed due to workplace injuries is reduced > YWCH&SB system costs and assessment rates are reduced  
<b>Mission</b>	[no mission statement for the program currently exists]

## Evaluation Methodology

### *Context and Approach of the Evaluation*

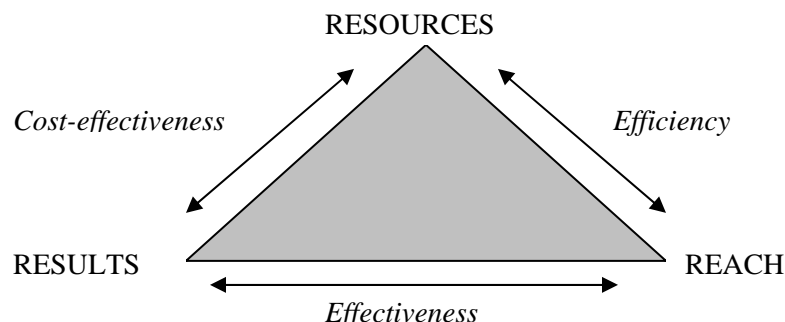
The scope of the evaluation is based primarily on the services provided by the Employer Consultant. Employer Consultant services are described in considerable detail in the Contribution Agreement. This Agreement, however, is heavily oriented to describing program *inputs* such as services, budget, and reporting requirements; it is silent in the areas of program objectives, desired outputs or impacts (we suggest tentative goals and outputs in the logic model in Table 2). This is not an unusual situation for a short-term trial program: the focus was clearly on defining and launching new services to employers rather than on the long-term outcomes desired from those services.

It is important that the evaluation recognizes the context of the program as well as the extent of its activities and resources; these include:

- > Starting up and delivering a series of services that did not previously exist;
- > Reaching a target of approximately 2,400 employers located throughout the Territory;
- > Delivery by one full-time contract employee (with administrative support by YCC staff);
- > A trial period for the program of two years.

The short-term, introductory nature of the program suggests that the evaluation will be primarily *formative*; that is, it will focus on assessing start-up and implementation issues. It will also consider *summative* issues such as goal achievement to the extent possible, recognizing that there may be limited evidence of change within the target group (employers) in such a short period of time. When summative issues are considered, it will be important to determine whether the services and activities of the Employer Consultant could reasonably be expected to achieve desired longer-term outcomes.

The following graphic helps to describe an overall approach to evaluating programs such as Employer Consultant Services. This “3R” model illustrates the relationships between Resources, Reach and Results, as well as the evaluation issues that arise from their interaction.



- > *Efficiency* is primarily formative evaluation; it examines the use of resources (inputs) and the extent to which these resources were able to reach targeted populations.

- > *Effectiveness* evaluation, while primarily summative in nature, examines the extent to which desired change occurred in the targeted populations, i.e. the extent to which project goals and objectives were achieved.
- > *Cost-effectiveness* examines the cost of achieving the desired change, which will be difficult to do given the time that the service was in effect. This project will instead restrict itself to looking at the question of value received for money expended, which relates to the *efficiency* issue.

In the case of this program, the evaluation will focus on the broad issues of efficiency and, to the extent possible, effectiveness. The short history of experience precludes any in-depth examination of cost-effectiveness at this time. Instead, we will focus on assessing *value for money*, that is, the extent to which expenditures produced activities and outputs that show promise for achieving program goals. There may also be sufficient qualitative feedback to permit the evaluators to comment on this issue in the context of alternative delivery systems that may exist for the program.

### ***Evaluation Questions and Issues***

We identified five primary questions relating to an evaluation of the Employer Consultant Program. Some of these topics include sub-questions or issues that are of particular interest to decision-makers. These questions and issues define the scope of the evaluation and shape the research to be undertaken by the consultants.

- 1) Were employer consultant services implemented effectively?
  - > Were services delivered in accordance with the contract?
  - > Were resources effectively allocated and controlled?
  - > Was fair value received for money expended?
- 2) To what extent did the program generate positive short-term results? Positive results or indicators would include employers that are:
  - > aware and understanding of the WC and occupational H&S systems
  - > taking a more active role in claim outcomes
  - > more receptive to injury prevention activities
  - > more proactive in returning injured workers to work
  - > engaged in Board policy development, strategic planning, and other initiatives
  - > more likely to hold positive perceptions of the workers compensation system and the Board.
- 3) Does an ongoing need exist to provide employer consultant services?
  - > Is the EC role consistent with current YWCH&SB priorities?
  - > Is the program rationale sound?
  - > Does the program address a defined need?
- 4) What alternative delivery mechanisms exist for providing these services?
- 5) What lessons were learned through the trial program?

These questions are the starting point for developing an evaluation matrix that describes measures and sources of information that will generate the relevant data.

### ***Available Information and Data***

The Contribution Agreement identifies the following potential information/data sources:

- > The Employer Consultant must maintain case files and activity data.
- > The EC must provide the YWCH&SB with a 'final report' within 30 days of the termination of the contribution agreement.
- > The EC must report quarterly to the YWCH&SB with a monthly breakdown of services rendered to employers, including the number of employers served by industry group.
- > An audit with respect to EC services was completed in early 2004.
- > The EC must keep daily records with respect to the services performed, and maintain a list of employers for the purpose of the audit.

YWCH&SB files contain correspondence and other material concerning the Employer Consultant. In addition, the following documents may be germane to the evaluation:

- > Employer Consultant Position Options Paper
- > YWCH&SB Strategic Plan
- > YWCH&SB Annual Reports for 2002 and 2003
- > YWCH&SB Three Year Business Plan
- > YWCH&SB 2005 Business Plan
- > YWCH&SB Stakeholders Review 2001
- > 'Workplace Safety: Perceptions of Safety in the Workplace – Results from a Survey of Working People'.

The YWCH&SB claims data system can produce certain reports that describe employers by industry, business type, size, and so on. Generally, however, the system cannot link employer actions or behaviours to claims activity; for example, to demonstrate linkages between a company's safety program and its claims history.

### ***Evaluation Matrix***

The evaluation will be based on both quantitative and qualitative information. Quantitative data that describe the activities and services (e.g. numbers of contacts, participants, and so on) appear to be quite comprehensive. Aside from the 2001 YWCH&SB Stakeholders Review, however, little baseline data exists about employers prior to the launch of the program (such as their perceptions and views of YWCH&SB). We will attempt to gather quantitative data that is comparable to the relevant findings for employers in the 2001 Stakeholders Review.

We will design a sample survey of Yukon employers to assess their awareness of and contact with the EC Program, as well as their perceptions of the workers' compensation system and the Yukon Board.

In addition to this sample survey, the methodology will include qualitative techniques such as interviews and focus group discussions. We will use both the employers' sample survey and these qualitative methods to try to assess the degree of change that has occurred within the

targeted areas (i.e. employers’ attitudes and behaviours) as the result of the program. Developing precise measurements of any such change, however, will be challenging for two reasons:

- 1) Limited baseline data exists to indicate employers’ attitudes and behaviours prior to the launch of the EC trial program; and
- 2) The two-year duration of the trial program may be too short to achieve measurable changes in these areas among 2,400 employers.

Table 3 is an Evaluation Matrix that shows, for each question, the general measures, data sources and methods of data collection that will be employed.

Table 3  
**Evaluation Matrix**

<i>Evaluation Questions:</i>	<b>Measures</b>	<b>Sources of Data</b>	<b>Method of Data Collection</b>
1. Were employer consultant services implemented effectively?	<ul style="list-style-type: none"> <li>&gt; Resource allocation consistent with Agreement</li> <li>&gt; Target populations reached</li> <li>&gt; Budget vs actual expenditures</li> <li>&gt; Effective program management and control</li> <li>&gt; Value for money</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Program files/reports</li> <li>&gt; Internal documents and records</li> <li>&gt; Minutes of meetings</li> <li>&gt; Expenditure data</li> <li>&gt; Employers</li> <li>&gt; Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Document/file review</li> <li>&gt; Quantitative data collected by consultants</li> <li>&gt; Personal and group interviews</li> </ul>
2. To what extent did the program generate positive short-term results?	Intended & unintended consequences of program; employers: <ul style="list-style-type: none"> <li>&gt; Aware &amp; understand system</li> <li>&gt; Active in claim outcomes</li> <li>&gt; Receptive to safety</li> <li>&gt; Help return injured wkrs to work</li> <li>&gt; Engaged in Board initiatives</li> <li>&gt; Have positive perceptions of WC system and the Board</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Program files</li> <li>&gt; Program data &amp; reports</li> <li>&gt; Activity data, e.g. # of sessions/participants; info pieces distributed; # of contacts</li> <li>&gt; Employer/target group feedback</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Document/file review</li> <li>&gt; Quantitative data collected by consultants</li> <li>&gt; Survey of employers</li> <li>&gt; Personal and group interviews</li> </ul>
3. Does an ongoing need exist to provide employer consultant services?	<ul style="list-style-type: none"> <li>&gt; Clearly identified needs</li> <li>&gt; Consistency of program rationale</li> <li>&gt; Consistency with Board priorities</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Program documents, files and data</li> <li>&gt; Board reports</li> <li>&gt; Program managers</li> <li>&gt; Employers &amp; stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Document reviews</li> <li>&gt; Assessment of program files and data</li> <li>&gt; Survey of employers</li> <li>&gt; Individual and group interviews</li> </ul>
4. What alternative delivery mechanisms exist for these services?	<ul style="list-style-type: none"> <li>&gt; Description of alternatives</li> <li>&gt; Potential for improving program delivery</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Program reports</li> <li>&gt; Program managers</li> <li>&gt; Boards in other jurisdictions</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Document review</li> <li>&gt; Interviews</li> <li>&gt; Group discussions</li> <li>&gt; Survey of employers</li> </ul>
5. What lessons were learned through the trial program?	Document lessons learned	<ul style="list-style-type: none"> <li>&gt; Program managers</li> <li>&gt; St Comm. Members</li> <li>&gt; Employers and other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Document review</li> <li>&gt; Interviews</li> <li>&gt; Group discussions</li> </ul>

**Conclusion**

Upon the completion of a two-year trial, the YWCH&SB and the YCC want to obtain systematic and reliable feedback concerning the Employer Consultant Program. This plan prescribes a *formative* evaluation that focuses on the implementation of the program and what can be learned from its brief history. It is also designed to assess short-term outcomes of the program, to the extent that these can be measured.

The evaluation's findings are intended to support decisions about the need for and design of similar initiatives in future. The process promises to be interesting.

**Appendix 2  
Employer Survey Questionnaire**

*The Yukon Workers Compensation Health & Safety Board wants to hear the views of employers about the Board's services to employers. Would you please answer a few questions in this regard? It will take only a few minutes, and your responses will help the Board plan services to Yukon employers. Thank you for your cooperation.*

	YES	NO	Don't Know
1. Do you currently have an account with the Yukon Workers Compensation Health & Safety Board (YWCH&SB)?			
2. Has your organization ever received an audit by the YWCH&SB?			
3. In the past two years, did any employee or sub-contractor of your organization submit a claim to the Board?			
4. Did you have direct contact with Board staff in the past two years (such as attending a meeting; reporting an accident; discussing an assessment matter or a safety issue)?			
5. Do you support the idea of a full-time Employer Consultant providing information and advice to Yukon employers regarding the workers' compensation system?			
6. The Employer Consultant service would cost approximately \$200,000 per year, paid by employers through assessment fees. Do you support this expenditure?			

7. How familiar are you with the way employer assessment rates are set by the Board?  
 very familiar    somewhat familiar    not very familiar    not at all familiar    don't know

8. How familiar are you with the services and programs the Board provides to employers?  
 very familiar    somewhat familiar    not very familiar    not at all familiar    don't know

9. Please indicate your agreement with the following statements about the workers compensation system and the YWCHSB:	Strongly Agree	Somewhat Agree	Somewhat Disagree	Strongly Disagree

a) I am aware of the basic purpose of workers' compensation.				
b) I understand how the workers' compensation system works.				
c) I take an active role in any claims filed by my workers.				
d) I support safety/injury prevention activities in my workplace.				
e) I am proactive in returning injured workers to work.				
f) I get involved in Board initiatives such as policy development, strategic planning, or others.				
g) I have generally positive views of the workers compensation system overall.				
h) I have generally positive views of the organization that manages the system in Yukon (the YWCH&SB).				

10. In your opinion, how well do you feel the Board is helping injured workers recover from their workplace injuries?

- helping a great deal    helping to some extent    helping very little    not helping at all    don't know

11. As an employer, would you be interested in accommodating the early return to work of an injured worker if the worker was supported financially and otherwise by the Board?

- yes    no    n/a    don't know

12. Do you think the Boards' policies are ... *(mark only one response)*  
 completely fair   mostly fair   mostly unfair   completely unfair   don't know

13. Since you've handled WCB/Health & Safety issues for your business would you say that the service you've received has:

- improved    become worse    remained about the same    don't know

14. Are you a member of a Chamber of Commerce in the Yukon?    yes    no    don't know

15. Are you aware that an Employer Consultant was available during 2003 and 2004 to assist you in dealing with workers' compensation/health and safety issues?    yes    no  
 don't know

» If **NO** – go to Question 20.

16. Have you seen the Employer Consultant website?    yes    no    don't know

17. Did you have any contact with the Employer Consultant (such as attending an information meeting, requesting information, and so on)?    yes    no    don't know

» If **YES**, how useful was the Employer Consultant service to you in the following areas?

	Not Applicable	Very Useful	Somewhat Useful	Not at all useful
Providing information about the workers compensation system				
Providing information about occupational health and safety				
Assisting me with a claims matter				
Assisting me with an appeal				
Assisting me with an assessment matter				
Other information or assistance				

18. The Employer  
Consultant service trial period ended in September 2004. Do you support renewing this service at a cost to Yukon employers of approximately \$200,000 per year?  
 yes     no     don't know

19. In your opinion, what is the best way to deliver these Employer Consultant services?

- a) Directly through the YWCH&SB
- b) Through the Yukon Chamber of Commerce
- c) Through a new organization created just for this purpose
- d) Any one of the above; the delivery method doesn't really matter
- e) Another way (please specify below)
- f) I don't have enough information to answer this question

20. If you wish to comment further on the Employer Consultant service, please do so in the space below.

*Thank you again for your cooperation. Questions regarding this survey may be directed to:*  
Mal Malloch, Malloch Graham + Associates Management Consultants  
Telephone 867-633-5259