

Report

Case Studies of National Monitoring Frameworks

Prepared for the Ministry for the Environment (Client)

By Beca Carter Hollings & Ferner Ltd (Beca)

17 April 2012



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Appendix 1: Steps in monitoring and evaluation

1 Introduction

1.1 Scope

The Ministry for the Environment (MfE) is undertaking a Monitoring and Review Project to develop an integrated monitoring framework for the Resource Management Act 1991 (RMA). As part of that, MfE has developed a four stage development process beginning with a scoping stage. This report forms part of that scoping stage.

The scoping being undertaken by MfE includes four sub-projects:

- Needs Analysis – identify the national monitoring needs for the functions, tools and processes of the RMA
- Case Studies – identify the structure and content of other monitoring frameworks similar in nature to the RMA and any lessons or considerations
- Stocktake – identify data, processes and systems used across councils, MfE and other relevant government departments for monitoring the RMA – across the areas identified in the needs analysis
- Gap Analysis – identify gaps and opportunities looking across the above three projects

This report covers the preparation of case studies on monitoring frameworks used within and outside of New Zealand. The intent is to look at cases studies where similarities can be drawn to the monitoring and review requirements of the RMA. We draw on the case studies to provide advice on attributes of effective monitoring and review frameworks and provide recommendations on key lessons learnt.

Overall, it was found that there is very little in regards to comprehensive planning monitoring frameworks. However, a number of local and international examples of monitoring frameworks (or similar) have been identified to help inform decision making. The following eight case studies were chosen in consultation with MfE:

- Queensland, Australia, state of the region monitoring
- Queensland, Australia, planning
- New South Wales, Australia, natural resource management
- Victoria, Australia, planning
- Wales, United Kingdom, planning
- New Zealand local government
- New Zealand public health drinking water
- New Zealand problem gambling

Our analysis at the end of the report highlights the steps we consider appropriate in preparing a national monitoring and review framework for the RMA.

The report covers purpose, process, output and outcome for each case study and addresses the methodological questions below for each under each heading. For each case study we summarise attributes of effective systems and highlight its strengths and weaknesses.

1.2 Context

In this report we often refer to monitoring and evaluation (or review). The Organisation for Economic Cooperation and Development (OECD) defines monitoring and evaluation as follows:

- *Monitoring* is a continuous function that uses the systematic collection of data on specified indicators, to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.
- *Evaluation* is the systematic and objective assessment of an on-going or completed project, program, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and participants.

It is immediately evident that monitoring and evaluation are distinct yet complementary. Monitoring gives information on where a policy, program, or project is at any given time (and over an extended period) relative to its targets and outcome goals. It is descriptive. Evaluation gives evidence about why targets and outcomes are, or are not, being achieved. It explores causality.

Monitoring and evaluation provides us with a method for learning from experience, analysing capability, planning and allocating resources, and demonstrating results as part of accountability to stakeholders. Monitoring and evaluation (or review) are standard parts of any good policy or risk management process. They provide a 'feedback loop' within these processes, allowing comparisons between actual and desired states. This enables on-going analysis, and refinement of decisions and implementation processes, to improve outcomes.

Monitoring and evaluation contribute to the organisational and global body of knowledge about what works, what does not work and why. Knowledge gained through monitoring and evaluation should be a core part of organisational learning. Monitoring and evaluation provide information and facts that, when accepted, become knowledge that promotes learning.

The main objectives of monitoring and evaluation are thus to:

- enhance organisational learning and development
- ensure informed decision-making and planning
- support substantive accountability, and
- build capacity and capability

These objectives are linked together in a continuous process. Learning from experience results in more informed decision-making; better decisions lead to greater accountability to stakeholders; all three elements working together make a positive contribution to overall effectiveness.

Monitoring and evaluation are clearly identified in the Ministry for the Environment's cost opportunity benefit risk analysis (COBRA) framework, as elements that build systematic evaluation of the policy's effectiveness into the policy-making process.

1.3 Methodology

In reviewing the case studies we looked at the following methodology questions and anything relevant to these matters:

Purpose

- What is the legislation framework related to?
- What were the drivers for establishing a monitoring framework?
- What are the purpose, focus and priority of the framework?

Process

- When was it developed and how long has it been in operation?
- What was the approach (stages) and timeframes involved in developing and implementing the framework?
- How were the content or the indicators identified and priorities agreed to? What was excluded?
- What are the different roles and responsibilities of the agencies involved?
- How were key stakeholders involved in the development of the framework?

Output

- What is the structure and components that make up the framework?
- What information is captured by the framework?
- How and when is information collected, managed (meta-data capture and storage and data validation)
- How is information reported (include examples collected as an annex to the report)?
- What arrangements exist to support the operation of the framework – mandatory or voluntary collection or reporting processes?
- How are key stakeholders involved in the operation of the framework?

Outcome

- What are the learnings or reflections from the design, build and operation of the framework?
- What works, what doesn't work, what would change if possible?
- What evidence is there that the monitoring framework is effective – that it improves performance?

This study was completed within a short timeframe based on web based sources of information and a review of the various strategies themselves. This information was supplemented by contact with the following people for their views:

- Frances Graham, Senior Advisor, Environmental & Border Health, Public Health Group, Ministry of Health
- Andrew Forsyth, Team Leader, Public Health Legislation, Public Health Group, Ministry of Health
- David de Jager, Senior Advisor, Environmental & Border Health, Ministry of Health
- Stuart Worn, Victorian Executive Officer of the Planning Institute of Australia
- Associate Professor Bill Ryan, School of Government, Victoria University of Wellington
- Piotr Swierczynski, Senior Policy Analyst, Local Government and Community Policy, Department of Internal Affairs
- Dr James Stratford, Principal Information Analyst, Strategic Information and Ministerial Support, Department of Internal Affairs
- Balt Gregorius, Performance Information Manager, New Zealand Transport Agency
- Tony Appleyard, Senior Advisor, Local Government Association of Queensland

- Tony Roper, Manager Monitoring Evaluation & Reporting Coordination, New South Wales Office of Environment and Heritage

We wish to acknowledge the significant contribution made by these people.

A draft of this report was reviewed by MfE's Monitoring and Review Steering Group, Council Technical Working Group, and Monitoring and Review Project Government Department Group (the Monitoring and Review Project Partners). We also wish to thank the Monitoring and Review Project Partners for their feedback on the draft report, as facilitated by MfE.

2 Case Study 1 – South East Queensland State of the Region Report

2.1 Purpose

This case study has been chosen because of the strong influence of sustainability indicators and it provides an example of a state of the environment reporting framework.

Queensland's planning, development and building system is named 'Qplan'. This is described¹ as a 'systems approach' that integrates community and industry involvement in state, regional and local planning to deliver better planning outcomes and sustainable communities. Qplan integrates the changes that have been occurring in Queensland's planning system in the past three years, including the introduction of new legislation and new tools, such as electronic planning, in order to streamline processes and focus on better planning outcomes as well as improved service delivery. Queensland Government will continue to roll out the Qplan system over the next few years.

The main piece of legislation governing development in South-East Queensland is the Sustainable Planning Act 2009² and the Sustainable Planning Regulation 2009. They replaced the Integrated Planning Act 1997 in December 2009. The Sustainable Planning Act changes the focus from planning processes to the delivery of sustainable outcomes. It also:

- reduces complexity through standardisation
- adopts a risk management approach to development assessment
- introduces a broader range of opportunities for people to reach agreement and resolve disputes
- provides improved opportunities for the community to understand and participate in the planning system

A core element of Qplan, which plays a role in the application of the Sustainable Planning Act legislation, is regional planning. Regional planning plays a role in helping Queensland meet the challenges associated with managing rapid growth, population change, economic development, and protecting the environment and infrastructure provision across multiple local government areas.

Regional plans operate in conjunction with other statutory planning tools, including state planning policies, local government planning schemes, state planning regulatory provisions and development assessment processes. The Qplan framework allows regional plans to be drafted as statutory instruments under the Sustainable Planning Act 2009.

A key regional plan for Queensland is the South East Queensland (SEQ) Regional Plan, which provides a strategic planning framework to lead future decisions and the effective management of the SEQ region. The SEQ Regional Plan 2009-2031 remains in effect under the Sustainable Planning Act 2009. The plan, and future regional plans, will be updated to reflect the requirements of the new Act.

The Minister for State Development, Infrastructure and Planning oversees the review and implementation of the Regional Plan in consultation with the SEQ Regional Planning Committee. As well as adopting the plan's principles and objectives, each local government in SEQ is required to amend its planning scheme to advance the achievement of the SEQ Regional Plan. The information

¹ Queensland Government Department of Local Government and Planning: <http://www.dlgp.qld.gov.au/about-planning/qplan-queensland-s-planning-development-and-building-system.html>

² To see more on the Sustainable Planning Act 2009: <http://www.dlgp.qld.gov.au/guide-to-the-sustainable-planning-act/>

from the Regional Plan is then used to prepare the State of the Region Report, prepared by The Deputy Premier and Minister for Regional Planning, through the Department of State Development, Infrastructure and Planning and the Environmental Protection Agency.

The SEQ region is subject to changes in population growth, demographics, housing demand, economic development needs and land development activity. The State of the Region Report is prepared to monitor and assess the region's progress towards sustainability, and so is produced regularly. The progress to sustainability is measured using 'sustainability indicators', based around 12 desired regional outcomes, which are used to monitor changes in economic, environmental and social factors. The SEQ State of the Region Technical Report provides detailed information on each of the sustainability indicators.

The Report has a 'whole-of-government' focus and caters for a wide audience including government decision makers, industry groups, non-government organisations and the community. The State of the Region Report is prepared every five years to identify the progress of the region in relation to its sustainability, in line with the Regional Plan.

2.2 Process

The State of the Region Report is prepared on a regular basis (every five years), in order to monitor and assess the region's progress towards achieving the desired regional outcomes of the Regional Plan. There has been one State of the Region Report (2008), to date. The data and information contained in the State of the Region Report 2008 informed the development of the SEQ Regional Plan for 2009–2031.

The information is drawn from a wide range of sources³, and the Report is developed in partnership with a large number of government departments and agencies, and in consultation with key stakeholders, such as the SEQ Regional Coordination Committee, the State of the Region Working Group and the State of the Region Stakeholder Reference Group.

The data is a snapshot in time, showing emerging patterns and trends up until the time of publication. Sustainability indicators are given for each of the 12 desired regional outcomes, which collected over time, provide a sound baseline to track and monitor progress. For example, for the 'Rural Futures' desired regional outcome, the sustainability indicators are 'rural land', 'rural population' and 'rural economy'. Each of these sustainability indicators has a simple four-colour system to describe its status.

- a red symbol indicates where the status is getting worse, in poor condition, or not sustainable
- an amber symbol indicates where the status is stable, of concern, or less sustainable
- a green symbol indicates where the status is improving, in good condition, or sustainable
- a grey symbol indicates where the status is not currently assessable

Each desired regional outcome and its associated sustainability indicators are then annotated to discuss what is happening and why, and what SEQ is doing to address each indicator. As such, sustainability indicators are used to describe what aspects of the region are changing and in what direction, providing a sound baseline to monitor progress. The sustainability indicators in the Report

³ Data sources include technical reports [such as the 'Back on Track Species Prioritisation Framework' (for Koalas)], programmes [such as the 'Active School Travel Programme' in Brisbane], guides [such as the 'Conservation Action Priority Mapping and Revegetation Guide', Logan City Council], data from government departments [such as the Department of Housing], as well as academic research.

were selected during a review in 2006 that assessed the adequacy of information available for State of the Region reporting.

2.3 Output

The State of the Region Report provides detailed information on each of the sustainability indicators, which are based on the 12 desired regional outcomes of the Regional Plan 2005–2026. The report is structured into chapters that detail information on the status and trends for each indicator. These desired regional outcomes, and the corresponding chapters, are:

- sustainability
- natural environment
- regional landscape
- natural resources
- rural futures
- strong communities
- engaging Aboriginal and Torres Strait Islander peoples
- urban development
- economic development
- infrastructure
- water management
- integrated transport

The 2008 Report can be found at <http://www.dlqp.qld.gov.au/regional-planning/state-of-the-region-report-2008.html>

The results for each desired regional outcome are outlined in the report, along with comments on the findings from experts, such as academics, technical experts, and community and indigenous groups.

The Report highlights the successes and identifies the challenges facing SEQ. However, there are many activities outside the regional planning process that affect the sustainability of the region. The SEQ State of the Region Report does not in itself provide an assessment of the implementation or performance of the SEQ Regional Plan, but it does highlight issues that may need attention in the future.

In order to track progress between reporting periods, a website has been developed to provide the most recent information for each indicator, which will be updated regularly. This website is 'SoE Online'⁴ and provides regional information and links to data which are reported on a regional basis.

2.4 Outcome

The State of the Region Report states that further work can be done to improve the reporting systems. Although the Report provides a comprehensive overview, there are key indicators for which data is not currently available – either because it is not currently collected, or because it is not available at a regional scale, or for the required time period.

The State of the Region Report provides the opportunity to review existing indicators, identify data gaps as well as providing a foundation for the future reports. The Report identifies that further work can be undertaken with regards to the collation of more local information, and the setting of targets

⁴ http://www.derm.qld.gov.au/environmental_management/state_of_the_environment/soe_online/index.html

and/or goals. This information could be sourced from local government, natural resource management bodies and non-government organisations, to provide a more detailed picture. The Report also identifies that a better way to assess the progress towards sustainability might be to include specific or measurable targets for each sustainability indicator.

2.5 Summary

This case study highlights two attributes of effective monitoring systems, as follows:

2.5.1 Strong drivers

Strong drivers were important for establishing the SEQ State of the Region Report including the following:

- Information is required that can be used by a wide audience – government, non-government and the community
- Development of key indicators to monitor outcomes is required in order to see whether agreed goals are being achieved

2.5.2 Transparent monitoring and reporting system

The systems used within each case study are communicated in a simple way. The results are also publicly available.

2.5.3 Legislative mandate supports adoption success

Adoption success appears to be related to those indicator sets developed for a particular purpose mandated in legislation.

2.6 Strengths and weaknesses

A brief outline of the strengths and weaknesses of the SEQ State of the Region Report are outlined in the table below:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ Successful monitoring is an on-going process – learn from the deficiencies of each attempt 	<ul style="list-style-type: none"> ■ Multiple agencies requires significant interagency cooperation - data collection and collation methods vary between participants ■ The SEQ State of the Region Report does not identify specific or measurable targets for each indicator, which may make it harder to monitor progress. ■ It takes time to evolve the framework, in order to gain meaningful reporting outcomes

3 Case Study 2 - Queensland Development Assessment Monitoring and Performance Program

3.1 Purpose

This case study has been selected because it discusses the monitoring framework for 'Development Assessment' in Queensland. The purpose of the monitoring framework is to promote local authority good practice and improved performance, which is comparable to the purpose of the MfE RMA Survey of Local Authorities.

In recent years, population and economic growth has brought about new opportunities and challenges for Queensland's planning and development system. Since the introduction of the Sustainable Planning Act in 2009, the Queensland Government has been working towards delivering and improving Queensland's planning, development and building system to be much more than planning legislation⁵. This case study looks at what the Queensland Government has done to monitor outcomes through the Development Assessment Monitoring and Performance Program – Annual Report (DAMPP). The DAMPP Report compares the Integrated Development Assessment System (IDAS)⁶ processing times for 19 councils, state government departments and applicants, with the aim of establishing systems to monitor and reduce statutory processing timeframes for development assessment, in accordance with the Sustainable Planning Act 2009.

The catalyst for the creation of the DAMPP Report came when the Queensland Government identified a link between development assessment performance and housing affordability—whereby development application processing times potentially impact upon development holding costs, and subsequently the overall price of new homes. The purpose of the DAMPP is to provide measurable data to inform the State on the performance of the planning and development assessment system and enable future planning reform initiatives to improve the development assessment process - thereby helping to reduce development costs and contributing to improved housing affordability⁷.

This reporting process is an opportunity for both state and local government to work together to identify areas of weakness and find ways to reduce approval timeframes; reducing costs to developers and contributing to housing affordability.

Therefore, the purpose of the DAMPP Report is to:

- Provide measurable data to support further planning reform and streamlining of the development assessment process

⁵ Queensland Government Department of Local Government and Planning: <http://www.dlgp.qld.gov.au/about-planning/development-assessment-monitoring-and-performance-program.html>

⁶ IDAS and its associated website is the State mechanism for managing development and its effects in Queensland. IDAS is a single uniform system for development approval that enables relevant State agencies to have input in the assessment process. The system provides for all social, environmental and economic matters relevant to a development application to be addressed at one time. The IDAS process involves five stages (not all applications will require all five stages), namely: Application, Information and Referral, Notification, Decision and the Compliance Stage.

⁷ For more information see the Development Assessment Monitoring and Performance Program – Factsheet 2009-2010: <http://www.dlgp.qld.gov.au/resources/policy/state-planning/dampp-factsheet.pdf>

- Contribute to the Queensland Housing Affordability Strategy by reducing development assessment processing times and reducing costs associated with the overall price of new homes.

3.2 Process

The aim of the DAMPP Report is to provide a quantitative analysis of IDAS. The Report:

- displays quantitative data on the overall performance of IDAS
- analyses and compares overall state agencies and IDAS performance
- enables decision-makers to identify opportunities to streamline IDAS

To outline performance against statutory timeframes for processing development applications in accordance with the Sustainable Planning Act 2009 (SPA) (during the chosen period - 1 July 2010 to 30 June 2011), data on development applications was obtained from 19 high-growth councils, state government departments and applicants.

3.2.1 Participants

The participants in the process are councils in 'high-growth'⁸ areas, state government departments (including the Department of Local Government and Planning) and applicants. In addition, a reference group was established to address system, resource and data collection constraints which may impact upon the DAMPP and are an integral part of the DAMPP's continued implementation success. The reference group was made up of the following organisations:

- Housing Affordability Fund
- Local Government Association of Queensland
- Urban Development Institute of Australia Queensland
- Planning Institute of Australia - Queensland Division
- Department of Transport and Main Roads
- Department of Environment and Resource Management
- SEQ Council of Mayors
- Brisbane City Council
- Sunshine Coast Regional Council
- Mackay Regional Council

3.2.2 Data Collection and Capture

The Report analyses approximately 54 data fields relating to approximately 59,000 records. It provides a snapshot of the development activity occurring throughout high-growth council areas, and the length of time taken to process development applications. Various categories of data have been included in the Report to provide a window into performance and development activity (refer Appendix 1 of the Report⁹ – data definitions). These data categories are numerous, but include items such as the type of activity, the level of complexity, whether referral is required, the date the information request is issued and the date the decision was made; all of which fit within the five stages of IDAS.

⁸ There are the 19 councils in high-growth areas, which are areas determined by the Local Government Association of Queensland.

⁹ <http://www.dlgp.qld.gov.au/resources/policy/state-planning/dampp-annual-report-2010-11.pdf>

The method by which this data was collected differs between different organisations. For example, assessment managers¹⁰ hold performance data in different mediums - from development assessment tracking databases to information held in basic Excel spreadsheets. As such, the Report has captured slightly different information from the data that each group provided, depending on the way in which they collect and capture this data.

For example, the data from assessment managers within the Report:

- includes only decided development applications made assessable under the SPA and does not include applications lodged but not decided;
- does not include exempt or self-assessable development under SPA;
- includes only 'material change of use', 'operational work' and 'reconfiguring a lot' categories of development and does not extend to building work applications;
- includes the 19 high-growth Queensland councils and state government departments where an assessment manager role is undertaken.

For referral agencies¹¹, the Report:

- includes only decided referral applications triggered under the relevant schedule of the Sustainable Planning Regulations
- extends to all Queensland Local Government Areas

3.3 Output

This is the second DAMPP Annual Report (the first was published for the 2009-2010 period). The Report outlines how Queensland's councils in high-growth areas, state government departments and applicants performed against statutory timeframes for processing development applications in accordance with the Sustainable Planning Act 2009 during 1 July 2010 to 30 June 2011. The Report was published in February 2012.

The output of the data collection is a 130 page report, separated into sections, which are based on the five IDAS stages (application, information and referral, notification, decision and compliance). The Report also includes an executive summary of the findings, and appendices that list the key indicators and data definitions. The Report also usefully provides an indication of how Queensland compares on a national level, particularly against the Council of Australian Governments (COAG)—National Performance Monitoring and the Productivity Commission Report—Performance Benchmarking of Australian Business Regulation: Planning, Zoning and Development Assessments.

The Report recognises its limitations. There can be significant differences in how some of the data is defined by each contributor, for example, what is included as operational works may vary between organisations. Similarly, the assessment of development applications may be impacted by the local planning scheme and geographic issues, for example, instances involving steep slopes or flood prone land.

¹⁰ The assessment manager for an application is the entity prescribed under a regulation as the assessment manager for the application, and in most cases is the local government authority.

¹¹ A referral agency is usually a state government department that an application is referred to as the application may have an impact on a state interest

3.4 Outcome

The Report enables decision-makers to identify opportunities to streamline IDAS. The 2010-2011 report contains positive results for Queensland including reduced overall median timeframes (from the time an application is lodged to the time a decision is made).

As outlined above, one of the preferred outcomes of the DAMPP is to improve and streamline the development assessment process as a way to increase housing affordability; that is, processing times can potentially impact upon development holding costs, and subsequently the overall price of new homes. The DAMPP contributes to the Queensland Government's *Planning for a Prosperous Queensland— A reform agenda for planning and development in the Smart State*¹² (the reform agenda) and the *Queensland Housing Affordability Strategy*¹³, by providing measurable data and analysis to support further planning reform and policy direction for this initiative. There is no information available that suggests that the housing affordability outcome of the DAMPP itself is monitored; that is, whether the DAMPP is indeed increasing housing affordability.

There has been an improvement in the way data is processed and analysed due to the completion of a new DAMPP data management system. This means that differences occur between the first version of the DAMPP Annual Report 2009–2010 and the comparative figures applied in the 2010–2011 report. Any differences are not considered substantive and generally impact quantities rather than timeframes. Where timeframe differences do occur, a more rigorous calculation method has been applied in the new DAMPP data management system. It is clear that with on-going monitoring the Queensland Government will be better informed about the performance of the development assessment system, enabling future planning reform initiatives, particularly for housing affordability. The introduction of improved tools can help manage planning and development more efficiently and proactively. Data has been invaluable in assisting and informing national reviews such as the Productivity Commission reports – Performance Benchmarking of Australian Business Regulation: Planning, Zoning and Development Assessments, and Council of Australian Governments National Performance Monitoring Measures. The Report states that future DAMPP reports will be expanded, in order to incorporate other areas appropriate for investigation relating to development assessment processes.

3.5 Summary

This case study highlights two attributes of effective monitoring systems, as follows:

3.5.1 Strong drivers

Strong drivers were important for establishing the DAMPP, where progress of streamlining processes was measured in order to achieve housing affordability

3.5.2 Generating useful information

The data used in the DAMPP system generated useful information. Decision-makers rely on the outputs of monitoring systems. The data was drawn from a range of sources, providing comparable information to assess progress against.

¹² The full report can be found at <http://www.dlqp.qld.gov.au/resources/plan/planning-reform/part-1-reform-agenda-full.pdf>

¹³ For more information see http://www.ulda.qld.gov.au/01_cms/details.asp?ID=15

3.6 Strengths and weaknesses

A brief outline of the strengths and weaknesses of the DAMPP strategy, are outlined in the table below:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ The DAMPP provides measurable data that enables decision-makers to identify opportunities to streamline IDAS 	<ul style="list-style-type: none"> ■ Multiple agencies requires significant interagency cooperation ■ Data collection and collation methods vary between participants

4 Case Study 3 – NSW Natural Resources Monitoring, Evaluation and Reporting Strategy¹⁴

4.1 Purpose

The delivery of tangible outcomes – understood to be the protection or improvement in condition of resources or environmental assets which are valued by the community – has been identified as a major limitation for most Australian States. It is a consistent theme across the reviews commissioned by the Australian Government, and in the Auditor General's reports. This case study highlights a successful response looking at the New South Wales Natural Resources Monitoring, Evaluation and Reporting (MER) Strategy, where audits conducted at a state-scale indicate that improvements in resource condition have been achieved in response to specific natural resource management interventions.

The MER Strategy identifies four key priorities:

- Monitoring, evaluating and reporting of the condition of, and pressures on, natural resources
- Monitoring, evaluating and reporting on the short- to medium-term outcomes and outputs achieved from investment in natural resource management through a new program performance strand
- Developing and enhancing collaboration with natural resource management State government partners (which include including the NSW Office of Environment and Heritage, NSW Office of Water, catchment management authorities, Department of Primary Industries, Department of Primary Industries Crown Land Division and the Natural Resources Commission).
- Improving data acquisition, management and sharing arrangements.

The New South Wales (NSW) system of planning is regulated by many statutes, this case study focus on the natural resources legislation. The legislative and organisation arrangements surrounding are highlighted in Figure 1.

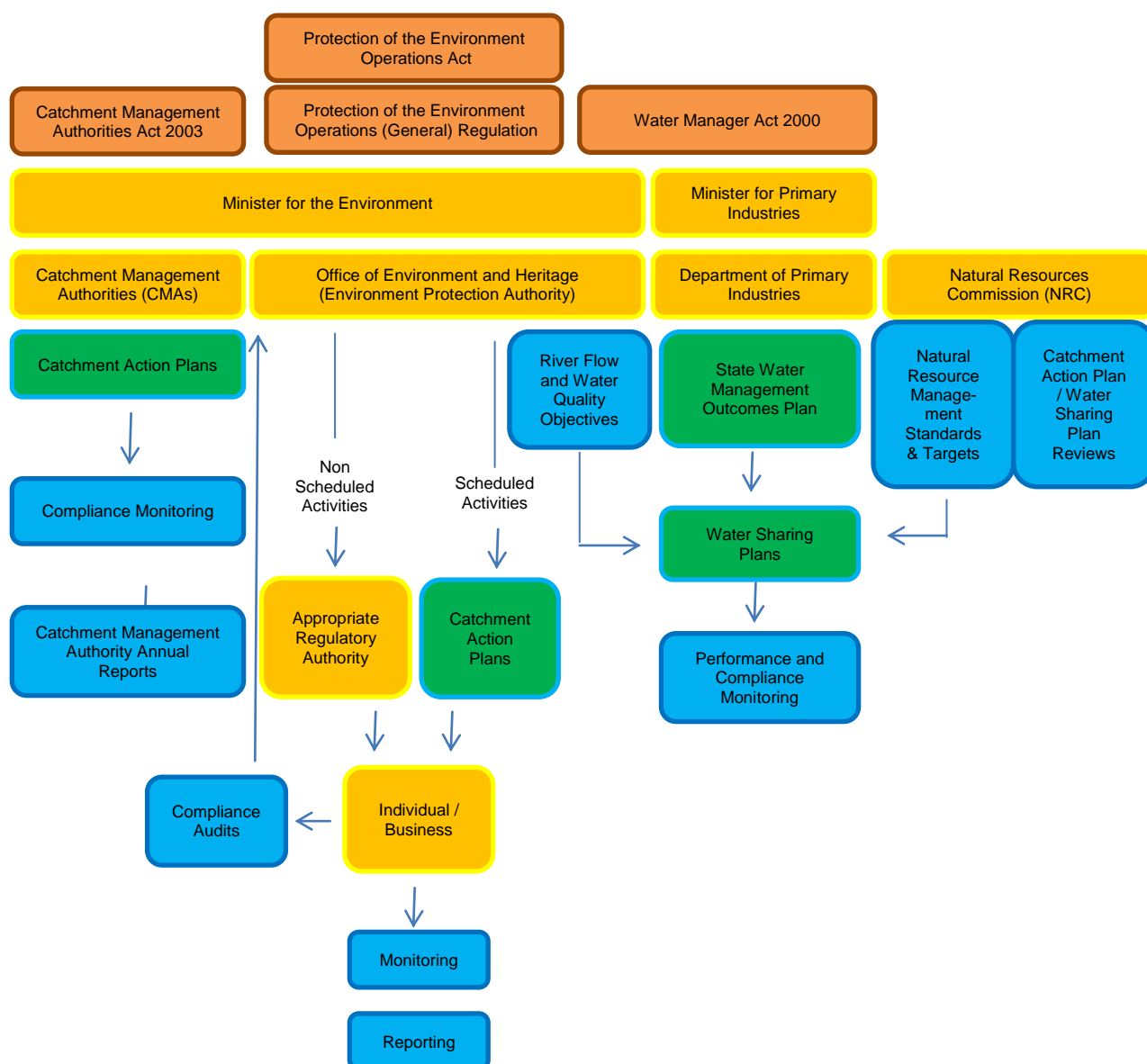
The Office of Environment and Heritage (formerly the Department of Climate Change and Environment) administers the legislation. There is a broad allocation of responsibilities under the Act between Office of Environment and Heritage, the EPA, local councils and other public authorities. In nearly all other cases, the regulatory authority is the relevant local council. In terms of monitoring and evaluation Section 295Y of the Protection of the Environment Operations Act 1997 states: "The EPA may, on its own initiative, and must, at the direction of the Minister, investigate the need for a program to monitor the impact on the environment and human health of activities or works authorised or controlled by licences, including pollution resulting from those activities or works."

It is also worth noting that section 320 of the Protection of the Environment Operations Act requires: "The appropriate regulatory authority is to provide a person with access to any monitoring data specified by the person in a written request to the authority. Access is to be provided in the same form that access is required to be provided to information under section 72 of the Government Information (Public Access) Act 2009".

In addition to the Department of Planning and Infrastructure and the Office of Environment and Heritage there are a range of authorities charged with monitoring functions in NSW.

¹⁴ <http://www.environment.nsw.gov.au/resources/soc/10977nrmmerstrat1015.pdf>

Figure 1: NSW natural resources legislative and institutional framework¹⁵



¹⁵ To place this in the context of the New Zealand resource management environment:

- The Office of Environment and Heritage, Department of Planning and Infrastructure, NSW Office of Water is the equivalent of the New Zealand Ministry for the Environment
- The Department of Primary Industries fulfils the role the Ministry of Agriculture and Forestry has in New Zealand (it could be said however the Department of Primary Industry has a greater role in that it sets water allocations).
- The Natural Resource Commission is the equivalent of the New Zealand Parliamentary Commissioner for the Environment
- Catchment Management Authorities are the equivalent of New Zealand regional councils with only water functions.
- Local government is an additional layer in NSW and deals with land use.

The Protection of the Environment Administration Act 1991 establishes the NSW EPA and section 10 of that Act requires the EPA to make a report on the state of the environment every 3 years containing the following information:

- (a) an assessment of the status and conditions of the major environmental resources of New South Wales,*
- (b) an examination of environmental trends, including the implications for the environment and human health,*
- (c) a review of the programs and activities of public authorities and of the private sector related to environment protection,*
- (d) an examination of trends in economic analysis and of the costs and benefits (including economic evaluation) of environment protection,*
- (e) any general recommendations for future legislative or other action which the Authority considers appropriate to discharge its responsibilities with respect to environment protection,*
- (f) a statement on the performance of environmental education programs in the State...*

The Natural Resources Commission Act 2003 established the Natural Resources Commission to provide credible, independent advice to the NSW Government on managing the state's natural resources. The Natural Resources Commission reports to the Premier, reflecting its independent nature. One important function of the Natural Resources Commission is their role in reviewing catchment action plans and recommending whether they should be approved. The Natural Resources Commission also audits how effectively these plans are being implemented on the ground. They periodically report on progress NSW is making towards the state-wide targets.

The Catchment Management Authorities Act 2003 established 13 regionally based Catchment Management Authorities to work with their communities to deliver regionally-relevant natural resource management. The Act charges Catchment Management Authorities with developing and implementing Catchment Action Plans that set out their region's strategic priorities for investment and action. They support projects and activities which help communities restore and improve the natural resources in their regions through provision of support and advice and administration of State federal funding.

Local government also have monitoring and reporting functions – including having to produce State of the Environment Reports every four years.

As such the legislative framework in NSW is complex, with multiple authorities involved (Office of Environment and Heritage, Department of Planning and Infrastructure, NSW Office of Water, Department of Primary Industries, the EPA, the Natural Resources Commission, Catchment Management Authorities and local government to name a few¹⁶).

The Office of Environment and Heritage has gone the furthest to document their framework for monitoring performance: the NSW Natural Resources Monitoring, Evaluation and Reporting (MER) Strategy 2010-2015. This strategy document guides the monitoring, evaluation and reporting framework of natural resources in NSW and focuses on developing a link between local, regional,

¹⁶ NSW Government restructured many of the government departments in April 2011, following the NSW coalition's victory at the 2011 general election.

state and national data on natural resource management to inform the community. We have chosen to focus on this strategy in this case study.

4.2 Process

The first NSW MER Strategy (2006-2009) had its genesis in early 2000, with concerns about vegetation clearance in NSW.¹⁷ It took two years to develop and was published in 2006. The first NSW MER Strategy's main weakness was that it was very much written from a scientific starting point rather than focusing on the role of MER in the policy cycle. It also tended to focus on reporting on pressures and stress in the environment, rather than environmental condition. However, the information gained under the first MER Strategy has contributed to the latest NSW State of the Environment and State of the Catchments reports. The 2010-2015 MER Strategy follows on from the 2006-2009 Strategy and contains not only a clearly defined resource condition monitoring component but also a new performance monitoring strand. The 2010-2015 MER Strategy places greater emphasis on communication including increased collaboration with MER partners, consultation with stakeholders, involvement of other agencies and natural resource management investors and dissemination of information to the wider community. The MER Communication and Engagement Framework identifies the methods and forums for engaging with stakeholders and opportunities for involvement.

The Strategy is supported by an MER Implementation Plan¹⁸. The Implementation Plan outlines the indicators being monitored, the collection intervals, and the reporting intervals. Clear funding commitments are also made in the Implementation Plan. The MER Implementation Plan is a 5 year plan reflecting the term of the MER Strategy. Unlike the Strategy, the MER Implementation Plan is a "living" document, and is reviewed and updated as operational conditions change and the needs of MER are developed.

While there is significant input of advice and direction from many agencies and organisations, including the central NSW agencies of Department of Premier and Cabinet and NSW Treasury, the MER Implementation Plan focuses on the roles of the key MER partners responsible for developing and providing natural resource management information under the MER Strategy. These are:

- Office of Environment and Heritage - the lead NSW Government department with responsibility for protecting and caring for the environment, managing water resources and developing and coordinating programs to address the impacts of climate change in NSW
- Natural Resources Commission mentioned above
- Catchment Management Authorities mentioned above also
- Department of Primary Industries has a strong resource management role, particularly in encouraging responsible land management and implementing legislation for fish and aquatic habitats. Department of Primary Industries Crown Land Division is responsible for managing some of the most iconic and diverse public land through the Crown reserve system. NSW Office of Water is an office within the Department of Primary Industries and is responsible for the management of the State's surface water and groundwater resources

¹⁷ Natural resource management in New South Wales underwent significant change in 2003 following the recommendations of the Native Vegetation Reform Implementation Group chaired by Ian Sinclair. This also created the 13 Catchment Management Authorities.

¹⁸ http://www.dpi.nsw.gov.au/__data/assets/pdf_file/0004/387976/MER-implementation-plan-2010-2015.pdf

Additional organisations that undertake natural resource management such as local government are being included as MER processes are developed and resources become available. The Division of Local Government is a division of the NSW Department of Premier and Cabinet and is responsible for local government across NSW. The Division of Local Government has developed an Integrated Planning and Reporting¹⁹ framework to improve the integration of various statutory planning and reporting processes undertaken by councils, including reporting on the environment. However, this advice is mostly about community strategic plans, delivery programs, operational plans and annual financial reporting and not directly applicable for use under the RMA.

There are links to the Federal Government processes too, to facilitate better flow of MER data and information up from regional and state levels, as well as down from the national level. These links are provided in the Natural Resource Management Monitoring, Evaluation, Reporting and Improvement Framework.²⁰

4.2.1 Data

The MER Implementation Plan is underpinned by an Interagency Data Acquisition and Sharing Agreement. The data agreement establishes the rights and responsibilities of each MER partner agency and organisation in relation to collection, management and access to MER data under the MER Strategy and Implementation Plan. Under the Data agreement there is a range of data agreement schedules brokered to commit each MER partner to acquiring, managing and sharing MER data.

Data management, storage, sharing and dissemination standards and systems are the responsibility of the respective data custodians or owners within the agencies. MER teams were created within the different agencies and were accountable for ensuring data was logically consistent with the data from others. Where possible, datasets and indicators were developed so the source data could be aggregated and disaggregated for use at a range of spatial scales. All data and information collected conformed to standards specified by the data custodians, to facilitate exchange and multiple uses of data. Data Custodianship principles that clarify roles and responsibilities underpin all data management activities. More detail on this is contained in the MER Implementation Plan.

The NSW Natural Resources Data Directory²¹ provides a search interface to metadata for natural resources information held within NSW. The website contains metadata ("data about data") and it describes the content, quality, currency and availability of data. The website forms the NSW State node of the Australian Spatial Data Directory. Implementation of the NSW Natural Resources Data Directory is a collaborative venture by NSW government agencies, under the auspices of the NSW Natural Resources Information Management Strategy. The current data set is partially composed of data migrated from previous NSW Data Systems during 1998-1999.

A key element in arrangements recommended by the Natural Resources Commission for evaluating progress towards state-wide targets was the identification of a small set of state-wide datasets for which baselines and on-going monitoring arrangements could be established. These in turn would enable the capture of key macro-environmental parameters for a range of state-wide assessments.

¹⁹

http://www.dlg.nsw.gov.au/dlg/dlghome/dlg_generalindex.asp?sectionid=1&mi=6&ml=9&AreaIndex=IntPlanRept

²⁰ <http://www.nrm.gov.au/resources/publications/meri/pubs/meri-framework-march09.pdf>

²¹ <http://canri.nsw.gov.au/nrdd/>

4.2.2 Implementation

Delivery of the MER Strategy relies on the commitment of the natural resource management sector agencies and organisations. Support for implementation is provided through governance arrangements, operational coordination and clear partner roles and responsibilities. Our conversation with Office of Environment and Heritage staff suggested that a significant influence was the initial buy-in of the NSW Cabinet (former NSW Premier Bob Carr also saw the importance and need for the strategy) into the establishment of the strategy.

To further support the implementation, a monitoring and evaluation officer forum was established. This was a formal network of monitoring and evaluation officers from the Catchment Management Authorities established to enable the Office of Environment and Heritage staff to engage with Catchment Management Authorities at an operational level as well as to assist capacity building. This network also allowed the participating officers to share their experiences. While the 13 Catchment Management Authorities operate under the same requirements, they operate separately, can be administered quite differently and are responding to different issues among quite different communities. The ability to share and discuss experiences proved to be valuable. While the project team originally established this forum, the monitoring and evaluation officers were given ownership of the running of the forum so it met their requirements for different issues to be addressed. Our review found they are still effectively operating this forum and its operation is well supported by Catchment Management Authority management.

4.2.3 Stakeholders

Stakeholder involvement tends to focus on the Natural Resources Commission as a high-level forum to provide key stakeholder advice to the NSW Government on natural resource management and land-use planning issues. Other industry and community groups that contribute to natural resource management and potentially to MER efforts are informed and consulted through existing forums in which key MER partners participate.

4.2.4 Resourcing

The nature of the MER effort in NSW has meant significant financial resources have been committed. The Natural Resources Commission alone has a \$5m annual budget.

4.3 Output

Data and information produced from the MER Strategy is available through:

- State of the Catchments Reports for catchment-scale information
- a technical report series detailing the methodologies used for collection, analysis and evaluation of data in the State of the Catchments Reports
- an inventory of datasets used in the State of the Catchments Reports, with links to metadata
- the NSW State of the Environment report for state-scale information
- other publicly available sources currently under development.
- The first state-wide analysis of the monitoring data was produced for the 2009 NSW State of the Environment Report for an initial set of State of the Catchment reports in 2010²². The MER Strategy is informed by a logic framework, outlined in Table 1. The key evaluation questions provide the focus for the MER activities that will be undertaken under the MER Strategy.

²² see www.environment.nsw.gov.au/publications/reporting.htm

Table 1: Key MER questions and broad information needs

Outcome hierarchy	Key evaluation questions	Information required to answer evaluation question
Vision/goals		Aspirational (success is inferred)
Longer-term outcomes	<p>How are we progressing towards natural resource management targets?</p> <p>What is the status of, and trend in, the condition (or extent) of natural resource assets?</p> <p>How effective are the cumulative management actions in achieving the desired long-term outcomes?</p>	<p>Resource condition data</p> <p>Resource condition data on status and trends, including information on pressures on the asset and trends in those pressures</p> <p>Resource condition data, point-of-investment case studies and aggregated output data</p>
Intermediate outcomes	<p>What is the preliminary change in the extent and condition of the asset arising from management actions?</p> <p>What is the aggregated change in how assets are managed? To what extent have land managers adopted practices that contribute to meeting natural resource management targets?</p>	<p>Resource condition data on status and trends (including information on pressures on the asset and trends in those pressures and case studies</p> <p>Aggregated output data</p> <p>Behavioural and practice change data</p>
Outputs	What products and services have been produced from natural resource management investment?	Output and input data

4.4 Outcome

The MER Strategy is critical for informing policy and investment decisions of natural resource managers at a range of scales. The Natural Resources Commission and others also rely on the outputs to assess progress against the state-wide targets.

The NSW experience is one of collaboratively developing practices between the Catchment Management Authority, the Natural Resources Commission and the Office of Environment and Heritage. It highlights the potential for collaboration to maximise effective monitoring.

A December 2010 audit of the Murray Catchment Management Authority by the Natural Resources Commission²³, found the Catchment Management Authority demonstrated it had designed a comprehensive MER system and had begun implementing a consistent approach to monitoring and evaluating the effectiveness of its investments (monitoring and evaluation, collection and use of knowledge, risk management). However, weaknesses in the Catchment Management Authority's monitoring and evaluation systems remained, including inconsistencies across Catchment

²³ <http://www.nrc.nsw.gov.au/content/documents/Audit%20report%20-%20Murray%202010.pdf>

Management Authority projects, gaps in the collection and use of project data, and in the integration of analysis and reporting of financial and performance data.

A general observation we make is that although data is available for most of the 13 indicators for the 13 Catchment Management Authorities, which aim to show the extent of the resource (for example, wetlands, native vegetation, estuarine habitat) or pressures (for example, erosion, salinity, soil acidification) it has not been adequate for establishing a baseline which can be used as a basis for monitoring subsequent changes. For example, soils data in NSW has been amassed over decades. Maps produced from this data give an indication of soil condition across most of the state, but are unlikely to provide an adequate starting point for detecting on-going changes as they are “pressure” and not “state” maps.

The MER Strategy attempts to address issues by monitoring resource condition. It acknowledges that this is a long-term exercise and there can be long lag times between on-ground investment and actual outcomes. This timing is often at odds with government cycles for reporting and accountability.

While there is reasonable information on the extent of pressures, little regional information is available on the level of management response. The majority of information captured is quantitative.

4.5 Summary

This case highlights six attributes of effective MER systems, listed under the headings below:

4.5.1 Strong drivers

Strong drivers were important for establishing an NSW MER system and ensuring its viability is maintained. We identified two drivers during the review:

- stakeholders requiring information so they can use it to hold the relevant authorities accountable for the resources they manage
- strong public and political support.

4.5.2 Generating useful information

Decision-makers rely on the outputs of an MER system. The data created in the NSW MER is seen as useful, particularly in the context of it fitting into the policy cycle. It can be measured against established baseline information.

4.5.3 Adopting a standardised approach

A standardised approach to monitoring, evaluation and reporting was adapted from the national framework. That means the information generated was more useful because there was greater clarity about how to use and interpret the information. It also helped in generating consistent and comparable information from a range of sources. Data agreements and schedules ensured successful implementation.

4.5.4 Establishing a good governance structure

Excellent understanding of governance structures provided transparency and accountability for responsibility.

4.5.5 Ensuring adequate funding for the system

Adequate funding over time was essential to develop and maintain the system (this included collection of data, storage of data and reporting).

4.5.6 Performance monitoring

The MER strategy defines a pressure-state-response framework for monitoring performance. The indicators help by asking three important questions:

- What are the pressures on the environment? (identifies environmental issues and what causes them)
- What is the state of the environment? (tells us what to monitor and where, relative to the issues)
- What is being done about these issues? (identifies policy goals and management actions for the issues).

4.6 Strengths and weaknesses

A brief summary of the strengths and weaknesses of the NSW MER strategy follows:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ Political buy-in ■ Collaborative processes ■ A strong framework document ■ Funding commitments outlined ■ Started small and identified baseline information ■ Good governance structures and formal data acquisition and sharing agreements ■ An independent auditor of outcomes (Natural Resources Commission) ■ Performance monitoring 	<ul style="list-style-type: none"> ■ Multiple agencies requires significant interagency cooperation ■ Took time to evolve ■ Coverage is narrow and focuses on only part of the environment (natural resource management) ■ Focus on pressure and stress more than condition of the environment, and modelling required to fill the gaps

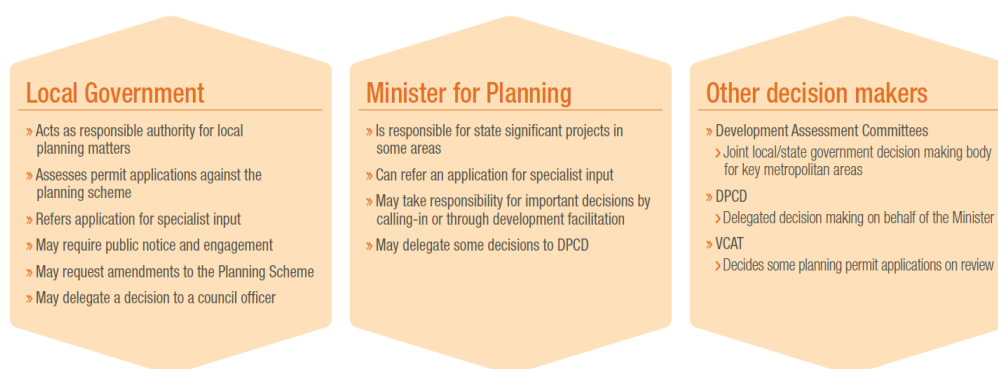
5 Case Study 4 – Victoria Planning Permit Activity Reporting System

5.1 Purpose

This case study is effective as an example of what form effectiveness monitoring can take in the absence of a formal monitoring strategy. Although Victoria has a robust planning function with multiple layers and accountabilities it lacks a formal framework to fully measure the effectiveness and efficiency of the legislation. The Planning Permit Activity Reporting System (PPARS) does act to collect and report on some data associated with the permit process, but is narrow in scope.

The environmental planning legislation for the State of Victoria, Australia is the Planning and Environment Act 1987 (the Planning Act). This Act requires that each municipality in Victoria is covered by a planning scheme that regulates the use, development and protection of that land. Planning schemes set out the planning rules – the state and local policies, zones, overlays and provisions about specific land uses that inform planning decisions. Figure 2 outlines the decision making functions for permitting under the Planning Act.

Figure 2: Decision makers under the Planning Act²⁴



The Planning Act does not include mechanisms for monitoring and evaluating how well the objectives of the Act and environmental planning instruments are being implemented. However, under Section 12B of the Planning Act, councils must review their planning schemes to enhance their effectiveness and efficiency and report the findings of the review to the Minister. These reviews are conducted every four years. There is, however, no state-wide analysis of the results of these reviews.

Under the Local Government Act 1989, councils are required to report annually on their achievements against Best Value principles. The Department of Planning and Community Development (DPCD) does not centrally collect, analyse and report on this information at a whole-of-state level.

As the lead agency for planning in Victoria, the DPCD supports the on-going operation of the State's planning system. The department has two overarching responsibilities that are central to undertaking these functions. These are:

- Monitoring and improving the overall performance of the State's planning system.
- Providing key State-wide planning services essential for maintaining and supporting the effective operation of the system.

²⁴ http://www.dpcd.vic.gov.au/__data/assets/pdf_file/0009/52578/Planning-on-a-page-poster-v2-7-Mar-2011.pdf

While these are distinct responsibilities, they are not mutually exclusive as the quality of planning services delivered by the department can have an impact on the performance of the system as a whole. In this context, effective arrangements within DPCD for measuring and monitoring its own performance, as well as that of the system, are essential for enabling it to initiate timely corrective actions to address emerging issues and to continue to introduce system improvements. However, these arrangements are not formalised in a monitoring framework.

Additionally we have not been able to identify any formal mechanism in place within the DPCD for systematically collecting, analysing and monitoring the views of stakeholders on an on-going basis, or for evaluating the impact of the implementation of reforms and the operation of key statutory processes. Prior to 2011 there was debate regarding a review of the Planning Act and the need for a formalised monitoring framework. However this debate stalled at the end of 2010 with the change of government and has not been taken up since.

The Victoria State Government, as part of the e-Planning systems and services to support the streamlining of the planning process, does provide PPARS²⁵. PPARS is an online system which supports the automated collection of permit activity monthly returns from 80 Victorian Responsible Authorities and provides standardised automated reporting.

The PPARS system was created in response to the Council of Australian Governments (COAG) directive:

*"To draft a set of National Performance Measures that can be used to assess the 'health' of development assessment systems across jurisdictions, irrespective of differences in terminology and systems, and to subsequently collate and publish those Measures in a National Report on Development Assessment Performance for each financial year, commencing 2008/09."*²⁶

Data is required by the COAG to be collected around three main 'Themes': process, system and outcome performance.

Process performance measures primarily seek to provide information regarding the timeliness of decision making in development assessment systems, both for decision-makers and other bodies that provide advice to the decision-maker (typically known as 'referral' bodies). These measures look at the time taken to decide applications, the level of compliance with statutory time limits for decisions, as well as the existence of systems to regularly review and audit development assessment processes.

System performance measures examine the extent to which applications are channelled through the most appropriate assessment process, particularly with regard to 'low-risk' proposals, using a 'self-assess' or 'Code-assess' process. This theme also measures the extent to which electronic development assessment systems are being taken up.

Outcome performance measures explore the effectiveness of policy objectives against development assessment outcomes, and consider the rate at which assessment decisions are challenged through a review process (typically a Court or Tribunal).

²⁵ See <http://www.dpcd.vic.gov.au/planning/theplanningsystem/improving-the-system/e-planningservices/planning-permit-activity-reporting-project> and <http://www.ppars.dpcd.vic.gov.au/>

²⁶ Local Government and Planning Ministers' Council (2009) *First National Report on Development Assessment Performance, 2008/09*

5.2 Process

The PPARS system began live operation in May 2007. Each Responsible Authority is statutorily required to submit a return every month, covering the complete previous calendar month. The first live data submissions were received at the beginning of August 2007 for the month of July. Version 2 of PPARS, launched in November 2009, introduced new functionalities and enhancements to the online system.

The centrally stored data enables analysis to be carried out to inform planning decisions, measure outcomes and improve services. The standardisation of data supports comparative analysis across councils and regions, and enables the creation of customised reports on virtually any data fields or sets. Council officers have access to detailed reports and can design their own custom reports for automatic generation every month. Data may also be exported and integrated with other planning data for spatial analysis and preparation of detailed maps and interactive displays.

PPARS enables anyone to track trends in planning permit numbers and analyse the types of permit applications and the way in which they have been processed. These trends can be analysed by planning scheme, aggregated and viewed at metropolitan, rural and regional levels, or rolled up to provide a Victoria-wide picture of planning activity.

5.3 Output

A “Planning Permit Activity in Victoria” report is released annually. These reports are available from the PPARS website. The report provides basic information about planning applications lodged with all Victorian councils over a financial year. This report includes comparative information about the value of works and fees and the timeliness of decisions. Analysis is included for each council area including:

- what they are for
- the value of the works proposed
- how long they take to be processed
- how many are advertised
- how many have been referred to other agencies
- how many objections have been received
- trends in the number of applications received

These reports are enabling greater analysis, for example, the “Planning Permit Activity in Victoria 2009-10” annual report highlights very basic data, such as between 1 July 2009 and 30 June 2010, 49,360 planning applications were decided, of which 96% were permits issued. It also identifies that of all decided applications:

- 93% were made under delegated authority
- 37% had further information requests issued
- 37% were subject to public notice requirements
- 29% were referred to referral authorities
- 15% had objections lodged

Application data can be mapped easily and represented spatially with planning scheme zones and overlays. As such data may be exported and integrated with other planning data for spatial analysis.

5.4 Outcome

The PPARS provides a useful overview of the volume and type of planning permit applications across Victoria. However, the PPARS systems provides only a narrow range of information on the planning

processes, reporting readily available statistical data on planning permit activity to enable early identification of development industry trends. It could do more however, such as helping to identify problems in the planning system and by providing useful information to councils for organisational resource management.

One positive of the narrow data set is the ability to provide frequent reporting. Because the data is collated so frequently comparisons can be made with regularly collated building permit data.

As a result of the narrowness of the information collected from PPARS, other initiatives from DPCD are used to supplement the PPARS system. These include:

- Victorian Planning System - Ministerial Advisory Committee established by the Minister for Planning to help overhaul the planning system in Victoria. A report is due early 2012.
- ePlanning systems and services²⁷
- Evaluative reviews of planning policy and statutory and strategic frameworks

In addition the Municipal Association of Victoria (the equivalent of LGNZ in New Zealand) has initiated the "STEP Planning Process Improvement Program"²⁸, aimed at ways to regularly review and improve council planning services. The program includes a guided self-assessment, data collection, process mapping, data analysis, focus groups, process redesign and piloting of new projects. The STEP planning programme assists councils in meeting their risk management, compliance and performance reporting obligations.

5.5 Summary

This case highlights two attributes of note:

5.5.1 The value of long term data gathering

It is expected that reporting over time will allow jurisdictions to demonstrate the effect of reforms on their systems, and also to identify potential areas of new reform. It is recognised that development assessment systems, like many other regulatory systems, benefit from consistent monitoring and continuous improvement. However the data reported on is very narrow.

5.5.2 Devolved data reporting comes at a cost

The requirement for councils to update the data councils appears very onerous, with expectations of dedicated council resourcing. PPARS also has a specific team in the DPCD supporting it.

²⁷ See <http://www.dpcd.vic.gov.au/planning/theplanningsystem/improving-the-system/e-planningservices>

²⁸ <http://www.mav.asn.au/policy-services/planning-building/planning-system/Pages/STEP-planning-program.aspx>

5.6 Strengths and weaknesses

A brief summary of the strengths and weaknesses of the PPARS programme follows:

Strengths	Weaknesses
<ul style="list-style-type: none">■ Regular reporting giving up to date data on key indicators about planning approvals	<ul style="list-style-type: none">■ Narrow reporting needs back up of evaluation review■ High level of prescription for councils■ Resource intensive

6 Case Study 5 – Welsh Government Strategic Monitoring Framework for the Planning System ²⁹

6.1 Purpose

The approach to developing a monitoring framework is often embedded in a 'logic chain' framework. This case study highlights the approach by looking the Welsh Government's Strategic Monitoring Framework for the Planning System.

In Wales the primary legislation related to land-use planning is contained in:

- Town and Country Planning Act 1990 - the principal Act regulating the development of land in England and Wales;
- Planning (Listed Buildings and Conservation Areas) Act 1990 - makes provision for listing of buildings of special architectural or historic interest, designation of conservation areas and exercise of planning functions in relation to these;
- Planning (Hazardous Substances) Act 1990 - makes provision for regulatory control of hazardous substances;
- Planning and Compensation Act 1991 - amends the above three Acts, principally by strengthening local planning authorities' planning enforcement and development control powers;
- Planning and Compulsory Purchase Act, 2004 - introduced the Local Development Plan system in Wales, a statutory duty requiring the Assembly Government to prepare the Wales Spatial Plan and various reforms to development control provisions in the Town and Country Planning Act 1990;
- Planning Act 2008 - supplements the 2004 Act by bringing the development plan system in Wales within the legislative competence of the National Assembly for Wales, and introduces further reforms to development control.

The Welsh Government has specific duties regarding equal opportunities and sustainable development under the Government of Wales Act 2006. Sections 77 and 79 respectively set out the Welsh Ministers' duty to ensure that in the exercise of their functions they have regard to the principle that there should be equality of opportunity for all people and that they promote sustainable development.³⁰

The 'One Wales: One Planet' – The Sustainable Development Scheme of the Welsh Assembly Government³¹ sets out the Welsh Government's commitment to sustainable development. One of the actions from the Scheme is for the Welsh Government to initiate a strategic monitoring framework to measure key sustainable development outcomes delivered by the planning system.

In 2011 research was commissioned by the Welsh Government to provide advice on a Strategic Monitoring Framework for the Planning System. This consisted of a suite of indicators with which to

²⁹ <http://wales.gov.uk/docs/desh/research/111104monitoringreporten.pdf>

³⁰ For more information about the Welsh planning system, including the European Union context see *Planning Policy Wales* (Edition 4, February 2011)
<http://wales.gov.uk/topics/planning/policy/ppw/?jsessionid=Q6v8PTXXZ72N7nNW4rmCHG69hpLhpKBLnr1qTh7g557nMG33pPY!-862695484?lang=en>

³¹ <http://wales.gov.uk/topics/sustainabledevelopment/publications/onewalesoneplanet/?lang=en>

monitor the sustainable development outcomes of the planning system. The objectives for the research were:

- to identify a framework with which to effectively monitor the sustainable development outcomes of the planning system
- to identify a means of using the ecological footprint as a composite indicator to measure the sustainable development outcomes of the planning system
- to explore and understand the ways in which the ecological footprint can be used in the planning system

The first output of the research was released in November 2011.

6.2 Process

The research commenced in November 2010 and was completed in August 2011.

The approach to developing a proposed Strategic Monitoring Framework is imbedded in a 'logic chain' framework. The aim in this process was to create indicators to represent each stage of the logic chain. If the logic chain holds true, then (all other things being equal) if the 'inputs' and 'processes' can be observed, it is assumed that the measured 'outputs' and 'outcomes' can be attributed accordingly.

The research determined that a national level framework was the most appropriate. Data was seen as more readily available and consistent for a majority of the indicators at this scale. For those indicators without current data sets, there has been a recent move by the Welsh Government to introduce those best suited to be monitored centrally. This was partly driven by the Development Control Quarterly Statistics Review produced by Arup (a consultant) in 2008 and also by the Land Use Indicator Review which preceded it. Further, existing and emerging monitoring frameworks, such as the transport monitoring framework, help feed into the national planning monitoring framework.

The challenge in structuring the Strategic Monitoring Framework was to try and formulate a way of measuring the logic chain as it pertains to planning and sustainable development at the national level. The approach taken was to base the Strategic Monitoring Framework within the key policy objectives of Planning Policy Wales, and specifically, the 19 key policy objectives identified for 'Planning for Sustainability'. Unfortunately, multiplying each of the 19 objectives across the component stages of the logic chain would result in an excessive number of indicators. The process adopted is outlined in Table 2.

Supplementary to the processes outlined in Table 2, the following additional elements were undertaken:

- Ecological footprint analysis – introduction to ecological footprinting, and consideration of its relevance in assessing planning, including the scope to use the component elements of the footprint as a composite indicator for the role of planning in delivering sustainable development.
- Existing data sources – part of the literature review undertaken at the outset of the study drawing upon other research reports and existing and proposed data sets and sources.
- Stakeholder views – an extract from the two discussion groups convened for this study. Provides a summary of the discussions around the understanding and use of the ecological footprint.
- Testing the framework – as part of an iterative process of selecting and recommending indicators for inclusion in the Strategic Monitoring Framework, the recommended indicator set was tested across a number of scenarios including a Technical Advice Note, a local authority area and an individual settlement. This included testing of the ecological footprint at a more local level.

Table 2: Methodology behind the Development Monitoring Framework³²

Stage	Description
Inception	Clarification with Steering Group members on the scope and nature of the research. Identification of potential sources of information, and development of and comment on proposed research materials.
Background research	Literature review of policy and research documents. Investigation of existing data sources. Consideration of the context and role of the ecological footprint. Identification of likely stakeholders for future stages. Designed to inform the interviews and discussion seminars.
Stakeholder interviews	A series of discussions with a range of policy practitioners from both the Welsh Government and also a range of external stakeholders. A list of interviewees is provided within Appendix 1. Each interview explored views on the ways in which planning can impact on sustainability, how this might be measured, known or suggested data sources and views on the suitability of the ecological footprint.
Logic chain	Development of a 'conceptual framework' which draws upon the interviews and literature to explore the overarching logic to be assessed by the strategic monitoring framework.
Initial reporting	Interim reporting on work undertaken, outlining the emerging themes to be explored in the discussion seminars.
Discussion seminars	Two discussion seminars were held, taking place in Swansea and Llandudno on the 8 th and 17 th February 2011 respectively. Presented an introduction to the research and emerging findings, followed by focus group discussions. Attendees presented views on the framework and suggested indicators. Drew upon a mix of planning and sustainability local authority officers. Section 3.7 summarised the views expressed. A list of seminar attendees is provided within Appendix 2.
Framework development	Collation of all previous research findings into the production of several iterations of the strategic monitoring framework. Including discussion with the Steering Group.
Framework testing	The suggested framework was 'road tested' on selected examples. The purpose was to gauge how the framework can be used to assess the impact of planning in a real-world context. Used a variety of topics, policies and locations.
Reporting	Draft and Final Reports setting out the approach, findings, and conclusions from the research.

Picking up on the stakeholder engagement, this sought feedback from a range of stakeholder interests to gauge opinions, experiences and suggestions in relation to a strategic monitoring

³² Research report to the Welsh Government: A strategic monitoring framework for the planning system

framework for the planning system. This was initiated with a series of interviews that explored what the views, experiences and suggestions of the stakeholders were surrounding the planning system, planning and sustainable development, ecological footprinting and data collection. The interviews helped to derive a broad framework identifying the logic chain(s) associated with planning and sustainable development and to begin to develop the indicator suite.

Following the interviews, two seminar-based focus groups were convened. All local authorities (including national parks) were invited to attend either seminar. In addition, policy colleagues from the Welsh Government attended. The seminars provided attendees with an introduction and overview of the research from the Welsh Government and a presentation by the research team which outlined:

- a summary of the research so far;
- findings from the desk-based review;
- information on ecological footprinting and the planning system;
- the logic chain approach; and
- a suggested strategic monitoring framework structure.

A significant activity undertaken during the seminar was a group exercise in which smaller working groups were asked to design their own indicator suite and present it to the focus group, setting out: their suggested structure for the indicator suite; potential sources of data; why they have chosen to structure the suite the way they did; and what the limitations might be. The aim of the exercise was to explore whether there was an overall consensus approach. Throughout both of the seminar based focus groups open discussion was encouraged and facilitated by the research team through a series of prompting questions. The majority of each session ran to the same agenda, however due to feedback from the first focus group, further information and clarity with regard to the ecological footprint was provided at the second focus group.

6.3 Output

The framework that resulted from the development process focused on the 'output' element of the logic chain and, to a lesser extent, included potential 'process' and 'outcome' measures. In preparing the framework and suggesting the indicators for inclusion, care has been taken to try and minimise the burden placed on local authorities. The reuse of existing (or planned) data has been prioritised and new data has only been suggested in instances where existing data is not sufficient or correctly focused on the role of planning or delivering sustainable development.

Table 3 sets out the suggested indicators for the Strategic Monitoring Framework. Indicators not shaded in the table are those which are already currently collected. Indicators that require new data to be collected are shaded green, and known information not currently collected or collated is shown in blue.

Table 3: Strategic Monitoring Framework Indicators³³

Category	Indicator
Overarching – Contextual information to understand the wider impact of the planning system in delivering sustainable development	Wales' Ecological Footprint
	% of Biodiversity Action Plan habitats and species recorded as stable or increasing
	Gross Value Added (GVA) and GVA per head
	% of the population in low-income households
	Wellbeing in Wales
	Proportion of LPAs with an up to date adopted LDP
A) Strategic Location - Where development happens (e.g. sites and locations)	Net change in open space and playing fields
	Total floor space granted/refused (by type) on greenfield and brownfield land
	Number of application submitted with Transport Assessments
	Number of applications granted/refused (by type) on the flood plain (by flood risk category)
B) Design - What development comprises (e.g. materials, building standards, construction)	Number of buildings receiving BREEAM and/or Code for Sustainable Homes certification
	The proportion of local or recycled materials used in new developments
C) Facilitating Infrastructure and its Use - What links development (e.g. hubs, spokes, networks)	Renewable energy generation (mW) granted/refused by type and capacity
D) Conservation and Enhancement - What precedes and surrounds (and is endured by) development (e.g. conservation, heritage, biodiversity)	Total area of granted/refused development in protected areas (European and national designations)
E) Social, Cultural and Economic Wellbeing - What happens, in/on a place or development (e.g. housing, jobs, pastimes, services)	Number of Listed Building and Conservation Area Consents granted/refused
	Number of new homes (by type) granted permission
	Employment land bank (years provided)
	Total floor space granted/refused (by type) (combining greenfield and brownfield land) (offices/industry/retail/distribution)

A commentary on the individual suggested indicators including the rationale behind each one can be found in section 4.3 of the Strategic Monitoring Report³⁴. This commentary also links the indicators to existing policy, other potential indicators which might assist in understanding the 'process' and/or 'outcome' of the indicator, information on the current data source (if currently collected) and an assessment summary which explains what the indicator data could explain. The indicators have a variety of reporting timeframes. Some are required only once annually while others are required to be collected quarterly. Information on all indicators will be collected by the local authority and reported centrally.

The research that has formed the monitoring indicators has only occurred in the last four months. This forms Stage 1 of the Strategic Monitoring Framework for the planning system process. Following this report, the Welsh Government has stated that the remainder of the process will comprise:

³³ Research report to the Welsh Government: A strategic monitoring framework for the planning system

³⁴ Supplementary Research Report to the Welsh Government

- development of a consultation paper to be released alongside this report;
- public consultation on the suggested Strategic Monitoring Framework;
- analysis of consultation responses and publication of a consultation summary report;
- development and publication of the finalised Strategic Monitoring Framework;
- commencement of the Strategic Monitoring Framework;
- publication of the framework via a first year annual report; and
- review of the framework's effectiveness.

6.4 Outcome

This monitoring framework was developed in late 2011, and there are no measurable outcomes as it is only starting to be implemented. However, in the forming of these indicators a number of issues were discovered in terms of consultation, on-going data collection (including the potential short- and long-term phasing of indicators) and consideration of the most effective scale of assessment using the Strategic Monitoring Framework.

It is concluded that staged implementation of the Strategic Monitoring Framework will be likely to yield the most favourable results. This will signpost the upcoming changes, enable debate, allow for recording systems to catch up and, importantly, ensure the framework can be implemented within the production of Local Development Plans, which themselves have a significant lead-in time.

From a more pragmatic perspective, the Welsh Government will need to ensure authorities and their stakeholders/communities are clear in relation to the purpose and use of the framework. If the framework is perceived to be a performance monitoring and management tool designed to create a 'league table' of authorities, it is likely to generate unintended consequences and to drive target-based behaviour. If it can be clearly conveyed that the framework aims to understand the effect of the planning system on sustainability at a Wales-wide level, but in a way which allows for more detailed and finer-grain assessment and querying, then the framework can be presented in a positive and constructive light.

It might also be desirable in the longer term to expand the collected information to include the possible 'process' and 'outcome' indicators as a means of providing a deeper understanding of the suggested 'output' indicators and to test and develop the logic chain underlying the 'theory of change' of the role of the planning system in delivering sustainable development.

6.5 Summary

This case highlights five attributes of effective monitoring frameworks, listed under the headings below:

6.5.1 Use of a logic chain

A logic chain is embedded in the methodology underlying this framework. This enables measurement of the ways planning can encourage, support and facilitate sustainable development, and influence the framework.

6.5.2 Stakeholder engagement

The extensive stakeholder engagement involved interviews and discussion seminars. This helped to derive a broad framework identifying the logic chain associated with planning and sustainable development and aided the development of the indicators.

6.5.3 Limiting the burden on local authorities

By focussing on indicators already measured, this framework will ideally limit the information gathering burden on local authorities. The stocktake and gap analysis approach identified areas for improvement.

6.5.4 The national scope

Having a national scope for the framework (instead of a framework driven by local authorities) ensures data is readily available and the content of this data is more consistent. The data collection infrastructure at this scale is better resourced to apply the monitoring framework.

6.6 Strengths and weaknesses

A brief summary of the strengths and weaknesses of the monitoring framework follows:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ Use of a logic chain ■ Extensive and in depth stakeholder engagement ■ Focusing on existing indicators to limit burden on local authorities ■ Having a centralised national scope 	<ul style="list-style-type: none"> ■ Work required to implement new indicators is perhaps understated ■ Lack of detail regarding how information and data will be gathered and stored ■ Focus on ecological footprint as a composite indicator because it does not address social or economic issues, it is therefore an indicator of environmental sustainability and not an overall sustainability indicator

7 Case Study 6 – Strategy for Evaluating New Zealand Local Government Legislation³⁵

7.1 Purpose

There are three pieces of legislation that define the roles, responsibilities, powers and accountabilities of local government – the Local Government Act 2002 (LGA 2002), the Local Electoral Act 2001 (LEA 2001), and the Local Government (Rating) Act 2002. This local government legislation shifted accountability from ‘managing inputs’ to ‘working towards achieving outputs’. The LGA 2002 has formally moved the performance goalpost to ‘managing outcomes’. The LGA 2002 is heavily premised on accountability and responsiveness to communities, reflected in process requirements designed to ensure transparency and the provision/availability to the public of information concerning proposals, decisions and performance. This shift in accountability was accompanied by a change in performance measurement and reporting requirements.

We intend to focus our enquiry on the role the Department of Internal Affairs (DIA) and the Minister of Local Government fulfils in checking the effectiveness of the LGA 2002 as this is more akin to the role MfE must fulfil with the RMA. The evaluation framework established by DIA encompasses the following:

- The Evaluation Strategy 2005
- The Evaluation Framework 2007
- The Auckland Evaluation Framework

The LGA 2002 provides the general framework and powers under which New Zealand's 78 democratically elected and accountable local authorities operate. The legislation is primarily the responsibility of the Minister of Local Government and is administered by DIA, although the Controller and Auditor-General (the Auditor-General) and the Local Government Commission (the Commission) also play significant roles in monitoring the implementation of the LGA 2002.

There is no statutory requirement for the Minister of Local Government to monitor the effectiveness of implementing the LGA 2002 (as is the case with section 24(f) of the RMA), although the Minister of Local Government has powers of review over local authorities (Part 10 of the LGA 2002 refers).

The Auditor-General is an Officer of Parliament who carries out her role independent of executive government and Parliament but is accountable to Parliament for the public resources she uses to do the job. The Auditor-General reports to the Speaker of the House of Parliament. The Auditor-General ensures local authorities are accountable to the public for how they use the resources they fund through rates and other sources. Another key role of the Auditor-General is to provide assurance that information is accurate and fit for purpose. As well as annual audits, the Auditor-General audits local

³⁵ [http://www.dia.govt.nz/pubforms.nsf/URL/LGLegislationStrategy.pdf/\\$file/LGLegislationStrategy.pdf](http://www.dia.govt.nz/pubforms.nsf/URL/LGLegislationStrategy.pdf/$file/LGLegislationStrategy.pdf)

authorities' long-term plans, which are prepared every three years..³⁶ In this role the Auditor-General has also provided ad hoc assessment of local government performance.³⁷

The Auditor-General also provides guidance to local authorities on good practice. For example, of relevance to monitoring, reporting and evaluation, in 2010 the Auditor-General published guidance for local authorities: "Local Government: Examples of better practice in setting local authorities' performance measures"³⁸. The report is based on a study of 15 local authorities selected to achieve a representative sample in terms of size and nature. A range of eight activities were selected, such as roading, water and library services, and performance measures compared. The Report analyses the different approaches to performance reporting taken in each activity area and highlights examples which are considered to be "better". For example under "Water Supply" a better measure for water quality responsiveness is "the percentage of urgent requests for service responded to within one day (dirty, cloudy, smelly or bad tasting water or not water at all)".

The Commission is an independent statutory body whose main role is to make decisions on the structure and representation requirements of local government in New Zealand. Section 32 of the LGA 2002 required the Commission to review the operation of the LGA 2002 and the LEA 2001. The Commission presented its report (both a summary report and main report) on its review to the Minister of Local Government in July 2008. Without limiting the scope of the review, the Commission was required to determine and assess:

- the impact of conferring on local authorities full capacity, rights, powers and privileges; and
- the cost-effectiveness of consultation and planning procedures; and
- the impact of increasing participation in local government and improving representation on local authorities.

As part of this process the Commission undertook a number of studies including a Colmar Brunton survey into "Councils' experiences with the Local Government Act 2002", and a "Review of Local Government Act 2002 engagement and decision-making provisions".³⁹

Local government itself also had a role in monitoring effectiveness of implementation. Until the 2010 amendment to the LGA 2002, local authorities were required by section 92 of the LGA to monitor, not less than once every 3 years, and report on, the progress made by the community in achieving the community outcomes for the district or region.⁴⁰

In order to evaluate the effectiveness of implementing the LGA 2002, DIA released a "Strategy for Evaluating Local Government Legislation" in December 2005 (the Evaluation Strategy 2005). Our review focuses on this document and subsequent evaluation frameworks developed.

³⁶ For a copy of the 2009/10 annual review of local government performance reported in 2011 see: <http://www.oag.govt.nz/2011/2009-10>

³⁷ For example in 2011 on freshwater (see: <http://www.oag.govt.nz/2011/freshwater>) and improving performance of reporting by local authorities (see: <http://www.oag.govt.nz/2011/local-government-annual-reports>)

³⁸ <http://www.oag.govt.nz/2010/examples-of-better-practice>

³⁹ See http://www.lgc.govt.nz/lgcwebsite.nsf/wpg_URL/Legislative-Review-Index

⁴⁰ Note this change is not reflected on the guidance on the QP website: <http://www.qp.org.nz/related-laws/faq-rma-lga.php#links>

7.2 Process

The Evaluation Strategy 2005 outlines the DIA programme for evaluating key local government legislation over the next ten years. The intent of the evaluation strategy was to assess the extent to which the new legislative framework would operate as intended and achieve the results expected. The evaluation was to also provide information for the Commission's report on the LEA 2001 and LGA 2002, which was due after the 2007 local elections.

In 2007 the "Evaluation Framework and Work Programme for Local Government Legislation Evaluation" (the Evaluation Framework 2007) was developed to be read in conjunction with the Evaluation Strategy 2005. Its intent was to guide evaluation in the areas of "constitution", "decisions" and "relationships", to identify what local authorities would be doing under the legislation, how they will be doing it and what impacts are expected from the local authority responses.

In the five years since the preparation of the Evaluation Framework 2007 the efforts of DIA have focused on supporting the implementation of the legislation rather than monitoring its implementation. We note also that, until the 2010 Amendment of the LGA 2002, the focus was heavy on advice about community outcomes.⁴¹

In 2010 yet another evaluation framework was established to look at the outcomes of the Auckland Local Government Reforms in 2009 and 2010. In 2010, DIA prepared an Auckland Evaluation Framework⁴² for its and stakeholders' on-going evaluation and monitoring of the Auckland governance reform process and its outcomes. In this regard the material is more important for the Auckland Council in monitoring and evaluating its own performance than it is for DIA in reporting on the framework. This Auckland legislative framework is summarised in Figure 3 below⁴³

Figure 3: Auckland legislation evaluation framework

	Timing: 03/2009-02/2011	Timing: 2011 – 2017 +			
EVALUATION	Lessons learned from the establishment	Outcome evaluation activities			
		Focus 1	Focus 2	Focus 3	Focus 4
MONITORING	Baseline monitoring	Ongoing monitoring			

All three strategies provided a framework to look at impacts. Some areas were looked at and other areas were not investigated. It was never intended by DIA that all the work would be completed. The strategies provided opportunities for other parties to look at areas of interest to them.

⁴¹ For example see the following good practice guidance:

<http://www.communityoutcomes.govt.nz/web/coutcomes.nsf/unid/CFIN-7FG73N?openDocument> and

⁴² [http://www.localcouncils.govt.nz/lcip.nsf/Files/PDF/\\$file/DIA-AucklandEvaluationFramework.Aug10.pdf](http://www.localcouncils.govt.nz/lcip.nsf/Files/PDF/$file/DIA-AucklandEvaluationFramework.Aug10.pdf)

⁴³ Department of Internal Affairs (2010) Auckland Evaluation Framework, p6

7.3 Output

The Evaluation Strategy 2005 is comprised of the following sections:

- The scope of the evaluation (section 2)
- The purposes and key provisions of the three new Acts, with a focus on the main changes the legislation has introduced and how these changes affect local government and communities (section 3)
- The main objectives of the evaluation and the proposed approach (section 4)
- The key evaluation questions and the sources of data and information that will be used to answer these questions (section 5); and
- The timetable for the evaluation.

The Evaluation Strategy 2005 set up a ten year evaluation platform for review of the legislation. It set out a provisional timetable for reporting the results of different components of the evaluation. The timetable outlined a schedule for the three main components of the evaluation – design, process and outcome. Design and process evaluations were to be carried out for the first cycles of the elections, community outcomes processes and long term plans. Design and process evaluations were to be repeated to assess the local elections in 2007 and 2010, and the preparation of long term plans and the community outcomes processes in 2008/09 and 2011/12.

Suffice to say the Evaluation Strategy 2005 was never implemented to any great extent, although it was open to other parts of DIA, the Commission and the Auditor General to pick up on. DIA itself identify that the Evaluation Strategy 2005 was never just for DIA to implement, although its development was a top down DIA driven process. This highlights the process of evaluation was more about learning by doing than any audit or strict monitoring function.

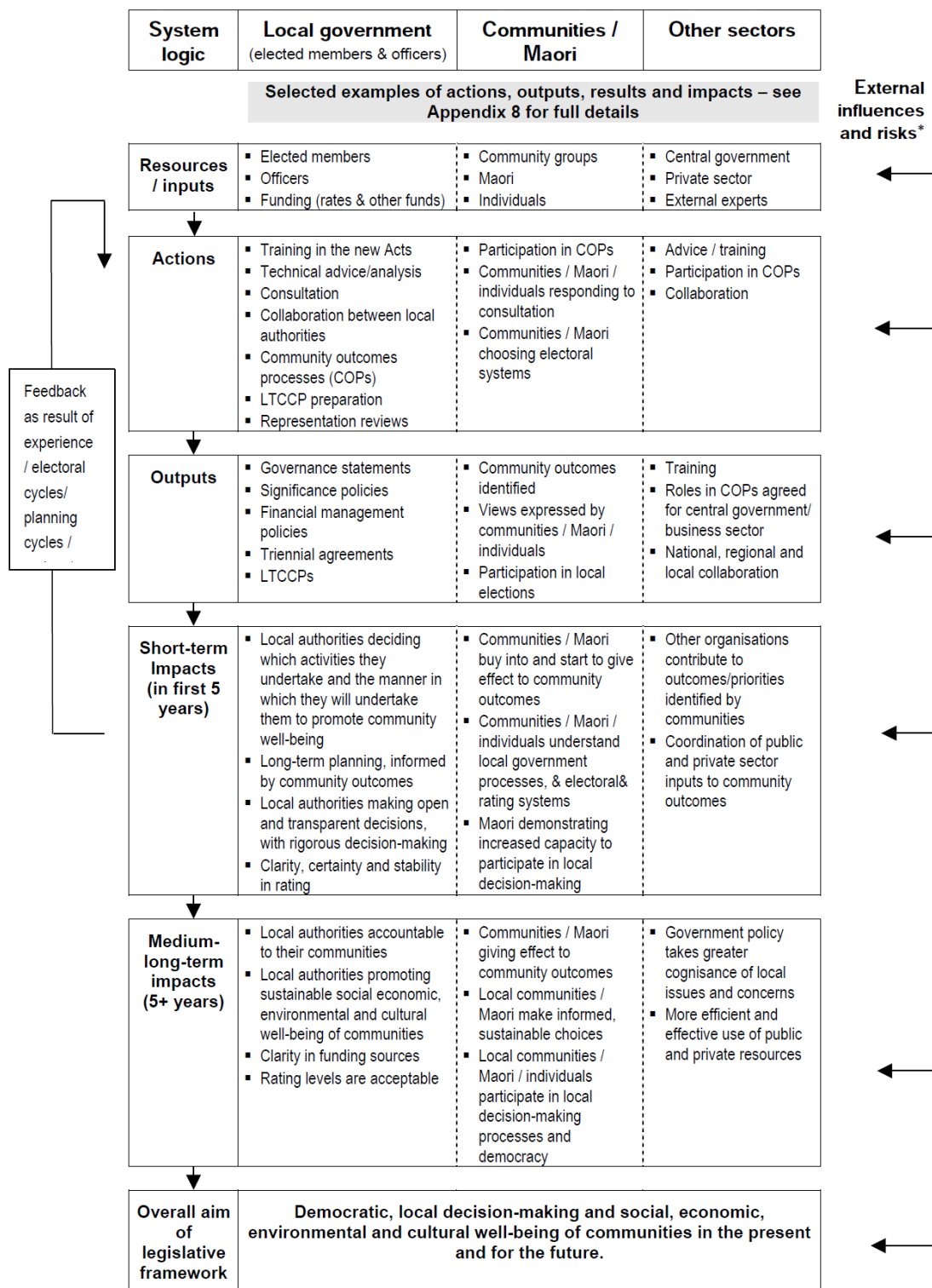
The Evaluation Strategy 2005 was significant in the manner in which it outlined a “logic” approach to the evaluation. We show this in Figure 4 below. The logic recognises that it will take time to fully implement the legislative framework. The logic aims to describe the intended impacts of the legislative framework so that the evaluation can assess the extent to which these impacts are being realised. The logic recognises that local government is not the only sector responsible for delivering services that affect local communities.

We consider the logic model displays the sequence of actions that describe what the program is and what it will do – how actions link to results. It identifies the framework for which factors can be evaluated in the context of the implementation. In terms of the Evaluation Strategy 2005 it serves to help identify the questions that can be asked at each stage of the evaluation process. This is expressed as either process evaluation or outcome evaluation.

The Evaluation Framework was produced in 2007. The Evaluation Framework 2007 builds on the Evaluation Strategy 2005. It sought to identify a range of methods for undertaking evaluations of the implementation performance, for example, use of case studies, snapshot or baseline data and surveys. No on-going monitoring was proposed, but rather one off evaluative measures. The Evaluation Framework 2007 contained an exhaustive list of methods – perhaps too many to be followed up on.

However, the Evaluation Framework 2007 did drive some case study work, carried out for DIA by contractors. The series of nine case studies looks at how councils have approached the planning (mainly the long-term council community plan), decision-making and community outcomes provisions of the LGA 2002. The case studies were based on interviews undertaken in 2008 with seven territorial authorities and two regional councils. A range of community stakeholders were also interviewed. The case studies serve to highlight an alternative means to monitoring implementation.

Figure 4: Evaluation logic from Figure 1 of the Evaluation Strategy 2005



* External influences and risks can impact at any stage and may include policy changes at a national level, changes in related legislation, and significant local events such as natural disasters.

A potential area for greater improvement is that neither the Evaluation Strategy 2005 nor the Evaluation Framework 2007 provides a linkage across government departments to their actions, despite it being widely recognised that the absence of a coordinated and consistent approach to policies affecting local government can result in:

- conflicting policy objectives
- unnecessary duplications and costs
- inefficiencies in delivery and confusion about accountability across government and within local authorities⁴⁴

With respect to data we identify that the regional and local statistics were often well researched and met reporting standards, but they are seldom comparable across regions or at a national level. Many local authorities have neither the financial resources nor the skills and expertise needed to develop and maintain an outcomes-based monitoring programme. As such, data on performance of the LGA 2002 could only ever be assessed by way of evaluation or even under scrutiny of audit, rather than through conditional monitoring of data sets.

With respect to reporting of information, DIA created the local councils website:

www.localcouncils.govt.nz. This site contained the outputs of the programme of research, evaluation and information collection about local government, undertaken by DIA. This was information collected as part of the evaluation of local government legislation, and as part of on-going work on a database for regular reporting on information and analysis about local government.

We have not identified actions specific to the Auckland Evaluation Framework, but surmise it has served a role for the implementation of the Auckland Law Reforms for the Auckland Council.

7.4 Outcome

Evaluating an Act of the complexity and scale of impact as the LGA is not a simple task. The various strategies set out to determine where you might expect change to occur and how you might evaluate that change. DIA never intended to undertake everything in the programme as this would require too much resource and may not be an efficient use of scarce resource, which may need to be dedicated to different priorities at different times. The documents were intended to enable DIA to understand the impact the changes it was making were having on an important sector.

At face value, one could determine that none of the evaluation strategies or the evaluation framework designed to evaluate the performance of implementing the LGA 2002 or LEA 202 have received sufficient resourcing. Given the way councils respond to the LGA continues to evolve (as it is expected to) it is unlikely the monitoring and evaluation task will ever reach "completion".

The strategies appear as significant influences on short term work efforts and have to some extent guided some of the initiatives initiated by DIA. DIA has a dual intent for the production of the evaluation strategies or evaluation framework – for their own work programmes but also to support the efforts of those in the local government sector and academia to review performance aspects of the legislation (for example, the Commission and International Global Change Institute within the University of Waikato). The Commission in their 2007 review of the legislation considered their report added to the DIA Evaluation Strategy 2005. They said:

⁴⁴ Department of Internal Affairs (2011) Briefing to the Incoming Minister of Local Government, p9.

*While not a prime objective, we believe much of the information collected as part of our review, some of which is contained in our report, will help form a baseline for this longer-term evaluation. Given that councils will have been operating under these two Acts for more time, the ten-year evaluation should be capable of being more definitive in its findings on certain issues than was possible for this review.*⁴⁵

Limited resources have played a factor in DIA's ability to monitor and measure outcomes from the implementation of the legislation in the evaluation strategies or evaluation framework. Ministerial priorities have overtaken resource use with, for example, focus on Auckland governance reforms having a higher priority than monitoring, evaluating and reporting on the implementation of the LGA 2002.

Another natural issue has manifested itself in the construct of local government itself. There are natural tensions between the decentralised, broadly empowering approach of the LGA 2002 and the more prescriptive requirements of other legislation that devolves responsibilities to local authorities. This can confuse relationships between central and local government, which are not defined clearly. This highlights that at best a framework for evaluating the effectiveness of the LGA 2002 can only ever be driven from local authorities themselves.

There is a potential to confuse evaluating the legislation with monitoring the implementation of the legislation (i.e. the operation of local government). This is an important area for investigation and analysis that has not had enough attention paid to it. At present DIA has no role in monitoring through defined indicators. However DIA can effectively evaluate without having to monitor.

The case study highlights that despite an understanding of evaluation and the need for it in New Zealand, the delivery is often not widely recognised as a priority from those with power.

7.5 Summary

This case highlights three attributes of effective evaluation systems, listed under the headings below:

7.5.1 Intervention logic models justify a data capture approach

The logic model as a starting point was a systematic and reasoned description of the causal links between DIA's activities, outputs, immediate and end outcomes for the legislation. A clear logic identified how interventions should work and provided a framework for monitoring how in fact they do work.

7.5.2 Clear Ministerial buy-in identifies the benefits of evaluation outcomes

Ministerial priorities and lack of resourcing for departmental activities were the ultimate limitation on fulfilling the promises of the evaluation strategy.

7.5.3 Informative evaluation can provide insight

DIA has worked alongside agencies, such as Local Government New Zealand, the Auditor-General and local government itself in providing informative evaluation that draws on the experiences of those involved.

In this regard a case study approach to evaluation can provide context to other data (such as outcome data), offering a more complete picture of what happened in the program and why. The

⁴⁵ Local Government Commission (2007) *Review of the Local Government Act 2002 and Local Electoral Act 2001*, p.2

primary advantage of a case study is it provides much more detailed information than is available through other methods, such as surveys.

7.5.4 Focus on outcomes can also inform on process

Focusing on outcomes will pick up process matters. However the focus should not be on the high level or intermediate outcome, but the immediate outcomes. For example, by undertaking community consultation the draft annual plan was improved, rather than community consultation leading to better management of growth pressures in an area of outstanding beauty.

7.6 Strengths and weaknesses

A brief summary of the strengths and weaknesses of the LGA strategy follows:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ Intervention logic provided a good starting point to establishing the framework ■ A case study approach was cost effective ■ Not every detail was reported on and an expectation the sector should report as well was promoted 	<ul style="list-style-type: none"> ■ Priorities changed and the Ministerial priorities set new actions ■ No local government data capture nor indicator frameworks ■ Not integrated across the central government sector

8 Case Study 7 – New Zealand Public Health Drinking Water Monitoring

8.1 Purpose

The New Zealand health sector is consumed with significant levels of monitoring and evaluation. There are different frameworks depending on the issues looked at. We found some excellent examples of frameworks in our scoping of the health system. We have focused in this study on just one of those frameworks. This case study looks at the monitoring framework associated with implementing provisions of Health Drinking Water Amendment Act 2007 (the Act). We have chosen this case study due to its devolved operation – to drinking water suppliers, which are typically local authorities.

The system established by the Act was developed out of concern that the organisation of New Zealand's drinking water supplies was not adequate to safeguard communities. New Zealand had been unusual among developed nations in relying almost entirely on voluntary mechanisms to safeguard the treatment and distribution of drinking water. A lot of the theory around the framework adopted was also derived from the Gisborne cervical screening inquiry⁴⁶ about the failure to routinely monitor and evaluate all parts of the programme's performance.

The Act states the duty to monitor drinking water is the responsibility of drinking water suppliers. The Act does the following:

- requires drinking water suppliers to take all practicable steps to ensure they provide an adequate supply of drinking water that complies with the New Zealand Drinking Water Standards
- requires drinking water suppliers to develop and implement improved public health risk management plans
- ensures drinking water suppliers take reasonable steps to contribute to the protection from contamination of sources from which they obtain drinking water
- requires officers appointed by the Director-General of Health to act as assessors to determine compliance with the Act and to have their competence internationally accredited
- requires record keeping and publication of information about compliance
- provides for the appropriate management of drinking water emergencies
- improves enforcement by providing an escalating series of penalties for non-compliance

The amount of monitoring required is specified in the Drinking Water Standards for New Zealand 2005 (Drinking Water Standards). The Drinking Water Standards divide water supplies into three components: source, treatment plant and distribution system. All water supplies that have been identified and recorded in the Ministry of Health's Register of Community Water Supplies have at least one of each of these components. Each is assigned a unique identifying code.

Prior to the implementation of the Act, drinking water suppliers were not required to undertake any action to ensure they comply with the Drinking Water Standards. Under the Act, a water supplier has a duty to take all practicable steps to comply with the drinking water standards. "All practicable steps" is defined in the Act in relation to affordability, nature and likelihood of harm. This contextualises potentially high compliance costs for smaller drinking water suppliers and allows them to take their time with compliance. A water supplier must also take all reasonable steps to protect the source, and

⁴⁶ <http://www.csi.org.nz/>

provide both an adequate supply and wholesome drinking water. The Act does not make specific reference to “The Public Health Grading of Community Water Supplies 2003” as a compliance tool, however, all water supplies are required to be on the Drinking Water Register and the Drinking Water Register is where the grades are published.

8.2 Process

The process for developing this monitoring framework started occurring long before the Amendment Act was implemented. It is important to note that the Standards and key data-gathering practices such as the Registry, Water Information for New Zealand database, grading system and Annual Review were all implemented prior to 2007. This pre-planning meant that when the Act was passed, the monitoring infrastructure was already in place making compliance with the legislation easier. The most significant change was the requirement for all drinking water suppliers to take all practicable steps to meeting Drinking Water Standards, given that previously they were voluntary.

The Water Information for New Zealand (WINZ)⁴⁷ data base is one of the most significant features of the system. It is managed and further developed by Environmental Science and Research for the Ministry of Health. It is used by district health boards and water suppliers throughout New Zealand.

8.3 Output

The following sections discuss the Registry, Annual Review of Drinking Water Quality, Subsidy Scheme and study on the Cost Benefit Analysis of raising drinking water quality in New Zealand. All these are key to monitoring the effectiveness and efficiency of this legislation in improving drinking water quality in New Zealand.

8.3.1 Register of Drinking Water Supplies

The Ministry of Health provides a registry whereby all drinking water suppliers are grouped by their health district. Under this system suppliers are required to register various details regarding their water supply, including where they are located and who they supply water to.

At the request of a supplier serving a community over 500 people, the Ministry of Health will undertake a grading that provides an assessment of its confidence in the public health safety of each drinking water supply (from the Register). The grading has two letters. The first letter (in upper case) represents the source and treatment grading, while the second letter (in lower case) grades the water in the distribution zone itself (see Table 4 and 5).

Table 4: Public Health Grading Specifications

Source and treatment grading (Assessment based on source and treatment factors)	
A1	Completely satisfactory, negligible level of risk, demonstrably high quality
A	Completely satisfactory, extremely low level of risk
B	Satisfactory, very low level of risk when the water leaves the treatment plant
C	Marginally satisfactory, low level of microbiological risk when the water leaves the treatment plant, but may not be satisfactory chemically
D	Unsatisfactory level of risk
E	Unacceptable level of risk

⁴⁷ <http://www.drinkingwater.co.nz/winzuser/winztoday.asp>

Table 5: Public Health Grading Specifications

Distribution zone grading (Assessment based on reticulation condition, management, and actual water quality)	
a1	Completely satisfactory, negligible level of risk, demonstrably high quality; meets Aesthetic Guidelines and has ISO 9001:2000 accreditation
a	Completely satisfactory, extremely low level of risk
b	Satisfactory, very low level of risk
c	Marginally satisfactory, moderate level of risk
d	Unsatisfactory level of risk
e	Unacceptable level of risk

This grading system is not imposed by legislation. It is primarily a tool by which drinking water suppliers are able to easily note any significant improvements in the quality of the water they supply. It also acts to increase transparency by reporting information in a way which the media and general public can understand. This ensures that the drinking water quality of any water supplier servicing 500 people or more can be identified.

8.3.2 Annual Review of Drinking Water Quality

Separate from the requirement to report annually on barriers to implementation of the Act (s.15) the Ministry of Health is required to write an annual report on New Zealand's drinking water quality (s.69ZZZB). District Health Board, Public Health Unit Drinking Water Assessors and local authority personnel contribute to the report by gathering the data. The Register of Community Drinking Water Supplies in New Zealand provides health professionals, drinking water professionals and the general public with an authoritative summary of the health-risk status of all community drinking water supplies known to the Ministry of Health.

This Register is maintained by Environmental Science and Research on behalf of the Ministry of Health in the WINZ drinking water database. Registration is undertaken by Drinking Water Assessors at District Health Boards, who work closely with water suppliers to ensure data is accurate and up-to-date. For each supply, the Register records:

- the name of the community
- the components of the supply, namely sources, treatment plants and distribution zones
- unique codes for each component (to aid clear identification)
- who owns and operates the supply
- how many people use the supply.

If more than 500 people are served, the Register also records:

- the public health grading for the supply
- any substances of public health significance in the supply requiring monitoring.

The public health grading is an evaluation of both the actual water quality and the underlying measures taken to minimise risk. Those measures ensure that the water remains safe and wholesome now and in the future.

Environmental Science and Research then verifies, collates and analyses this information and compiles it into report format. Prior to the publication of this report it is shared with stakeholders for internal verification.

Although this report is successful in monitoring the quality of New Zealand drinking water it does not directly report on the effectiveness or efficiency of the legislation.

8.3.3 Cost Benefit Analysis of Raising the Quality of New Zealand Drinking Water

The drinking water cost benefit analysis covers the following Law and Economic Consulting Group and Beca reports.

- 'Cost benefit analysis of raising the quality of New Zealand networked drinking water'. June 2010. This is an assessment of benefits. This includes capital and operating costs to bring non-compliant networked water supplies into compliance with the drinking water standards.
- 'Drinking Water Standards New Zealand Cost Benefit Analysis' – Engineering Input. May 2010.

This report was essential for the effective implementation of the Amendment Act 2007 as it provided input as to the actual cost of enforce compliance of Drinking Water Supplier with the Drinking Water Standards. This provided feedback to the Ministry of Health as to the implications of making compliance with the drinking water standard mandatory.

8.3.4 Drinking Water Subsidy Scheme

The programme is administered by the Ministry of Health and aims to help small, disadvantaged communities establish or improve their drinking water supplies. Drinking water subsidies are available for drinking water supplies that:

- Operate for the benefit of the community as a whole
- Supply communities with a Deprivation Index score of 7 and above
- Supply between 25 and 5000 people and a minimum of 25 people for 60 days of the year (or 1500 person days per year)
- Are not operated for profit and are not able to charge fees (this excludes sports clubs, ski fields, camping grounds and other similar situations).

Communities that currently do not have a reticulated drinking water supply will be eligible to apply for drinking water subsidies to establish a supply if there is community support and a clear public health need.

8.4 Outcome

The Amendment Act 2007 requirement that Drinking Water Suppliers take 'all practicable steps' to meet the Drinking Water Standards has succeeded in increasing compliance levels as it makes the responsibilities and obligations of the water suppliers more clear. The primary concern with this particular amendment was that smaller water suppliers may not have the resources to comply with the Drinking Water Standards. This has been partially offset by the Drinking Water Subsidy Scheme which aims to help small, disadvantaged communities establish or improve their drinking water supplies. Because the Amendment Act 'practicable steps' requirement defines 'all practicable steps' as relating to affordability by any given Drinking Water Supplier, in light of their financial position, it allows the flexible implementation of infrastructure and process to bring drinking water quality up to the Drinking Water Standards in conjunction with support from the Drinking Water Subsidy Scheme.

8.5 Summary

This case highlights five attributes of effective monitoring and review systems, listed under the headings below:

8.5.1 Amendment Act implications for monitoring were well anticipated

Ensuring monitoring resources were already in place before the legal requirement to monitor was introduced helped guarantee compliance with the Amendment Act was easily achievable for the Ministry of Health.

8.5.2 Phased implementation of compliance for Drinking Water Suppliers

Adding an affordability dimension to the 'all practicable steps' requirement for improving drinking water makes meeting the Drinking Water Standards achievable for smaller suppliers with fewer resources. The Act also provides for a phased commencement, which requires compliance by larger suppliers first, with progressively smaller suppliers (which face great compliance difficulties) given more time before they have to take all practicable steps.

8.5.3 Ensuring adequate funding for compliance

The Drinking Water Subsidy Scheme for smaller Drinking Water Suppliers helps assist compliance if the monitoring framework reports they are not meeting the Drinking Water Standards.

8.5.4 Transparent monitoring and reporting system

The grading systems and annual review are made publicly available and communicate the results of the monitoring in an easily understood way.

8.5.5 Effective data gathering processes

Having highly qualified drinking water assessors who report to local District Health Boards and are independent from both the Ministry of Health and drinking water providers ensures data can be gathered both effectively and impartially.

8.6 Strengths and weaknesses

A brief summary of the strengths and weaknesses of the monitoring practices follows:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ No unrealistic expectations for drinking water supplier to comply with Drinking Water Standards ■ Monitoring infrastructure implemented before Amendment Act compliance requirements ■ Support for small Drinking Water Suppliers to comply ■ Transparent reporting using grading system, Public Health Risk Management Plan and Annual Review ■ District Health Board appointed qualified assessors, who are independent of both the Ministry and Drinking Water Suppliers 	<ul style="list-style-type: none"> ■ No centralised document outlining the framework ■ Top down driven with potential high compliance costs for drinking water suppliers who have not yet taken steps to ensure they comply with the standards

9 Case Study 8 – New Zealand Gambling Act 2003

9.1 Purpose

The Ministry of Health, through its integrated problem gambling strategy, focuses on public health and on preventing and minimising harm caused by gambling. It is responsible for funding and coordinating national and local problem gambling services, raising public awareness of the risks of problem gambling, and conducting in-depth research about problem gambling in New Zealand. It works closely with the Department of Internal Affairs who monitor the gambling industry to ensure the rules and regulations are followed, and all gambling is in accordance with the Gambling Act. As part of its regulatory role the Department of Internal Affairs addresses problem gambling through the regulation and enforcement of the supply of gambling opportunities and the manner in which they are provided. It also provides information to the Ministry of Health to facilitate good decision making regarding its reporting requirements and monitoring.

This case study highlights the value of having a framework and staged approach to its development. It clarifies that policy research needs monitoring and evaluation to provide information to policy development. In this regard the Ministry of Health has a role in building an evidence base and monitoring framework that implements an integrated approach to problem gambling to prevent and minimise gambling harm. As such, to manage and report on progress towards the strategic objectives, the Ministry of Health is moving to an outcomes focused approach. This approach includes identifying the outcomes/results required for achieving an integrated approach to problem gambling.

9.2 Process

A key project for the Ministry of Health has been delivering a more comprehensive monitoring framework. In 2007 the Ministry of Health contracted Research New Zealand to develop a public health outcomes framework for problem gambling⁴⁸. This project was later expanded to include outcomes for problem gambling intervention services, and a monitoring framework for reporting on progress.

The Problem Gambling Strategic Outcomes Framework⁴⁹, is a robust 113 page document which works around the 'Ten Steps to a Results-based Monitoring and Evaluation System' developed by the World Bank. The World Bank system is intended to inform the development of monitoring and evaluation systems by identifying key components regarded as good practice by international agencies (such as the World Bank and United Nations Development Programme and by governments such as those in Canada, the United Kingdom, Australia and New Zealand). These ten steps are outlined in Figure 5 and were addressed in detail in this report.

⁴⁸ <http://www.health.govt.nz/our-work/preventative-health-wellness/problem-gambling/research-and-evaluation/implementation-2004-2007/problem-gambling-strategic-outcomes-framework-and-monitoring-and-evaluation-framework-projects>

⁴⁹ <http://www.health.govt.nz/our-work/preventative-health-wellness/problem-gambling/research-and-evaluation/implementation-2004-2007/problem-gambling-strategic-outcomes-framework-and-monitoring-and-evaluation-framework-projects>

Figure 5: Ten Steps to Designing, Building and Sustaining a Results-based Monitoring and Evaluation System⁵⁰



The monitoring framework and outcome objectives were developed in reference to a large pool of information and references. These main sources were:

- Preventing and Minimising Gambling Harm Strategic Plan 2004-2010 (Ministry of Health, 2005).
- Information from the Problem Gambling Strategic Outcomes Framework (Research New Zealand, 2007b).
- Documents and reference sources provided by the problem gambling team at the Ministry of Health.

The development of these outcomes objectives also involved discussions with a number of stakeholders. There were:

- The problem gambling team at the Ministry of Health
- Ministry of Health problem gambling data consultant
- Department of Internal Affairs
- Health Sponsorship Council
- A Maori development evaluator

The process adopted by Research New Zealand to develop the Problem Gambling Monitoring and Evaluation Plan is included below as it provides a useful example of the step by step approach adopted in developing a monitoring framework:

- Review of best practice for developing monitoring and evaluation systems. This involved a review and analysis of current literature on monitoring and evaluation in international jurisdictions to support the rationale for the approach taken to develop this plan, and a review of the literature about monitoring for outcomes/results that is relevant to the New Zealand setting.
- Review of key strategic Ministry of Health and problem gambling documents
- Review of the information in the Problem Gambling Strategic Outcomes Framework

⁵⁰ <http://www.health.govt.nz/our-work/preventative-health-wellness/problem-gambling/research-and-evaluation/implementation-2004-2007/problem-gambling-strategic-outcomes-framework-and-monitoring-and-evaluation-framework-projects>

- Review of the documents and reference sources provided by the problem gambling team at the Ministry of Health
- Discuss the intended outcomes for problem gambling activities and services, including confirming the focus for the 2007-2010 period with the Ministry of Health problem gambling team
- Key informant interviews
- Discuss the approach (so far) to developing the Problem Gambling Monitoring and Evaluation Plan with a specialist Maori development evaluator
- Further develop the outcomes by presenting them in an outcomes model structured into levels including:
 - national outcomes
 - regional/community outcomes,
 - provider (public health and intervention services) outcomes
 - individual behaviour change outcomes
 - public health outcomes
 - gambling environments outcomes
 - research and evaluation outcomes
- Initially identify and develop indicators for outcomes through a review of problem gambling documentation and literature
- Identify data sources and measures for indicators for key outcomes
- Review existing data sources and further identify additional data sources for indicators and measures for problem gambling outcomes
- Identify key activities (includes reviews, indicator projects, and research and evaluation projects) to further develop the problem gambling monitoring and evaluation system
- Input and review by a specialist evaluator peer reviewer
- Obtain feedback on the draft outcomes model and analysis of existing data sources from the Ministry of Health problem gambling team
- Outline on-going implementation considerations for the problem gambling monitoring and evaluation system
- Identify key stakeholder relationships for the problem gambling monitoring and evaluation system
- Undertake a risk assessment for the Ministry of Health in regard to the implementation of the problem gambling monitoring and evaluation system
- Prepare this Problem Gambling Monitoring and Evaluation Plan

In February 2008 the Ministry discussed its progress on developing a problem gambling outcomes framework with representatives from each cultural caucus group in the problem gambling sector. The Ministry incorporated the feedback on the outcomes framework into its proposed Strategic Plan for Preventing and Minimising Gambling Harm 2011 – 2016.

9.3 Output

The review discussed in the preceding section lead to the development of the objectives outlined in Figure 6. Each objective is linked with a literature review document produced by Research New Zealand in 2007 and the Problem Gambling Strategic Plan 2004-2010. Each objective will be implemented in a certain order of priorities. This order is displayed in Figure 7.

The outcomes model is comprised of seven layers with the lower level outcomes that can be achieved first at the bottom, building to the higher level outcomes that will be achieved later. This model provides a framework for the implementation of the problem gambling monitoring and evaluation

system. The model is designed as a working tool for the Ministry of Health problem gambling team and it is expected it will evolve further over time. The outcomes model is illustrated in Table 6 .

Figure 6: Strategic outcomes framework objectives and plan strategic objectives

Problem Gambling Strategic Outcomes Framework Objectives (Research New Zealand, 2007b)	Problem Gambling Strategic Plan 2004-2010 Objectives (Ministry of Health, 2005)
Framework Objective 1: There is a reduction in health inequalities related to problem gambling.	<i>Additional strategic imperative is to reflect overarching role of the integrated approach.</i>
Framework Objective 2: People participate in decision-making about local activities that prevent and minimise gambling harm in their communities.	Strategic Plan Objective 3: Enhance the capacity of communities to define and address gambling harm.
Framework Objective 3: Healthy policy at the national, regional, and local level prevents and minimises gambling harm.	Strategic Plan Objective 1: Promote healthy public policies in relation to gambling harm.
Framework Objective 4: Government, the gambling industry, communities, family/whānau, and individuals, acknowledge the range of harms from gambling that affect individuals, families, and communities.	<i>Additional strategic imperative is to reflect the need for increasing awareness and understanding of the range of harms that are addressed by public health/primary prevention activities.</i>
Framework Objective 5: A skilled workforce is developed to deliver effective services to prevent and minimise gambling harm.	Strategic Plan Objective 6: Enhance workforce capacity.
Framework Objective 7: Gambling environments where gambling occurs, are designed to prevent and minimise gambling harm.	Strategic Plan Objective 2: Encourage supportive environments to minimise gambling harm.
Framework Objective 6: People have the life skills and the resilience to make healthy choices that prevent and minimise gambling harm.	Strategic Plan Objective 5: Assist the development of people's life skills and resilience in relation to preventing or minimising gambling harm.
Framework Objective 8: Problem gambling services ⁷ and activities effectively raise awareness about the range of harms from gambling that affect individuals, families/whānau, and communities, to people that are directly and indirectly affected.	<i>Additional strategic imperative is to reflect the need for these services to promote and support increased awareness and understanding of the range of harms that are addressed by public health prevention activities.</i>
Framework Objective 9: Maintain and develop accessible, responsive, and effective interventions.	Strategic Plan Objective 4: Maintain and develop accessible, responsive and effective interventions.
Framework Objective 10: A programme of research and evaluation establishes an evidence base, which underpins all problem gambling activities ⁸ .	Strategic Plan Objective 7: Develop a programme of research and evaluation.

Figure 7: Implementation Order for Objectives

Strategic	Operational	
Objective 3: Healthy policy at the national, regional, and local level prevents and minimises gambling harm.	Objective 5: A skilled workforce is developed to deliver effective services to prevent and minimise gambling harm.	Objective 9: Maintain and develop accessible, responsive, and effective interventions.
Objective 1: There is a reduction in health inequalities related to problem gambling.	Objective 2: People participate in decision-making about local activities that prevent and minimise gambling harm in their communities.	Objective 6: People have the life skills and the resilience to make healthy choices that prevent and minimise gambling harm.
	Objective 4: Government, the gambling industry, communities, family/whānau, and individuals, acknowledge the range of harms from gambling that affect individuals, families, and communities.	Objective 7: Gambling environments where gambling occurs, are designed to prevent and minimise gambling harm.
	Objective 10: A programme of research and evaluation establishes an evidence base, which underpins all problem gambling activities.	Objective 8: Problem gambling services ³ effectively raise awareness about the range of harms from gambling that affect individuals, families/whānau, and communities, to people that are directly and indirectly affected.

Table 6: Outcomes and explanations for outcome model

Outcome	Explanation
National outcomes	This level includes the national outcomes and includes the links to six key lower level outcome layers. The national outcomes will enable the Ministry of Health to report at a national level on the overall progress towards reducing harm from gambling and on the contribution of problem gambling activities towards reducing health inequalities.
Six lower outcome layers have also been developed	
Regional/community outcomes	This includes outcomes and data at the level of the territorial local authority and the community. This will enable the problem gambling team to monitor progress within territorial local authority districts and at community level.
Provider (public health and intervention services) outcomes	These outcomes include both service operating outcomes and service effectiveness outcomes. These will enable the Ministry of Health to monitor progress in terms of the service operations and effectiveness. This information will also assist the problem gambling team to collate overall service progress in regard to the activities funded.
Individual behaviour change outcomes	These outcomes will enable the monitoring of progress at individual and family/whānau levels.
Public health (health promotion and harm minimisation) outcomes	These outcomes include public health outcomes which will enable progress to be monitored on how gambling is being recognised as a public health issue. These outcomes include communications on reducing harm from gambling.
Gambling environment outcomes	These outcomes will enable progress to be monitored on the support provided to gambling environments to minimise and reduce the harm from gambling. Most of these outcomes will result from the activities undertaken by Department of Internal Affairs and the Gambling Commission.
Research and evaluation outcomes	The research outcome layer identifies key outcomes from research and evaluation. Specific areas for research and evaluation are identified on each outcome layer where there are key information gaps. The research and evaluation outcomes will enable the Ministry of Health to identify, select and contract research and evaluation using the monitoring and evaluation system as the framework. It is expected that in time the research and evaluation outcomes would be absorbed into the other outcomes layer.

The framework produced by Research New Zealand lists each of the outcome layers in a table outlining in depth the outcomes, indicators, measures and an analysis of existing data sources. The discussion document⁵¹ produced by the Ministry regarding gambling outcomes outlines, in depth, the requirements for each objective in term of short-medium term priorities and long term priorities.

The Ministry has identified annual and six year reporting cycles for its short and long term progress reporting. The Ministry believes this represents a useful balance between transparency, accountability and over reporting of long term progress. Using short term reporting cycles against long term objectives can falsely create an impression that little progress is being made and can discourage action. Long term progress measures that are captured on shorter cycles than six yearly will continue to be made available as required and appropriate.

Annual measures have been identified that will likely have sufficient sensitivity to show meaningful change over an annual cycle. The six year measures are those that are not sufficiently sensitive, are matched against long term resistant goals, require expensive data collection processes, or are not collected routinely enough to support more frequent reporting.

⁵¹ <http://www.health.govt.nz/our-work/preventative-health-wellness/problem-gambling/strategic-direction-overview/reporting-outcomes>

The Ministry manages its problem gambling research contracts in accordance with its Standard Operating Procedures for research. This requires the fulfilment of various contracts for studies for every three year period. The providers of each contact range from university institutions and consultants to internal government departments.

9.4 Outcome

This case study focuses heavily on information found in the 'Problem Gambling Monitoring and Evaluation Plan' by Research New Zealand which was designed as a working document intended only to inform the Ministry of Health on the processes for effective monitoring of activities and prioritising research and evaluation. It is a work in progress document and, like all monitoring frameworks, will require development and updating after the completion of each step. On-going dialogue with key stakeholders and departments will need to continue.

Considerable effort in coordination and resourcing will be required for implementing and sustaining a monitoring and evaluation system. With adequate resourcing and on-going support, sector achievements towards preventing and minimising gambling harm can be reported to both internal and external stakeholders. Future funding decisions can then be made based on this evidence, ensuring resources can be maximised.

9.5 Summary

This case highlights five attributes of effective monitoring and evaluation systems, listed under the headings below:

9.5.1 Literature review

The monitoring framework was based on an in depth review of best practice from international literature. This influenced all aspects of its development.

9.5.2 Strong methodology for development

The methodology adopted was highly effective in developing the framework as it was based on the internationally successful 'Ten Steps' model.

9.5.3 Consultative approach to development

The consultant informing the development of the framework communicated with the Ministry of Health and other key stakeholders (such as the Department of Internal Affairs, Health Sponsorship Council and minority group representatives). This makes the objectives of the framework well founded and relevant to all demographics.

9.5.4 Use of long and short term reporting cycles

The use of annual and six-yearly reporting cycles helps to effectively capture trends at all scales and measure progress towards the frameworks objectives efficiently.

9.5.5 Strategically aligned and embedded

The alignment that the monitoring objectives has with the Strategic Plan ensures that the objectives are well framed in the general context and are underpinned by the Ministry's core functioning.

9.6 Strengths and weaknesses

A brief summary of the strengths and weaknesses of the Gambling Act 2003 monitoring framework follows:

Strengths	Weaknesses
<ul style="list-style-type: none"> ■ Based on international research and a robust literature analysis – it employs best practice regarding development of its objectives ■ Effective use of stakeholders ■ Extensive consulting with Ministry of Health in identifying objectives ■ Makes effective use of long term and short term reporting cycles 	<ul style="list-style-type: none"> ■ The implementation and resources required to sustain the monitoring and evaluation framework are yet to be formally established

10 Analysis

The case studies present a variety of approaches to monitoring and evaluation. Each is suitable to the needs of the subject and resources provided. They point to monitoring systems being designed for a particular purpose. They should focus on finding evidence of some form of change that would indicate progress, or otherwise, towards a strategic goal, rather than just gathering scientific data.

No one case study presents a framework that is directly transferable as a framework for monitoring the implementation and effectiveness of the RMA. The most aligned is the NSW case study. This study focused very much on natural resource monitoring and the elements contained in the Victoria planning permit activity and Queensland development assessments case studies were missing. This is because the outcomes for the planning legislation in NSW are also managed through a separate process. Integration of these elements will be necessary in the New Zealand context because the RMA is integrated legislative framework.

There are lessons to be learned from each of the case studies presented. The case studies have highlighted attributes of monitoring and review frameworks which we consider warrant further explanation and elaboration. We have grouped these together under the topic headings used for the case studies.

What we present below is not new, nor innovative, but it is based on sound reasoning and the experiences of the case studies. In coming to these conclusions we reflect the monitoring advice on the QP website⁵² for policy and plan effectiveness monitoring. There is a resounding similarity in the analysis we reach and the advice on QP given to councils. This advice can also be equally applied at a national level.

10.1 Purpose

10.1.1 Strong drivers

Strong drivers for development need to be evident to ensure successful carry through and implementation of any monitoring and review framework. Policy research needs to be linked to the framework, otherwise monitoring and evaluation becomes too problematic on its own.

To gauge support, a readiness assessment is potentially a means to determine the capacity and willingness of partners to construct a results-based system. This assessment addresses such issues as the presence or absence of champions, the barriers building a system, who will own it, and who will oppose it.

10.1.2 Implications anticipated and objectives identified

Implications for monitoring are normally well anticipated at the time of policy development, but rarely are they provided for. It seems logical, but before you begin it is important to determine what you are going to monitor and evaluate. The gambling case study is an exception to the normal approach (being monitoring and evaluation featuring as an after-thought). The evaluation of the effectiveness of implementing the RMA is being undertaken after policy is developed. Even with the amendment processes, monitoring and evaluation has not been considered. As such MfE finds itself on the back foot.

⁵² <http://www.qp.org.nz/monitoring/effective-monitor.php>

It is now the role of MfE to agree on the scope of monitoring required to assess how effective the implementation is. It will be important to be focused – monitor priority matters first.

Having agreed on scope, the next stage is agreeing at the outset on outcomes to monitor and evaluate, to address the key requirement of developing strategic outcomes that then focus and drive resource allocation and activities. These outcomes should be derived from the strategic priorities (goals).

10.1.3 Generate useful information

Generating useful information should be top of mind – who is going to use the information? Unless an organisation knows why monitoring and evaluation is necessary and useful to the organisation and its success, neither management nor the organisation staff will be motivated to amend the organisational structure to include monitoring and evaluation functions. In all case studies specific functional responsibility was identified within the agency, as a part of the knowledge of useful information being generated.

10.2 Process

10.2.1 Stakeholder engagement

Extensive stakeholder engagement fostering a collaborative approach from those who will implement the framework is needed from the outset, to ensure appropriate resources are given to the framework. Partnership approaches will greatly benefit in building capacity and managing expectations of monitoring and evaluation. In addition, the sources of data to meet the monitoring and evaluation needs are likely to come from a variety of collaborators.

A collaborative approach will assist with:

- Program logic analysis
- Indicator identification
- Monitoring and evaluation design
- Multiple lines and levels of evidence
- Analysis of information
- Information management

As identified in the case studies workshops and focus groups are an effective way of gaining such outputs.

10.2.2 Champions

Clear Ministerial buy-in identifies good outcomes for monitoring and evaluation. The Local Government Case study highlights a lack of a Ministerial champion, while the NSW case study highlights the benefits of such a champion. Champions in government are critical to the success and stability of a monitoring and evaluation system. A champion who is highly placed in the Government can give a strong voice to the need for better-informed decision making and can help diffuse concerns from those who will be relied on to implement the system.

As with the geospatial initiative from Land Information New Zealand we suggest that Ministerial buy-in will be a must to ensure the enduring success of the project. The framework developed must fit in with and be seen to support the electoral mandate of the Government. However, the programme must remain operational policy, be seen as part of the system to “keep things running” and provide information that provides for continuous-improvement. The NSW case study emphasises the power of such buy-in.

10.2.3 Use intervention logic

There should be a clear logic of how a measured output will achieve an outcome. The outcome is required to identify priorities. The Welsh case study was provided specifically to highlight the logic chain framework.

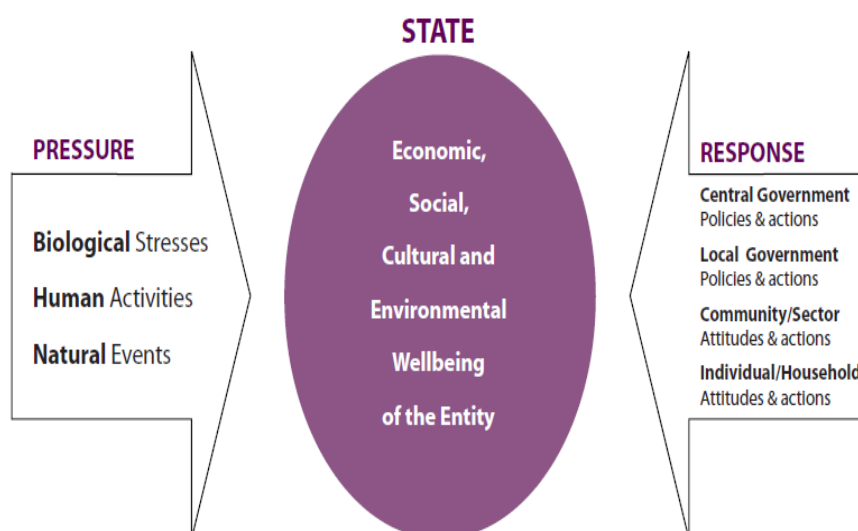
The logic model is at the centre of any results based evaluation. It displays the sequence of actions that describe what the program is and will do – how actions link to results. We note three core components have been described elsewhere⁵³ as:

- inputs: resources, contributions, investments that go into the program
- outputs: activities, services, events and products that reach people who participate or who are targeted
- outcomes: results or changes for individuals, groups, communities, organizations, communities, or systems

10.2.4 Indicators should be SMART

Indicators will be developed for each of the issues prioritised. Indicators are physical, chemical, biological or socio-economic measures that, when recorded over time and space, provide information on trends in the state of the environment. There has been a lot written about indicator identification⁵⁴, but the common theme is that they should be SMART: Specific, Measurable, Achievable, Realistic and Timely.

Figure 8: OECD pressure - state - response framework⁵⁵



Although it is desirable to use quantitative indicators, it has to be taken into account that they describe only selected aspects of reality (i.e. of a complex variable). In some cases the qualitative description

⁵³ See: <http://www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html>

⁵⁴ For more information about indicators refer to: <http://www.mfe.govt.nz/environmental-reporting/about/tools-guidelines/indicators/core-indicators.html>

⁵⁵ Comber, C (2007) Monitoring of District and Community Plans, *Planning Quarterly March 2007*, p22

of the phenomena observed reflects reality much better than quantitative indicators; i.e. the communication within peer educators and people living with problem gambling. Frequently, both quantitative and qualitative (descriptive) approaches complement each other.

The pressure – state – response framework adopted in the South East Queensland State of Region Report and in the NSW case study highlights a useful approach in developing indicators because it considers not only the state of the environment but also the pressures exerted on the environment and the responses of society to environmental issues. This concept is represented in Figure 8.

In this regard, the value of long term data gathering is often overlooked for immediate outcomes. The overall condition of the environment is just as important as the monitoring of pressure points. Longer term monitoring requires longer term financial commitments.

Further reports prepared by MfE already cover this matter in depth (see for example: *District Plan Monitoring – A Guide to Getting Started* on the Quality Planning website).

10.2.5 Start small

Start small with few indicators and build up over time. Phased implementation will also reduce compliance costs. There are opportunities for learning by doing. The NSW case study highlighted a small number of indicators being used. The Victoria planning permit activity and Queensland development assessments case studies highlighted the power of having a small amount of information to report and being able to do that often (similar to how building consent activity reporting is done in New Zealand).

An alternative could be to run a pilot study. A pilot study is a low risk move and will enable testing of indicators before significant investment is undertaken.

10.2.6 Standardise data collection

Metadata is information about data. Metadata is important for assessing the usability and quality of datasets by looking at, for example, publisher or data owner, data collection method and accuracy of data.

As highlighted by the case studies, often information is collected multiple times by different agencies and organisations, and is commonly collected in a variety of formats. This can mean the data is not compatible with other data, limiting its potential use. Consistent data is a requirement for national scope and focus. As seen in the Victoria planning permit activity and Queensland development assessments case studies the standardisation of data provides benefits, but at a cost.

Data for measuring and monitoring can be both expensive to purchase and time consuming to collate. Adopting a standardised approach to data collection and storage potentially means agencies may need to change the way they collect information. However it doesn't mean immediate changes. As highlighted in the drinking water case study the gradual move over time (and it continues to be the case for Water Information for New Zealand data) was made to help suppliers understand how to meet the data infrastructure requirements.

In New Zealand, at present, environmental monitoring is carried out by a number of agencies across the country using a range of methods. Metadata standards result in consistent methodology and improved quality of the monitoring information gathered. The existing Environmental Metadata Framework is an excellent initiative, tailored to the needs of those with environmental and geospatial interests within New Zealand. It has been designed to fit with e-government initiatives and other whole-of-government processes. Following on from this work, Land and Information New Zealand is now leading the development of a geospatial metadata standard. There will be significant benefits over time in being able to search and combine datasets. Data can combine with spatial data

infrastructure being promoted by Land Information New Zealand. As such it is important to look at effective data gathering processes to ensure ease of data transferability and openness.

10.2.7 Keep existing systems and costs in mind

The potential to increase the burden on local authorities is ever present and regard should be had to existing data, systems and networks.

The benefits of the information obtained from the monitoring and evaluation system must outweigh the costs of developing and implementing the system. Existing monitoring programs, for example, should be reviewed and, where relevant, incorporated to reduce duplication and increase cost-effectiveness. The principle can also be applied to reporting processes which can be aligned to meet different stakeholder needs.

An evaluation system should, where feasible, integrate and complement relevant existing evaluation requirements. This ensures a consistent approach that not only helps build capacity but also enables more efficient use of evaluation information. This principle does not deny the importance of considering the appropriate method of evaluation on a case-by-case basis. In addition, the evaluation system should complement other systems already in place within an organisation, e.g. project management and information management.

10.2.8 Establish governance arrangements

In a number of case studies strong governance arrangements were established. It is important to establish a good governance structure with defined responsibilities where top down or legislative driven requirements are not present.

In order to produce national-scale monitoring and reporting framework, the Ministry will be collecting data from a variety of different central government and local government agencies, also known as reporting partners. The ability to produce accurate and timely reports is dependent on the supply of high-quality data, which makes the partnership between the Ministry and its reporting partners crucial to the production of these official statistics. The joint partnership agreements between the Ministry and local government are essential for national reporting. The agreements undertaken in the NSW case study highlight the level to which this may need to be resourced.

10.2.9 Adequate funding

The case studies have highlighted the significant resources that could be put into monitoring and evaluation frameworks. Ensuring adequate funding for the system's implementation will ensure an enduring framework. However, there are alternatives to a "bells and whistles" framework. Smaller amounts of information can be collected, and a reliance on existing data sets. Alternatives are highlighted in the literature of dashboard indicators – such as contained in MfE's Statement of Intent. Evaluative case studies, such as that undertaken for assessing the application of the Local Government legislation could also be used. These alternatives could be used where funding is tight.

10.3 Output

10.3.1 Output is fit for purpose

A documented framework should aid understanding of the processes adopted and inform accountability. The framework document will be a foundation step in checking the performance of the monitoring and reporting programme. Further it should be acknowledged that data reporting comes at a cost and there will be a cost to bear by all who want access to better information and evidence.

It was clear from the case studies that the type of information derived differed from the state of environment type monitoring to that which monitored the outcome of legislative effectiveness. We summarise this in Table 7.

Table 7: Differences between State of the Environment Reports and Legislative Performance Reporting⁵⁶

State of Environment Reporting	Legislative Performance Reporting
<ul style="list-style-type: none"> ■ External focus ■ Outcome oriented ■ Wide audience (public, stakeholders) ■ Informative and educational ■ Jargon free, relatively simple language ■ Visual and attractive (figures, graphs and maps) ■ Factual analysis, no value judgments and no recommendations 	<ul style="list-style-type: none"> ■ Internal focus (applies only to legislation involved) ■ Traditionally output and process oriented ■ Narrow audience (resource users, sector groups, Ministers) ■ Less background and basic information ■ More technical and legal language ■ Less visual ■ More extensive analysis and interpretation, clear recommendations

MfE's SOE report fits on the left side of the Table 7 and the biennial report on local government performance under the RMA fits on the right.

If these two elements of reporting are combined into a single framework, the case studies highlight that a monitoring and evaluation framework will provide MfE with the means for ascertaining problems encountered in implementation and the reasons for any gaps between planned and actual performance. It will also ensure that such information is regularly provided to management with appropriate recommendations.

A good monitoring and evaluation system will also ensure accountability and transparency on the part of implementing agencies, provide an avenue for remedial actions and ensure that programmes and projects are implemented as scheduled, within specified cost.

10.4 Outcome

10.4.1 Allow for self-analysis

Allowing agencies to take information from other agencies data sets and apply it to their own needs was a big part of all the cases studies and was specifically identified in the local government case study. In that case it was never the intention of DIA to implement the whole strategy and they prepared it with the intention for others (local government, LGNZ, academia, etc.) to pick up.

10.4.2 Allow devolved reporting

Allow for devolved data reporting and data matching. Also think spatially about the presentation of the data. If others can see value in the data then this will help reduce costs.

We have mentioned this before in relation to standardised data collection, but allowing for others to report is also important. Such systems allow the creation of data tables that can be related to other, associated, data tables through unique keys or indexes. The drinking water case study shows the power of having readily available data.

⁵⁶ Adapted from Beanland, R. and Huser, B (1999) *Integrated Monitoring: A Manual for Practitioners*, Waikato Regional Council.

10.4.3 Evaluation serves a purpose

A monitoring regime using quantitative methodologies should not be seen as a cheap replacement for evaluation. As was identified in the Local Government Case Study, the evaluation still serves its purpose. This in particular identified three different types of evaluation:

- **Process (or Implementation) Evaluation** - This form of evaluation assesses the extent to which a program is operating as intended. It typically assesses program activities' conformance to statutory and regulatory requirements, program design, and professional standards or customer expectations.
- **Outcome Evaluation** - This form of evaluation assesses the extent to which a program achieves its outcome-oriented objectives. It focuses on outputs and outcomes (including unintended effects) to judge program effectiveness but may also assess program process to understand how outcomes are produced.
- **Impact Evaluation** - Impact evaluation is a form of outcome evaluation that assesses the net effect of a program by comparing program outcomes with an estimate of what would have happened in the absence of the program. This form of evaluation is employed when external factors are known to influence the program's outcomes, in order to isolate the program's contribution to achievement of its objectives.

10.4.4 Use the information

Information must be used, otherwise why was it collected? All the case studies recorded the information gained from monitoring and evaluation. They also analysed the results of monitoring and interpreted what they mean. Finally they reported the results and in some cases they fed into whether changes were required in the policy provisions.

10.5 Summary

In summary the key learning from the cases studies is that it is not always possible to monitor every objective and outcome, so you will need to establish a list of prioritised objectives/outcomes for monitoring. The process of planning a monitoring framework begins with translating the legislative objectives/outcomes into SMART indicators.

Monitoring and evaluation undertaken effectively will raise questions about areas for exploration, pointing to where policy attention may be required. It is clear that when multiple methods of monitoring (process, output and outcome measures) are combined there will be improvement in the results from monitoring and the gathering of evidence. Further, when thought about strategically, monitoring and evaluation will lend itself to both quantitative and qualitative measurement, because when assessing the effectiveness of the RMA precise measurement will be difficult.

Some key themes prevail:

- make sure monitoring efforts are made at a realistic level
- make sure it is affordable and done at least cost
- always test measurements – it often takes time to get it right and therefore ensuring the validity of results will derive better results
- review, revise and update measures – few will be perfect first time around and they will also become outdated
- involve stakeholders in the development and revision of measures – this will ensure that the results are easily understood
- be patient – it takes expertise, resources and time to develop good monitoring and evaluation

Finally, we have identified some questions that should be considered, to ensure monitoring and review activities contribute to implementation and effectiveness of the RMA:

- What is the intended outcome of the framework?
- How will outcomes be measured?
- What is being monitored now? How important is the data to establishing the outcome?
- Why and how is the data going to help assess the effectiveness or efficiency of the programme as a whole?
- What information is required to assess efficiency of implementation? What is the data going to be used for?
- What data is already available? Is new data really needed?
- Why is it essential? Will those collecting the data be interested in it? Will they be accountable for collecting it?
- What type of measurement instrument could or should be used? How many measurement instruments are to be used?
- Is the information available, reliable, sensitive or valid?
- How is the data to be collected? Who is going to do the collection and analysis?
- When must the information be available? Will the information be provided in a timely manner?
- Who is going to do the analysis of the data after collection?
- How will the information be used? Will it inform changes to policy and if so, how?
- Is the proposed approach cost effective?
- How often is your approach going to be reviewed?
- Will the monitoring system withstand scrutiny by stakeholders?

In considering these questions, and as a result of undertaking the case studies, we have identified 10 steps or principles to building a monitoring and review framework.

There is no consensus on how many steps are necessary for building a system. The University of Wisconsin-Extension Program Development and Evaluation has five steps, while guidance prepared by MfE defines six steps. Both these alternatives are contained in Appendix 1. We have described in this report, in terms of the problem gambling case study, a 10-step approach that was used in working with a number of developing countries as they designed and constructed their monitoring and evaluation system.

We have opted for 10 steps (rather than fewer) for the reason that it is important when building such a system that there is sufficient differentiation among tasks (as is observed in the diagrams in Appendix 1). There are so many challenges in building a system that reducing the ambiguity regarding the sequence and activities required at each step can only help. The steps do not necessarily have to be followed in rigid sequence. However, we have identified individual steps as a means of identifying some discrete components in building a monitoring and review framework. We consider the steps identified a useful synthesis of the information presented in this report.

10 steps to building a monitoring and review framework

Step 1: Conduct a needs analysis

Identify tangible monitoring needs. This may entail undertaking a readiness assessment to determine the willingness of partners to prepare a monitoring and review framework. This assessment must establish chief executives as champion of the initiative and gain buy-in and commitment to the project from Ministers. Buy-in must occur across government and with those who are to supply the data. Establish the barriers to building a framework.

Step 2: Baseline data

Establish what is already monitored, how it is monitored and by whom. This will give you an indication of the framework that already exists and you can identify gaps.

Step 3: Agree on outcomes to be monitored

Set the outcomes as immediate and intermediate goals rather than long term goals. This will help establish ex ante the existence of effective policy and legislative delivery.

Step 4: Use a logic model to establish indicators

The first place to look to determine what could and should be monitored is to identify what the key programme objectives, outcomes and outputs are. You should be able to identify these from the 'logic model' developed for the programme. A logic model is a planning tool that describes the purpose, what, where, when, and how of the programme being implemented.

Step 5: Develop key indicators

Indicator development is the core activity in building a framework and drives all subsequent actions. Think carefully before developing a new outcome indicator or instrument, ask yourself the following:

- Why is a new indicator/instrument needed?
- Is it because there is a problem with an existing indicator/instrument, or is it because it really is a new outcome?
- Can we use existing data creatively to answer the question?

Step 6: Manage the Data

Building a system to manage the data requires: establishing data collection, analysis and reporting guidelines; defining means of quality control and standards; identifying governance relationships.

Step 7: Gather information

The costs of data collection should not be underestimated. There also is no point choosing the perfect set of measures if there is no feasible way to collect and use the information. So in setting indicators think about how data will be captured.

Step 8: Analyse the data, make it available and report findings

Data should be freely available to enable others to use the data with their own data sets. Data should not be collected for data's sake and it is a crucial step to consider what the findings are, how are they reported, to whom, in what format and at what intervals.

Step 9: Use the findings

The purpose for monitoring and reviewing is to use the findings. Provide a learning approach to management where monitoring and evaluation provide on-going information.

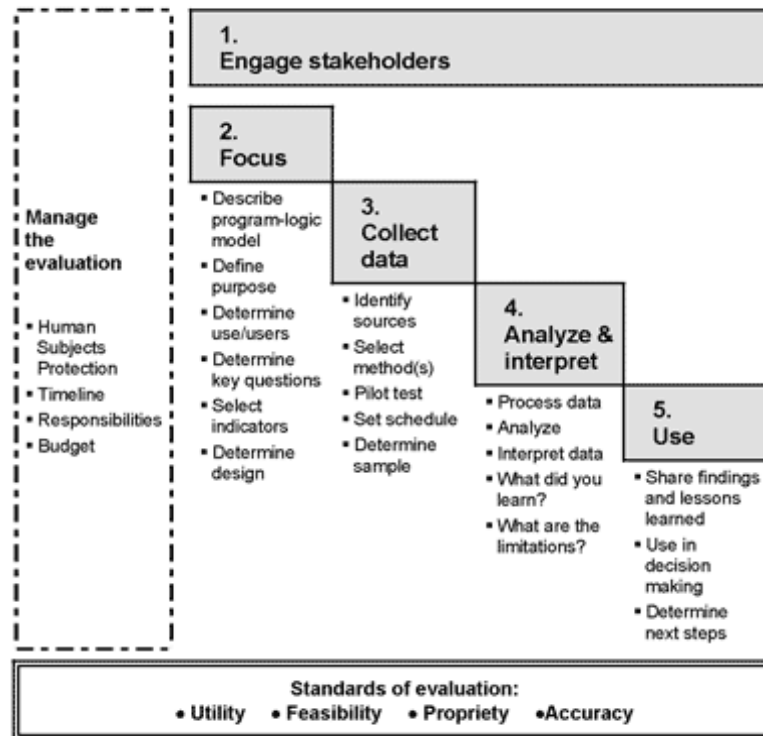
Step 10: Sustain the framework within government

Commitment to maintaining the framework, data collection and systems requires on going resourcing.

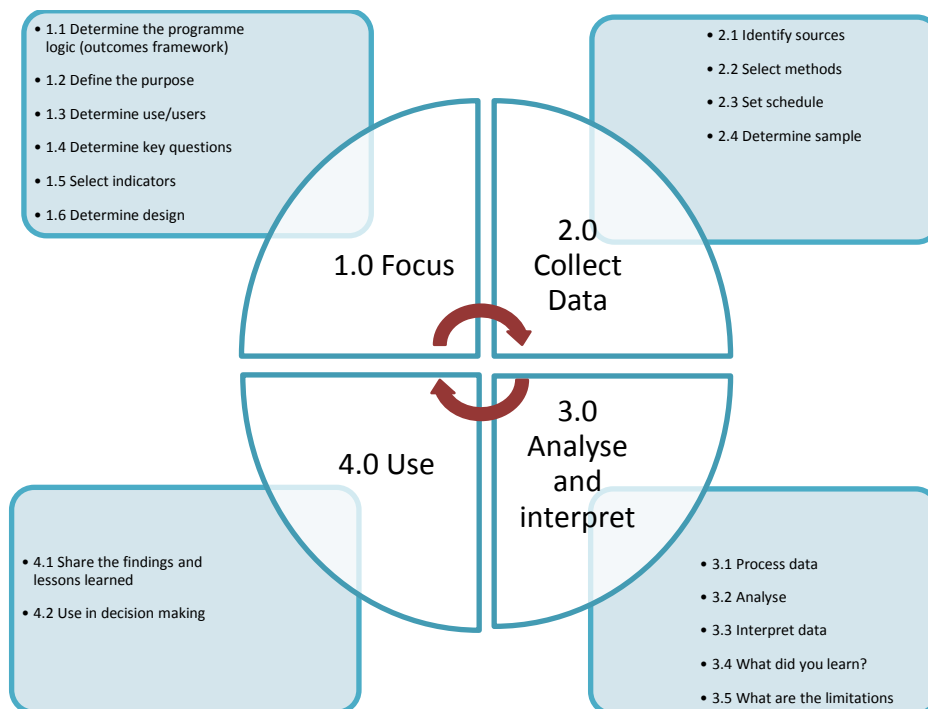
Appendix 1

Steps in monitoring and evaluation

Steps in Program Evaluation



Adapted by the NZ EPA (from NZ EPA)



Ministry for the Environment (2000) District Plan Monitoring – A guide to getting started
(<http://www.qp.org.nz/pubs/3194.pdf>)

