PERMISSION FOR USE AND COPYING

Intellectual property rights for this material rests with the Authors.

Permission to use and copy this resource is freely granted for educational purposes. These Units are designed to be delivered intact as complete Units, however there may be situations where use of part of the Unit is warranted in educational contexts. If you are reproducing in part only, please credit:


ADDITIONAL COPIES

The complete suite of 18 Public Health Nutrition Workforce Development units developed by the JobNut Project and the related Educator’s Guide are available for downloading at the following website:

http://www.medicine.tcd.ie/nutrition-dietetics/jobnut/

DISCLAIMER

This workforce development unit has been produced as part of the JobNut Project, supported by the Leonardo Da Vinci Program, Education & Culture, European Commission. The opinions and conclusions expressed in this paper are those of the author(s) and no official endorsement by the funder is intended or should be inferred.

ACKNOWLEDGEMENTS

Funding to support the JobNut Project was provided by the Leonardo Da Vinci Program, Education & Culture, European Commission.

This Unit has been developed by Professor Roger Hughes, Christina Black and Dr Nick Kennedy of the Unit of Nutrition and Dietetic Studies, School of Medicine, Trinity College Dublin.
Action

Unit 12 - Implementation and Monitoring

**Learning Objectives**

*On completion of this unit, students should be able to:*

1. Describe the various approaches the implementation of public health nutrition intervention

2. Describe the importance and role of governance in public health nutrition interventions, and apply key strategies of a good governance model

3. Identify and apply tools for risk management in public health nutrition interventions

4. Identify and apply tools for monitoring the progress public health nutrition intervention implementation

**Intelligence**

*Unit Readings*


Contents:

| Types of PHN Intervention Implementation | 5 |
| Governance                                | 6 |
|   • Intervention Management/Steering Committee | 7 |
| Risk Management                           | 10 |
| Partnership Satisfaction                  | 13 |
| Developing a Milestone History Monitor    | 15 |
| Evaluability Assessment                   | 16 |
| Summary of key points                     | 19 |
| Additional Resources and Readings         | 20 |
| References                                | 20 |

Implementation and Monitoring

Preamble

The effectiveness of public health nutrition practice is inexplicably linked to the quality of strategy implementation. Incomplete implementation or Implementation failure is a major cause of ineffective practice therefore actively monitoring implementation of intervention strategies is a critical stage in the PHN intervention bi-cycle.

One of the risks in PHN practice is that so much attention can be devoted to development of objectives, strategies to address the problem and planning an intervention that the type and purpose of implementation may be overlooked (1). There are several approaches to implementation that can be taken including; pilot approach, phased-in approach and immediate implementation.

Monitoring the progress of implementation is important and includes regular intervention management/ steering group meetings, risk management, partnership satisfaction analysis, intervention milestone monitor and evaluability assessment:

- Management or Steering committees play an important role in the intervention by taking responsibility for the business associated with an intervention, ultimately ensuring delivery of intervention activities and appropriate risk management (ensuring issues are adequately addressed and kept under control).
- Many situations in health promotion involve decision making in the presence of high risk, often due to imperfect information or personal preferences and biases. Risk analysis and management involves following a five step analysis process to identify the outcome and probability of risks, taking and documenting preventative or recovery action.
- If partnerships are to be successful as a strategy aligned with capacity building practice, they must have a clear purpose, add value to the work of the partners and be carefully planned and monitored. The partnership analysis tool can be used to assess, monitor and maximise the ongoing effectiveness of partnerships.
- The planned achievement dates of milestones can change overtime. A milestone history monitor is a tool that can be used to show how milestones have been rescheduled during the intervention.
- Evaluability assessment is the process of assessing whether or not the intervention is ready for evaluation, and establishing whether the critical pre-conditions for evaluation are present.

Types of Public Health Nutrition Intervention Implementation

During public health nutrition intervention management so much attention can be devoted to development of objectives, strategies to address the problem and planning an intervention that the type and purpose of implementation may be overlooked (1). There are several approaches to implementation that can be taken including;
• **Pilot approach** - an important first step in implementing a health promotion or PHN intervention and involves gaining feedback from a sub-group of participants or target group and key stakeholders about the quality of all dimensions of the intervention - from educational material to the appropriateness of staff chosen to deliver intervention strategies. Piloting an intervention has an emphasis on process evaluation and works to ensure the strategy mix planned is feasibly and efficiently implemented. Intervention pilots are important to ensure that risks of implementation failure are limited in later intervention rollouts.

• **Phased-in approach** - occurs when interventions are implemented at different sites, communities or regions. A pilot of the intervention is likely to have yielded slight adjustments to the intervention strategies and a decision is then made to phase the program into various settings over time because of resource restraints, the need for more appropriate resources or the timeline.

• **Immediate implementation of the intervention** - interventions that have been effective in the past or programs that have a standard approach are usually implemented immediately in their totality (2).

A pilot approach is recommended in undertaking any intervention, because it serves to engage the target group in the design, process evaluation and execution of the intervention, further securing commitment from the target group or community (i.e. capacity building - ensuring sustainability).

In addition to considering the approach to implementation a number of factors, such as governance, risk management, partnership satisfaction and evaluability assessment should be monitored during the implementation phase of a PHN intervention. These factors are covered in detail below.

**Practice Note**

Implementing an intervention can be a challenging process. Even with detailed implementation and evaluation plans unexpected issues or situations can arise which may throw implementation of the intervention off course, requiring milestone or budget readjustment. Having a strong and clearly articulated governance structure that can be responsive to the changing practice landscape is vital to ensure decisions are delegated to and made by those with appropriate responsibility when issues or situations do arise. This is part of the utility of having an intervention management group to share the burden of inevitable “crisis” that occurs during the lifespan of an intervention.

**Governance**

If we are serious about engaging stakeholders and building capacity for effective PHN action, it is vital that the management or governance structure of the intervention is identified and agreed to. The objective of intervention governance is essentially about shared decision making, to manage the project throughout its life including the realisation of intervention deliverables, high productivity and quality output and appropriate risk management (3).
Key components to effective governance:

- Clearly defined roles and responsibilities – agreed to and signed off by the intervention management committee
- A representative intervention management committee of appropriate stakeholders that steer rather than drive the intervention
- Well defined risks and issues for the intervention, including documented monitoring
- Reporting of intervention progress against the milestones as outlined in the implementation plan

Source: (3)

Intervention management structures can cause some conflict with regard to accountability and reporting, particularly when the governance structure does not reflect operational line-management structures. It is therefore very important to all players know how and agree with how the intervention governance structure will operate. Intervention activities should be managed through the intervention management structure while operational activities should be managed through existing line management structures. The distinction between these two types of activities, intervention and normal business, should be clearly conveyed to assist with defining accountability and reporting arrangements (3).

**Intervention Management/Steering Committee**

An intervention management committee or steering committee is crucial for intervention success, particularly for larger interventions. Steering committee members play an important role in the intervention both individually and collectively. The primary function of a steering committee is to take responsibility for the business associated with an intervention, ultimately ensuring delivery of intervention activities and appropriate risk management (ensuring issues are adequately addressed and kept under control).

For management committees to work effectively the right people must be involved. Management committee appointment should be based on individual skills and attributes rather than on their formal roles, and members should maintain membership even if their role within an organisation changes. It is also vital to have representatives from key stakeholder groups as members of a management committee. It may be necessary to develop Terms of Reference to which the steering committee agree to ensure all members are aware of their roles and responsibilities of being part of the steering committee for the intervention.

In practice the intervention management committee responsibilities involve five main functions:

1. **Approval of changes to the intervention and its supporting documentation** - including intervention priorities and objectives, budget, deliverables, schedule amendments and risk management strategies.

2. **Monitoring and review of the intervention** - including reviewing the status of the intervention at the end of each phase to determine whether the team should progress.

3. **Providing assistance to the intervention when required** - including being active advocates of the intervention and help facilitate broad support for it, facilitating communication with stakeholder groups and illustrate intervention benefits, and contributing individual knowledge or experience.
4. **Resolving intervention conflicts** - conflicts in resource allocation, output quality or level of stakeholder commitment, while the project manager should be able to deal with most conflicts there may be occasions when the management committee are required to help resolve disputes.

5. **Formal acceptance of intervention deliverables** - the management committee should formally review and accept project outputs and are therefore required to have a broad understanding of the intervention and approach employed by the intervention team (3).

A steering/management committee should meet regularly throughout the course of the intervention to keep track of the progress of the intervention and address any issues that may arise. The project manager should attend these meetings to be a source of information for the committee and to be informed about the committee decisions.

Steering/management committee agenda - example

- Introductory items:
  - Apologies
  - Acceptance of minutes from last meeting
  - Matters arising from the minutes addressed
- Implementation plan business – amendments, revisions or arising issues
- Intervention management issues – progress reports, consultant reports/findings
- Important issues at the time of the meeting
- Review of actions arising from last committee meeting – any further follow-ups required
- Plans for the next meeting

Source: (3)

The management committee has responsibility for the intervention until the deliverables and outcomes have been achieved, which may not occur until after the project team have completed their involvement.

Figure 1 illustrates an example of an intervention governance model for a medium-scale intervention which may be useful to include in the intervention management committee terms of reference and implementation plan.
The Governance Model for this multi-partner, multi-strategy community intervention included a Project Management Team composed of core stakeholders (~10 individuals representing key partner organisations/jurisdictions). The PMT meets fortnightly to monitor project implementation, share decision making and share information. Day-to-day implementation responsibility and decision making has been delegated to working groups, each with defined implementation budgets and plans. These project groups maintain regular communication with the Project Leader and other members via regular PMT meetings.

The following reading is a government website that provides guidelines, templates and fact sheets for all types of project management. Explore these web pages to access guidelines and templates for terms of reference, standard agenda etc that can be used to assist with intervention governance.

Intelligence

Reading

Exercise 1.

Considering your selected scenario and the websites/resources above reiterate the membership of your intervention management committee and draft Terms of Reference for the committee to discuss and agree to. Also develop a standard agenda for intervention management committee meetings and determine who you think should share the meetings.

Workshop/tutorial option:
Complete the exercise in small groups followed by a whole-class debriefing

CPD option:
Conduct the above exercise in the context of your current work role and an identified nutrition problem in the community or population you are working with.

Risk Management

Many situations in health promotion can be seen as an example of decision making in the presence of high risk often due to imperfect information or personal preferences. A risk consists of two parts; an undesirable outcome and the probability of its occurrence (4).

Outcomes can be known or unknown. For example, the undesirable effects of excess fat and sugar intake can be obesity or diabetes, while the long-term health outcome of genetically modified foods is unknown. Uncertainty can be classified as aleatory and epistemic. Aleatory uncertainty is the result of a known random process - having good knowledge of the underlying probability distribution which enables analysis of the problem at a fairly detailed quantitative level. Epistemic uncertainty explains a lack of knowledge - little known about the probability distribution which means it is difficult to undertake a valid analysis of the situation (4).

Given these two dimensions of probability and outcome, four cases of risk can be distinguished as is shown in Figure 2. Each quadrant indicates a different level of complexity in risk analysis and requires different tools. For a well-known aleatory risk, with a well-known outcome tools such as decision analysis can be used to conduct a detailed evaluation of the decision problem at hand. For problems that occur in other quadrants of the risk classification matrix, the analysis is more complex and involves using other analysis tools.
Figure 2. Risk classification matrix - example

<table>
<thead>
<tr>
<th>Probability</th>
<th>Outcome Known</th>
<th>Outcome Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aleatory</td>
<td>Staff turnover</td>
<td>Participation of target group</td>
</tr>
<tr>
<td>Epistemic</td>
<td>Budget changes</td>
<td>Relationships with new partners</td>
</tr>
</tbody>
</table>

Adapted from: (5)

Risk management involves progressing through 5 steps as outlined in Table 1.

Table 1. The five steps of risk management

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Risk identification</td>
<td>Determining the possible risks of an intervention or faced by a population.</td>
<td>Project staff turnover.</td>
</tr>
<tr>
<td>2</td>
<td>Risk analysis</td>
<td>Determining the importance of the risk, in terms of probability of occurrence and impact, as well as the expected effect of alternative actions.</td>
<td>Disruptions in intervention implementation, relationship building, salary budget, loss of tacit knowledge. Probability estimated through human resource staff statistics.</td>
</tr>
<tr>
<td>3</td>
<td>Action evaluation</td>
<td>Determining what can be done to reduce the probability of the event or to mitigate its impact.</td>
<td>Appropriate recruitment to appoint an appropriate candidate, appealing salary package, professional development opportunities, performance management and career options.</td>
</tr>
<tr>
<td>4</td>
<td>Implementation</td>
<td>Ensuring responsibility for implementing the decided actions is assigned and the decisions executed.</td>
<td>Required actions allocated to the human resource department, project manager, project staff supervisor etc</td>
</tr>
<tr>
<td>5</td>
<td>Documentation</td>
<td>Ensure reporting of the analysis, actions undertaken and the outcomes to improve future decisions and for accountability to funding agency/senior management.</td>
<td>Documentation of planned and achieved actions in minutes, implementation plan or a risk register.</td>
</tr>
</tbody>
</table>

Adapted from: (5)

Risk analysis can be undertaken by the project manager or project team, however should be reviewed and agreed to by the intervention management committee. Different people have different risk profiles that are based on previous analysis and personal preferences (4), having risks identified and reviewed by a group of people helps to ensure a more objective, thorough process and a more effective outcome.
Practice Note

Risk management can be reduced by undertaking sound problem, determinant and capacity analyses to ensure good decisions have been made during intervention planning that are more likely to lead to good outcomes. Identifying risks, taking preventative action and monitoring the risks in an intervention is important and should be included in the governance structure of an intervention. Identified risk should be regularly reviewed by the project manager and intervention management/steering committee.

Intelligence

Reading


Exercise 2.

Read the Tasmanian Governments Risk Management guide and develop a risk management plan to address the following issues that has arisen during implementation of a PHN intervention. In addition outline the approach (in accordance with the five risk analysis steps) that could have been taken to have prevented or reduced the impact of the risks had they been identified or managed earlier.

Scenario: You are the project manager of a school-based intervention targeting the consumption of high fat, sugar, salt foods in secondary schools. The primary target audience is students and the secondary target groups are school executives, teachers and parents. The intervention involves introducing a healthy eating policy in the canteen, social marketing material (including local press releases), teacher training and parent/student education sessions. The intervention is being implemented in 8 schools across 3 communities and has been running for 9 months of a two year intervention. In the past 2 weeks you have just discovered that your fulltime project officer is resigning from the position (leaving only yourself and another 0.6TFE project officer), the consultant designer has announced bankruptcy (having designed only half the information fact sheets and posters), and the local branch of the education department have pulled-out as a partner of the project because of the national confectionary company have reduced their funding of sport equipment to schools in the region (due to the intervention).

Workshop/tutorial option:
Complete the exercise in small groups followed by a whole-class debriefing
Partnership Satisfaction

Partnership development and maintenance is an important aspect of PHN practice and an important capacity building strategy to support interventions. They are an important mechanism for bringing together a diversity of skills and resources for more effective health outcomes. Partnerships can increase resources available for an intervention, increase access to and participation of the target group, and create new networks with different sectors or industries (6, 7).

Most partnerships move along a continuum based on degree of commitment, change required, risk involved, levels of interdependence, power, trust and a willingness to share ground. Figure 3 illustrates the partnership continuum and levels of partnership.

Figure 3. Partnership continuum

<table>
<thead>
<tr>
<th>Continuum based on:</th>
<th>Networking – involves exchange of information for mutual benefit and required little time, trust or sharing of ground between partners</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Coordinating – involves exchange of information for mutual benefit and altering activities for a common purpose. It requires more time and trust but does not include sharing of ground.</td>
</tr>
<tr>
<td></td>
<td>Cooperating – involves exchanging information, altering activities and sharing resources for mutual benefit and a common purpose. It requires significant amount of time, high levels of trust and significant sharing of ground.</td>
</tr>
<tr>
<td></td>
<td>Collaboration – involves all of the above plus a willingness to increase the capacity of another organisation for mutual benefit and a common purpose. It requires the highest levels of trust, considerable amounts of time and extensive sharing of ground, as well as sharing risks and rewards. This type of partnership can produce the greatest benefits.</td>
</tr>
</tbody>
</table>

Source: (6)

If partnerships are to be successful, they must have a clear purpose, add value to the work of the partners and be carefully planned and monitored. A useful resource, the partnership analysis tool is available for organisations entering into or working within a partnership to assess, monitor and maximise its ongoing effectiveness. This tool is extremely helpful for monitoring partnerships in PHN interventions, and designed to provide a focus for discussion between organisations (6).
The tool contains 3 activities:

1. Assess the purpose of the partnership - why is the partnership necessary for this intervention? What value does the partnership add to the intervention?
2. Involves designing a map which visually represents the nature of the relationships between agencies in the partnership.
3. Involves completing a checklist which defines the key features of a successful inter-organisational or inter-sectoral partnership. The checklist is designed to provide feedback on the current status of the partnership and to suggest areas that need further support and work (7).

Where possible, the tool should be completed by participating partners as a group because the discussion involved in working through the activities will help to strengthen the partnership by clarifying ideas and different perspectives. Completing the activities can take several hours because of the variety of perspectives among partners and the time needed to reflect on the partnership and how it is working. The discussion that occurs around completing the activities will contribute to the partnership because ideas, expectations and tensions can be aired and clarified (7).

The tool should be used multiple times in the partnership. Early on the activities will provide information about how the partnership has been established and identify areas for further work. Using the tool again a year into the partnership will provide a basis for structured reflection on how the partnership is developing. For longer-term interventions and partnerships it is valuable to complete the activities every 12 months for continued monitoring of progress (7). Ongoing monitoring and shared reflection of how a partnership is working is crucial to strengthening and sustaining relationships between organisations and achieving effective outcomes.

Intelligence

Reading


Exercise 3.

After reading the articles by McLeod (2003) and Kelaher et al (2008) work in small groups with colleagues considering the same scenario as you to complete the Partnership Analysis Tool, with each group member representing a different stakeholder. You may choose to be using the tool for the first time at the beginning or midway through implementing the intervention.

CPD option:
Conduct the above exercise in the context of your current work role and an identified nutrition problem in the community or population you are working with.

Developing a Milestone History Monitor

The project manager or project team should, at regular review dates, assess the project’s progress and review the planned achievement date for each milestone in the implementation plan. As previously discussed, milestones are significant scheduled events that act as a progress marker in the life of an intervention. The planned achievement dates of milestones can change overtime hence a milestone history monitor is a chart that can be used to show how milestones have been rescheduled during the intervention (8).

A milestone history monitor is developed to:

- Monitor project performance on a time basis
- Present a clear picture of any milestone slippage
- Assess the significance of milestone slippage
- Provide the intervention management committee/senior management with a record of milestone slippage

Source: (8)

A milestone history monitor shows the performance of the intervention with respect to the timeline only. It does not show changes to cost, quality or resources or the realisation of project risks that may be associated with the reasons for milestone rescheduling. A milestone history monitor is a monitoring tool that may be used by the project team, included in progress reports and presentations and used to justify resource allocation or timeline adjustment. Figure 3 shows an example of a milestone history chart.
Evaluability assessment

Evaluability assessment is the process of assessing whether or not the intervention is ready for evaluation, and establishing whether the critical pre-conditions for evaluation are present. Evaluability assessment occurs in tandem with intervention implementation and provides an opportunity to assess whether evaluation is on target and enables a review of what is to be measured to indicate intervention impact and outcomes. Undertaking an evaluability assessment should avoid premature or inappropriate evaluation of a program.

Pre-conditions for evaluation of public health nutrition interventions:

- A rational fit exists between clearly defined intervention activities and intervention goals
- The intervention is properly implemented
- There is agreement by partners on the evaluation questions that should be addressed
- There is agreement between partners on how the evaluation should be conducted and what should be measured

If an intervention does not yet meet these pre-conditions it should not be evaluated until such time as these can be met. Commencing evaluation without these pre-conditions will result in inaccurate and deceptive evaluation results which will defeat the purpose of the intervention evaluation.
Steps in evaluability assessment:

- Identify the primary users of the evaluation information - what do they need to know?
- Define the program
- Specify objectives and expected effects
- Ensure that causal assumptions in the program are plausible
- Reach agreement on measurable and testable program objectives and activities
- Reach agreement on what is sufficient evaluation
- Make sure the program is being implemented as intended (8).

The worksheet (Table 2) can be used to assist your intervention team systematically consider evaluability assessment.
### Table 2. Evaluability Assessment Worksheet

<table>
<thead>
<tr>
<th>Program description</th>
<th>Program goals</th>
<th>Identify primary users of the evaluation. What they need to know</th>
<th>Articulate the program</th>
<th>Specific goals and expected effects</th>
<th>Ensure causal assumptions are plausible</th>
<th>Reach agreement on measurable and testable program activities and goals</th>
<th>Reach agreement on what is sufficient in the evaluation</th>
<th>Ensure the program is implemented as intended</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Assessment

Considering your selected scenario and using your responses to Exercises 2 and 3 complete the governance, risk management and partnership analysis sections of the intervention management template.

CPD option:
Conduct the above exercise in the context of your current work role and the community or population you are working with.

Key Points

- During public health nutrition intervention management so much attention can be devoted to development of objectives, strategies to address the problem and planning an intervention that the method of implementation may be overlooked. There are several approaches to implementation that can be taken including; pilot approach, phased-in approach and immediate implementation.

- Monitoring the progress of implementation is important and includes regular intervention management/ steering group meetings, risk management, partnership satisfaction analysis, intervention milestone monitor and evaluability assessment:
  - Steering committees play an important role in the intervention by taking responsibility for the business associated with an intervention, ultimately ensuring delivery of intervention activities and appropriate risk management (ensuring issues are adequately addressed and kept under control).
  - Many situations in health promotion can be seen as an example of decision making in the presence of high risk often due to imperfect information or personal preferences. Risk analysis and management involves following a five step analysis process to identify the outcome and probability of risks, taking and documenting preventative or recovery action.
  - If partnerships are to be successful, they must have a clear purpose, add value to the work of the partners and be carefully planned and monitored. The partnership analysis tool can be used to assess, monitor and maximise the ongoing effectiveness of partnerships.
  - The planned achievement dates of milestones can change overtime hence a milestone history monitor is a chart that can be used to show how milestones have been rescheduled during the intervention.
  - Evaluability assessment is the process of assessing whether or not the intervention is ready for evaluation, and establishing whether the critical pre-conditions for evaluation are present.
Additional Resources and Readings

Project Management - governance, risk management


References